

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA243**

This authority covers records documenting the function of medical profession regulation

Issued to New South Wales Medical 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** FA243

**SR file no** 07/0343

**Scope**

This functional retention and disposal authority covers records documenting the function of medical profession regulation from c.1940 onwards.

**Public office**

New South Wales Medical Board

**Approval date**

	16/10/2007
David Roberts	Date
Director	
State Records Authority of New South Wales	

## 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 1998*.

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  
Medical profession regulation (New South Wales Medical Board)**

Authority no: FA243

Dates of coverage: c1940+

List of Functions and Activities covered

Function	Activity	Reference
<b>ADVERTISING REGULATION</b>		1.0.0
	Advertising assessment	1.1.0
<b>BOARD, COMMITTEE AND PANEL MANAGEMENT</b>		2.0.0
	Arrangements	2.1.0
	Authorisation	2.2.0
	Evaluation	2.3.0
	Meetings	2.4.0
	Membership	2.5.0
	Policy	2.6.0
	Procedures	2.7.0
	Training	2.8.0
<b>CLIENT EDUCATION</b>		3.0.0
	Publishing	3.1.0
<b>COMPLAINTS RESOLUTION AND HEARING MANAGEMENT</b>		4.0.0

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Dates of coverage: c1940+

List of Functions and Activities covered
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Function	Activity	Reference
	Complaints assessment	4.1.0
	Counselling	4.2.0
	Health program management	4.3.0
	Hearings and inquiries	4.4.0
	Performance program management	4.5.0
	Reporting	4.6.0
<b>MINISTERIAL/GOVERNMENT RELATIONS</b>		5.0.0
	Audits	5.1.0
	Reporting	5.2.0
<b>REGISTRATION</b>		6.0.0
	Applications for registration	6.1.0
	Doctors' files	6.2.0
	Certificates of registration status / good standing	6.3.0
	Enquiries	6.4.0

**Functional Retention and Disposal Authority  
Medical profession regulation (New South Wales Medical Board)**

Authority no: FA243

Dates of coverage: c1940+

List of Functions and Activities covered

<b>Function</b>	<b>Activity</b>	<b>Reference</b>
	Interstate and overseas decisions and advice	6.5.0
	Unregistered practitioners	6.6.0
<b>STANDARDS AND CODES OF CONDUCT</b>		7.0.0
	Liaison	7.1.0
	Policy	7.2.0
	Standards	7.3.0

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>ADVERTISING REGULATION</b>	The function of monitoring the advertising of medical services to ensure compliance with the Medical Practice Act.		
1.1.0	<b>Advertising assessment</b>	All activities associated with assessment of medical services advertisements.		
1.1.1		Records relating to written notices to the Board from Corporations advising of the appointment of a responsible person for medical service advertising.	Retain until superseded or administrative use ceases, then destroy	
1.1.2		Records relating to the notification, consultation and initial assessment of complaints where advertisements are not found to be contrary to the Regulations or where there is no prosecution or other legal proceedings.	Retain minimum of 20 years after assessment, then destroy	
1.1.3		Records relating to cases of complaints where advertising is contrary to Regulations and results in prosecution or other legal proceedings.	<b>Required as State archives</b>	Retain at NSW Medical Board for 10 years, then transfer to State Records.
2.0.0	<b>BOARD, COMMITTEE AND PANEL MANAGEMENT</b>	The function of managing meetings and membership of the NSW Medical Board, committees or subcommittees of the Board and administrative aspects of all panels, hearings and inquiries appointed by the Board.  See COMPLAINTS RESOLUTION AND HEARING MANAGEMENT for records relating to hearings or inquiries		

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## Medical profession regulation

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No	Function/Activity	Description	Disposal Action	Custody*
		conducted under the Medical Practice Act.		
2.1.0	<b>Arrangements</b>	The activities involved in arranging for a journey or trip.		
2.1.1		Records relating to arrangements for Board, committee, panel or hearing members to travel. Records include itineraries, determination of allowances and bookings.	Retain minimum of 2 years after action completed, then destroy	
2.2.0	<b>Authorisation</b>	The process of seeking and granting permission to undertake a requested action.		
2.2.1		Records relating to approvals and authorisation for Board, committee, panel or hearing members to travel or for the reimbursement of expenses. Includes the payment of Impaired Registrants Panel members as contractors.	Retain minimum of 7 years after action completed, then destroy	
2.3.0	<b>Evaluation</b>	The activities involved in evaluating programs of the Medical Board.		
2.3.1		Records relating to internal and external evaluations of Board programs that result in significant change to Medical Board structure and/or procedures or programs.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
2.3.2		Records relating to internal and external evaluations of Board programs where there is no significant change to the Medical Board's structure and /or procedures or programs.	Retain minimum of 10 years after action completed, then destroy	
2.4.0	<b>Meetings</b>	The activity of organising and conducting meetings of the NSW Medical Board, its committees or sub-committees.		

\* see *About the functional retention and disposal authority*

## Medical profession regulation

Authority no: FA243

Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		See REGISTRATION – Doctors’ Files for records of Committee decisions about individual doctors.		
2.4.1		Master set of minutes, agenda and attachments tabled at meetings of the NSW Medical Board or meetings of the Executive.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
2.4.2		<p>Master set of minutes, decision summaries, agenda and attachments of the committees or sub-committees of the Medical Board. Examples of committees are: the Registration Committee, the Conduct Committee, the Health Committee and the Performance Committee.</p> <p>See COMPLAINTS RESOLUTION AND HEARING MANAGEMENT – Hearings and Inquiries for records relating to decisions of the Professional Standards Committees, s.66 hearings, Schedule 1 hearings and inquiries.</p>	<b>Required as State archives</b>	Retain at NSW Medical Board for 25 years, then transfer to State Records.
2.4.3		Records relating to the routine administration of Board, committee or panel meetings. Includes meeting notices, drafting of minutes and agenda etc.	Retain minimum of 2 years after action completed, then destroy	
2.4.4		Records relating to administrative arrangements for meetings including meetings notifications, catering, venue booking, related correspondence.	Retain until ceases to be of administrative or reference use, then destroy	
2.5.0	<b>Membership</b>	The activities associated with managing the nomination, appointment, resignation or termination of members of the		

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## Medical profession regulation

Authority no: FA243

Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		Board, its committees, sub-committees or panels.  See COMPLAINTS AND HEARING MANAGEMENT – Hearings and Inquiries for the appointment of members of Medical Tribunal hearings.		
2.5.1		Records relating to the nomination, appointment, reappointment, resignation or termination of Board, committee, panel or hearing members.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
2.6.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents regarding the Board, its committees and sub-committees which act as a reference for future decision making.		
2.6.1		Final, approved versions of policies for the Board, its committees and sub-committees and records regarding implementation.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
2.6.2		Records relating to the establishment and review of policy.	Retain for minimum of 7 years after action completed, then destroy	
2.7.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated policy.		
2.7.1		Final, approved versions of procedures for the Board, its committees and sub-committees and records regarding	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then

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No	Function/Activity	Description	Disposal Action	Custody*
		implementation.		transfer to State Records.
2.7.2		Records relating to the development, establishment and review of procedures for the members and the Board.	Retain for minimum of 7 years after action completed, then destroy	
2.8.0	<b>Training</b>	The activities associated with all aspects of training available to the Board, committee or panel members.		
2.8.1		Final versions of training materials developed for the Board, committee, panel or hearing members regarding their responsibilities and processes.	Retain until training material is superseded, then destroy	
2.8.2		Records relating to the development of training materials for Board, committee, panel or hearing members regarding their responsibilities and processes.	Retain for minimum of 3 years after action completed, then destroy	
2.8.3		Records relating to participant evaluation of training sessions.	Retain for minimum of 3 years after action completed, then destroy	
2.8.4		Records relating to administrative arrangements for training including notifications, attendance lists, catering, venue booking, related correspondence.	Retain until ceases to be of administrative or reference use, then destroy	
3.0.0	<b>CLIENT EDUCATION</b>	The function of educating medical practitioners regarding		

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## Medical profession regulation

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		requirements or changes to requirements that will impact on their obligations. Includes publishing information for practitioners and other interested persons.		
3.1.0	<b>Publishing</b>	The activities associated with publishing information for practitioners and other interested persons in order to educate them about policy decisions, legislative change or Board activities that are relevant to their profession.		
3.1.1		Records relating to final versions of publications produced to educate medical practitioners and other interested persons regarding policy decisions, legislative change or Board activities. Includes bulletins and newsletters.	<b>Required as State archives</b>	Transfer to State Records on an annual basis.
3.1.2		Records relating to the development of publications produced to educate medical practitioners and other interested persons regarding policy decisions, legislative change or Board activities. Includes background research and substantive drafts.	Retain for minimum of 5 years after action completed, then destroy	
4.0.0	<b>COMPLAINTS RESOLUTION AND HEARING MANAGEMENT</b>	<p>The function of managing complaints about medical practitioners in NSW including issues associated with medical practitioners' and students' fitness to practice medicine. Includes the management of proceedings, hearings and/or inquiries where required.</p> <p>See BOARD, COMMITTEE AND PANEL MANAGEMENT – Meetings for minutes, agenda and attachments tabled at meetings of the committees or sub-committees of the Medical Board.</p> <p>See REGISTRATION – Doctors' Files for records relating to complaints and hearings maintained on an individual Doctor's File.</p>		

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Authority no: FA243

Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
4.1.0	<b>Complaints assessment</b>	The activities associated with undertaking assessments of notifications and complaints in conjunction with the Health Care Complaints Commission (HCCC).		
4.1.1		<p>Records relating to the notification, consultation and initial assessment of complaints and issues in conjunction with the HCCC where the allegation or complaint is not referred to the HCCC for investigation.</p> <p>See REGISTRATION – Doctors’ Files for records of the outcome of HCCC investigations relating to any sustained complaint of a serious nature, documents showing evidence of impairment and participation in the Medical Board Health Program or records relating to the referral of practitioners to the performance program that have been maintained on an individual Doctor’s File.</p>	Retain minimum of 20 years after assessment, then destroy	
4.1.2		Records relating to complaints that are determined to be vexatious and unsubstantiated.	Retain minimum of 5 years after assessment, then destroy	
4.1.3		<p>Records relating to complaints where:</p> <ul style="list-style-type: none"> <li>-the doctor cannot be identified</li> <li>-the complaint is not of a nature appropriate for the Medical Board to assess</li> <li>-the complaint is not in writing</li> <li>-the complaint is about an individual service rather than a doctor</li> </ul>	Retain minimum of 2 years after receipt, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		-the complainant remains anonymous.		
4.2.0	<b>Counselling</b>	The activities associated with the counselling of medical practitioners.		
4.2.1		Records relating to the counselling of medical practitioners	Retain minimum of 3 years after action completed, then destroy	
4.3.0	<b>Health Program Management</b>	The activities associated with investigating the health of impaired practitioners and the monitoring of compliance with conditions that may be placed on their registration.		
4.3.1		Records documenting the results of blood and urine analyses for relevant practitioners who, as a result of health, conduct, impairment or other issues require regular testing as part of ongoing monitoring arrangements.	Retain minimum of 10 years after results received, then destroy	
4.3.2		History summaries (also called Health Program Chronologies) detailing the events leading to a health practitioner's involvement, and subsequent participation in the health program. Also includes summaries of drug and alcohol monitoring for review purposes.	Retain minimum of 3 years after action completed, then destroy	
4.4.0	<b>Hearings and inquiries</b>	The activity of managing hearings including the policy and procedures for conducting hearings, evaluation and monitoring of hearings and fees for witnesses and hearing members.  See REGISTRATION – Applications for Registration for records relating to inquiries into the eligibility of an applicant		

\* see *About the functional retention and disposal authority*

## Medical profession regulation

Authority no: FA243

Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		to be registered as a medical practitioner (Schedule 1 inquiries).  See BOARD, COMMITTEE AND PANEL MANAGEMENT – Membership for the appointment of members of Professional Standard Committees, panel and hearing members.		
4.4.1		Records documenting decisions arising from the Medical Tribunal inquiries.	<b>Required as State archives</b>	Retain at NSW Medical Board for 25 years, then transfer to State Records.
4.4.2		Records relating to decisions arising from Professional Standards Committees, s.66 hearings and Schedule 1 inquiries. Includes decision summaries.	<b>Required as State archives</b>	Retain at NSW Medical Board for 25 years, then transfer to State Records.
4.4.3		Records relating to policy and procedures for conducting hearings and inquiries.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years or until superseded, then transfer to State Records.
4.4.4		Records relating to the setting of fees and remuneration for witnesses and hearing members.	Retain until superseded, then destroy	
4.4.5		Records of payment of fees to witnesses and hearing members.	Retain minimum of 6 years after action completed, the	

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
			destroy	
4.4.6		Evaluations of hearings completed by Chairperson of Medical Board hearings in consultation with hearing members.	Retain minimum of 10 years after action completed, then destroy	
4.4.7		Records monitoring outcome and conduct of Professional Standards Committees.	Retain minimum of 10 years after action completed, then destroy	
4.4.8		Exhibits presented at hearings.	Retain minimum of 30 years after death of doctor or 120 years after birth if death date is not known, then destroy	
4.5.0	<b>Performance program management</b>	The activities associated with educating and retraining practitioners who are neither impaired nor guilty of professional misconduct, but for whom the Board has concerns about the standard of their clinical performance.		
4.5.1		Reports from performance assessors that do not support complaints.	Retain minimum of 10 years after action completed, then destroy	
4.5.2		Certificates of Authority for performance assessors.	Retain until superseded, then destroy	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
4.5.3		Records relating to NSW Medical Board practice, procedures and policy in conducting performance review panels.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
4.5.4		Records relating to monitoring the compliance and effectiveness of orders in improving the performance of practitioners.	Retain minimum of 5 years after action completed, then destroy	
4.6.0	<b>Reporting</b>	The activities associated with compiling reports or statistical analyses of complaints.		
4.6.1		Statistical analysis of complaints or registrants.	Retain minimum of 2 years after action completed, then destroy	
5.0.0	<b>MINISTERIAL/GOVERNMENT RELATIONS</b>	The function of providing advice to the Minister for Health on issues relating to health or medical practice.		
5.1.0	<b>Audits</b>	Activity of managing responses to audits by Department of Health into the adequacy of registration and assessment processes.		
5.1.1		Photocopies of medical practitioner's files prepared for Department of Health audits.	Retain until no longer required for administrative or reference use by the Department, then destroy	

\* see *About the functional retention and disposal authority*

## Medical profession regulation

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
5.1.2		Records relating to the planning, conduct and results of audits carried out by Department of Health.	Retain minimum of 10 years after action completed, the destroy	
5.2.0	<b>Reporting</b>	The activity of reporting to the Minister for Health or the Parliamentary Secretary.		
5.2.1		Reports to the Minister or Parliamentary Secretary on matters of Medical Board policy or relating to specific medical practitioners and registrants.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
5.2.2		Provision of briefings to the Minister in relation to government inquiries or where there are implications for major liabilities or obligations on the part of the Medical Board.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
6.0.0	<b>REGISTRATION</b>	The function of identifying and registering the medical practitioners who are able to practice in NSW.		
6.1.0	<b>Applications for registration</b>	The activities associated with receiving, assessing and processing applications for registration and maintaining records of registered medical practitioners. Includes records of annual renewals.		
6.1.1		Summary records relating to the registration status and history of individual medical practitioners.  Includes records considered to comprise 'The Register', e.g. database or hard copy records recording the registration status, category, conditions, qualifications, employment or	<b>Required as State archives</b>	Retain in agency

\* see *About the functional retention and disposal authority*

## Medical profession regulation

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		practice location of registered medical practitioners. Also includes records maintained to facilitate management of registration and fitness to practice processes which are not deemed to comprise part of the 'Register.'		
6.1.2		<p>Records documenting inquiries into the eligibility of an applicant to be registered as a medical practitioner (Schedule 1 inquiries). Includes the application's registration records, records produced by the Board and HCCC in preparing for the inquiry, any documents presented to the inquiry as exhibits and appeals.</p> <p>See COMPLAINTS RESOLUTION AND HEARING MANAGEMENT – Hearings and Inquiries for records relating to decisions resulting from Schedule 1 inquiries.</p>	<p><b>Where registration is granted:</b></p> <p>Retain minimum of 30 years after death of doctor or 120 years after birth if death date is not known, then destroy</p> <p><b>Where registration is not granted:</b></p> <p>Retain minimum of 60 years after date of inquiry, then destroy</p>	
6.1.3		Applications from medical practitioners (including overseas trained doctors), post graduate trainees or specialists that are determined as declined or incomplete.	Retain minimum of 6 years after action completed, then destroy	
6.1.4		Records of assessment of applications for post graduate trainees and overseas medical practitioners and specialists	Retain minimum of 30 years after	

\* see *About the functional retention and disposal authority*

## Medical profession regulation

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		who are granted conditional registration.	death of doctor or 120 years after birth if death date is not known, then destroy	
6.1.5		Change of address notifications and related correspondence.	Retain minimum of 6 years after action completed, then destroy	
6.1.6		Correspondence sent by the Board that is marked 'returned to sender.'	Retain minimum of 3 years from date returned to office, then destroy	
6.1.7		Alphabetical index maintained to facilitate entry into the registration records of medical practitioners c.1940-c.1980.	<b>Required as State archives</b>	Transfer to State Records immediately.
6.2.0	<b>Doctors' Files</b>	Activities associated with managing the records documenting a doctor's period of registration.  According to the established practice of the NSW Medical Board, all records documenting the registration of an individual practitioner are filed together on one name identified 'Doctor's File'.		
6.2.1		Records relating to registered practitioners (Doctors' Files) where the doctor:  -has made a significant contribution to the profession. Includes past or current members of the NSW Medical Board, Presidents of the Australian Medical Association	<b>Required as State archives</b>	Retain at NSW Medical Board for 30 years, then transfer to State Records.

\* see *About the functional retention and disposal authority*

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>(AMA), university heads of departments, prominent politicians etc</p> <p>-has been subject to investigations and hearings arising out of the Board's powers for the protection of the public (s.66)</p> <p>-has been deregistered</p> <p>-is female and graduated before 1960.</p> <p>These records will contain the following records: application forms from applicants for registration, with supporting documents and identification records.</p> <p>Where relevant, these records could also contain: records concerning the temporary suspension of a registered medical practitioner where the NSW Medical Board determines that there is a serious threat to the public; records terminating or suspending the registration of a medical practitioner following a decision by the Medical Tribunal; records of the outcome of Health Care Complaints Commission investigations relating to any sustained complaint of a serious nature, or documents showing evidence of impairment; advice from interstate or overseas medical boards about registered practitioners which leads to suspension or cancellation of registration; records concerning counselling sessions for medical practitioners with cases of impairment that are not serious enough to be brought before an Impaired Registrant's Panel or the Medical Tribunal; assessments of medical practitioners by Board-nominated practitioners to determine whether they are impaired; records documenting agreed outcomes from Impaired Registrants Panels; monitoring of impaired medical practitioners, including testing, reviewing and assessment</p>		

\* see *About the functional retention and disposal authority*

## Medical profession regulation

Authority no: FA243

Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>with the goal of a return to full registration; records and recommendations from performance assessors supporting complaints received about medical practitioners; outcomes arising from performance reviews and appeals; records documenting Professional Standards Committee decisions.</p> <p>Note: Annual forms submitted by practitioners to renew their registration are also included in this entry.</p>		
6.2.2		<p>Records relating to registered practitioners (Doctors' Files) where the practitioner:</p> <ul style="list-style-type: none"> <li>-has <b>not</b> made a significant contribution to the profession</li> <li>-has <b>not</b> been subject to investigations and hearings arising out of the Board's powers for the protection of the public (s.66)</li> <li>-has <b>not</b> been deregistered</li> <li>-is <b>not</b> a female that graduated before 1960.</li> </ul> <p>See entry above for potential contents of these files.</p> <p>Note: Annual forms submitted by practitioners to renew their registration are also included in this entry.</p>	Retain minimum of 30 years after death of doctor or 120 years after birth if death date is not known, then destroy	
6.3.0	<b>Certificates of registration status/ good standing</b>	Activities associating with the issuing and receipt of Certificates of Registration Status or Certificates of Good Standing.		
6.3.1		Certificates of Registration Status or Certificates of Good Standing and associated correspondence issued to hospitals or other interstate or overseas Medical Boards. Includes application and payment.	Retain minimum of 6 years after issue, then destroy	

\* see *About the functional retention and disposal authority*

## Medical profession regulation

Authority no: FA243

Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
6.3.2		Certificates of Registration Status or Certificates of Good Standing and associated correspondence received from interstate or overseas Boards.	Retain minimum of 3 months after receipt, then destroy	
6.4.0	<b>Enquiries</b>	Activities associated with receiving and responding to enquiries about the registration process for medical practitioners.		
6.4.1		Community enquiries about registration that do not refer to a specific applicant or medical practitioner.	Retain minimum of 2 years after action completed and then destroy	
6.5.0	<b>Interstate and overseas decisions and advice</b>	The activity of receiving advice from interstate and overseas medical boards about registered and non registered medical practitioners.		
6.5.1		Decisions and advices resulting from investigations by interstate and overseas medical boards about medical practitioners in their jurisdictions where there is no record of application for registration in NSW.	Retain minimum of 3 years after receipt, then destroy	
6.6.0	<b>Unregistered practitioners</b>	The activity of investigating and in some cases prosecuting persons who use misleading titles to infer that they are a qualified or registered medical practitioner.		
6.6.1		Records of unregistered persons who advertise as medical practitioners or who otherwise hold themselves out to be registered medical practitioners, which lead to successful prosecution.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.

\* see *About the functional retention and disposal authority*

## Medical profession regulation

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Dates of coverage: c1940+

No	Function/Activity	Description	Disposal Action	Custody*
6.6.2		Records of unregistered persons who advertise as medical practitioners or who otherwise hold themselves out to be registered medical practitioners, where there is no prosecution undertaken, or where prosecution is unsuccessful.	Retain minimum of 10 years after last action, then destroy	
7.0.0	<b>STANDARDS AND CODES OF CONDUCT</b>	The function of establishing standards and codes of conduct for the medical profession.		
7.1.0	<b>Liaison</b>	The activity of liaising with Australian Medical College, Post Graduate Medical Council, Teaching Hospitals, Specialist Medical Colleges and other Medical Boards regarding policy, programs and audits.		
7.1.1		Records, including reports and publications from other organisations, involving substantial input from the Board or relating to a policy matter in which the Board has an interest.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
7.1.2		Minor correspondence, requests for general information or payments.	Retain minimum of 3 years after action completed, then destroy	
7.1.3		Records documenting liaison with Australian Medical College, Post Graduate Medical Council, Teaching Hospitals, Specialist Medical Colleges and other Medical Boards regarding qualifications, policy, programs and audits about conditional registration for overseas trained medical practitioners, postgraduate trainees and area of need positions.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
7.2.0	<b>Policy</b>	The activity of developing and establishing policies which act		

\* see *About the functional retention and disposal authority*

## Medical profession regulation

Authority no: FA243

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No	Function/Activity	Description	Disposal Action	Custody*
		as a reference for future decision making.  See BOARD, COMMITTEE AND PANEL MANAGEMENT – Policy for policies relating to the operation of the Board, its committees or subcommittees.		
7.2.1		Records documenting the formulation, research, drafting, reviewing, amending, endorsement and implementation of policies that support issued standards and codes of best practice for the medical profession.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.
7.3.0	<b>Standards</b>	The activity of developing and establishing standards which act as a reference for future decision making.		
7.3.1		Records documenting the formulation, research, drafting, reviewing, amending, endorsement and implementation of standards of medical practice.	<b>Required as State archives</b>	Retain at NSW Medical Board for 20 years, then transfer to State Records.

\* see *About the functional retention and disposal authority*