



Board of Nursing

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Board of Nursing

Most occupations and professions that require a state license are licensed and regulated by one of 36 boards and commissions. Kentucky is an autonomous board state, which means that these 36 agencies are not organized under an umbrella agency, but rather function as independent, autonomous units of state government.

The Board of Nursing was established in 1950 by KRS 314.011, which charged it with regulating the practice of nursing in Kentucky. The mission of the board is to enforce public policy related to the safe and effective practice of nursing in the interest of public welfare. It examines applicants and issues or renews licenses to qualified candidates, hears charges against licenses and determines whether to revoke licenses and prosecute those violating laws pertaining to nurses, approves curricula and standards for schools of nursing and monitors competency standards for nurses. In addition, the board approves providerships for mandatory continuing education and prelicensure programs of nursing, enforces the Nursing Practice Act and issues nursing practice opinions. The Board consists of sixteen members appointed by the Governor for four year terms.

The Board is self-supporting through fees assessed for professional licensure and receives no general fund tax appropriation.

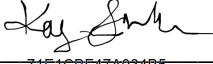


RECORDS RETENTION SCHEDULE

Signature Page

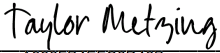


Board of Nursing	June 10, 2010
Agency	Schedule Date
	March 9, 2023
Unit	Change Date
	March 9, 2023
	Date Approved By Commission

APPROVALS


The undersigned approve of the following Records Retention Schedule or Change:

<small>DocuSigned by:</small>  <small>71E1CBF47A034B5...</small>	3/7/2023
Agency Head	Date of Approval
<small>DocuSigned by:</small>  <small>2DB09AZ1B9A0403</small>	3/8/2023
Agency Records Officer	Date of Approval
<small>DocuSigned by:</small>  <small>15FB049431A74FF...</small>	3/10/2023
State Archivist and Chairman, State Libraries, Archives, and Records Commission	Date of Approval

The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

<small>DocuSigned by:</small>  <small>A396FB4EFC6D46B...</small>	3/3/2023
Records Analyst/Regional Administrator	Date of Approval
<small>DocuSigned by:</small>  <small>767A3F5C640E417</small>	3/3/2023
Appraisal Archivist	Date of Approval
<small>DocuSigned by:</small>  <small>F25FB2B0E6434BA...</small>	3/3/2023
State/Local Records Branch Manager	Date of Approval

The determination as set forth meets with my approval.

<small>DocuSigned by:</small>  <small>B0957BB509E3413</small>	3/13/2023
Auditor of Public Accounts	Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Nursing, Board of
Agency Support

Record Group
Number
1920

Series	Records Title and Description	Function and Use
00754	Input Audit Report	This series documents a weekly printout of updated nurses' transactions such as reinstatement, change of status, or applications processed, which may result in issuance of a license to practice in Kentucky.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: date of report; flag; license number; name; SSN; status; alert code; mail
	Retention and Disposition	Retain in agency for three (3) years. Destroy after audit.

STATE ARCHIVES AND RECORDS COMMISSION
 Public Records Division
 Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
 RETENTION SCHEDULE

General Government
 Nursing, Board of
 Consumer Protection

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
00796	Investigative and Monitoring Folders (Action Taken) (V)	This series documents information obtained under KRS Chapter 314 and KAR 201 Chapter 20 relating to investigation and monitoring cases that resulted in a consent decrees, agreed orders, or final Board orders in the process of an investigation of a complaint per 201 KAR 20:161 and KRS 314.021(1) and actions taken against KBN licensees and credential holders. This series excludes records related to series 05472, Kentucky Alternative Recovery Effort (KARE) Program Participant Folders.
	Access Restrictions	KRS 61.878 (1)(a); (1)(h); (1)(i); (1)(j); (1)(k); (1)(l) Personal and investigative information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint(s), notice of charge, notice of intent, response to complaint, consent decree, agreed order, decisions entered by the Board, final disposition letter, terms for reinstatement, hearing transcripts with admitted exhibits, and investigative referential material.
	Retention and Disposition	At case closure, destroy investigative referential material; retain remaining records permanently.
04248	Attorney's Court Case File - (Working file) (V)	This series documents legal actions taken against the Board or by the Board in the state or federal courts and appeals of decisions of the Board after disciplinary hearings. It documents the disciplinary action taken against a licensee due to an initial complaint and investigation. Permanent documentation is retained in series 00796 and relevant court records.
	Access Restrictions	KRS 61.878 (1)(a)(h)(i) Personal and Investigative information.. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: court documents, i.e., orders, pleadings, motions, exhibits, court rules; attorney research and relevant correspondence.
	Retention and Disposition	Transfer to the State Records Center after case closure for an additional eight (8) years.
05472	Kentucky Alternative Recovery Effort (KARE) Program Participant Folder (V)	This series documents information obtained in the process of monitoring a licensee/applicant in the Kentucky Alternative Recovery Effort (KARE) program. The purpose of KARE is to identify nurses whose abilities to provide nursing care are compromised by dependency on drugs or alcohol and to assist these nurses so that they can return to competent and safe practice. The KARE for Nurses Program is a confidential, non-disciplinary, therapeutic monitoring program that offers an opportunity for education, treatment and recovery for the chemically dependent nurse. Participants must meet the eligibility criteria and voluntarily enter into an agreement with the program.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information; KRS314.171 (6)(7)(10) - privileged and confidential information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Copy of KARE program agreement/contract with nurse, licensure history, work performance reports, substance abuse meeting reports, UDS's, employer reports and other monitoring information, waivers, and letter of completion.
	Retention and Disposition	Retain active files in Agency during participation in the program. After successful completion of program retain program agreement, waivers, and completion letter for four (4) years in agency, transfer to the State Archives for Permanent retention. Destroy the balance of the file. For participants who fail to complete program transfer file to Records Series 00796, Investigative Folders.

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Nursing, Board of
Credentials

Record Group
Number
1920

Series	Records Title and Description	Function and Use
00746	Master File Folder - Registered Nurse and Practical Nurse (V)	This series documents the initial licensure of registered nurses and practical nurses in accordance with Kentucky Nursing Laws and Regulations KRS 314.00 and 201 KAR 20:056-500 and subsequent license activities. This series also includes historic nurses registration books, register lists, and legacy source documentation.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application for licensure, registration books, test results, program validation, continuing competency certificates, original out-of-state license, CGFNS International, Inc. (formerly known as the Commission on Graduates of Foreign Nursing Schools) Visa Screen Certificate, internship verification, and related correspondence.
	Retention and Disposition	Retain permanently.
00759	License Renewal Application File (V)	This series documents the renewal of licenses, registrations and credentials of nurses in accordance with Kentucky Nursing Laws and Regulations (KRS 314:00 and 201 KAR 20:056-500). Also documented is information regarding criminal history and disciplinary actions in other states and clinical competency determination and verification.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application for renewal, name/address, possible actions against a licensee in another state(s), criminal history, continuing competency validation, APRN registration, SANE credential, related documents and related correspondence.
	Retention and Disposition	Retain in agency for two (2) years and destroy after renewal.
00760	Reinstatement Application File (V)	This series documents the applicant's eligibility for reinstatement of a Registered Nurse (RN) license, License Practical Nurse (LPN) license, Advanced Registered Nurse Practitioner (ARNP) registration and/or Sexual Assault Nurse Examiner (SANE) credential. If a nurse fails to renew a license, registration, or credential, it lapses and must be reinstated. This series contains information which re-establishes the applicant's status to an active status and re-establishes the time frame for the renewal of the license, registration, or credential.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application, educational program information, previous and current disciplinary action pending/taken, payment information, and competency requirements.
	Retention and Disposition	Retain in agency for two (2) years and destroy after reinstatement.
00768	Incomplete Applications for Licensure - (RN and LPN)	This series documents applications for licensure, registration, and/or credentials that do not contain all regulatory requirements for licensure per KRS 314.00 and 201 KAR 20:056-500.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application, validation of out of state license, validation of continuing competency, name, address, DOB, SSN, related documents and related correspondence.
	Retention and Disposition	Retain in agency for one (1) year and destroy after incomplete application received.

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General Government
 Nursing, Board of
 Credentials

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
00785	Master Folder - Advanced Registered Nurse Practitioner (V)	This series documents the initial registration of each Advanced Registered Nurse Practitioner in Kentucky, per KRS 314.00 and 201 KAR 20:056-500.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application for registration, transcript, national certification, eligibility verification, supervision verification, RN licensure verification, continuing competency certificates, name, address, DOB, SSN, midwife permit documentation, related documents and related correspondence.
	Retention and Disposition	Retain in agency for one (1) year. Transfer to the State Records Center for permanent retention.
04976	SANE Master Files (V)	This series documents the initial issuance of a Sexual Assault Nurse Examiner (SANE) credential per KRS 314.00. This credential allows the holder to perform forensic examination of victims of sexual assault offenses under the medical protocol issued by the state medical examiner.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application, completion of approved SANE education program verification, continuing competency certificates, RN license number, name, address, DOB, SSN, related documents and related correspondence.
	Retention and Disposition	Retain in agency for one (1) year. Transfer to the State Records Center for permanent retention.
04979	Sexual Assault Nurse Examiner Program Documentation File	This series documents the agency's approval/renewal of Sexual Assault Nurse Examiner (SANE) educational programs. The documentation ensures that the program meets regulatory requirements. Programs are approved by the agency for a four-year period.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address; course syllabus; faculty qualifications; name and credentials of the nurse administrator of the program; completion requirements; and related correspondence
	Retention and Disposition	Retain current approval documentation. Outdated and/or superseded information may be destroyed after renewal or failure to renew.
06917	Jurisprudence Exam Guide (V)	This series documents the Board of Nursing's contributions on updates and revisions to the jurisprudence exam required for applicants. The exam is required to be completed by applicants for licensure by exam, endorsement, or reinstatement as a Licensed Practical Nurse (LPN), Registered Nurse (RN), or an Advanced Practice Registered Nurse (APRN). The exam consists of thirty-five (35) questions on Kentucky nursing laws and Advisory Opinion Statements, and is housed with the National Council of State Boards of Nursing (NCSBN) who oversees its administration.
	Access Restrictions	KRS 61.878(1)(g) - Information used for licensing jurisprudence examination
	Contents	Series may contain: the Jurisprudence Exam Study Guide, instructions, exam questions, and an answer key.
	Retention and Disposition	Maintain current version in Agency. Retain previous exams and materials for five (5) years after revisions, then destroy.

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General Government
 Nursing, Board of
 Professional Support

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
00770	Application for New Program of Nursing (PON) File	This series documents the approval of a new nursing program that is to be established within the Commonwealth. The proposal must ensure that the school will meet the required criteria for educating future nurses. An education committee within the Board evaluates all documents (curriculum, faculty, budget/funding) to ensure compliance with state laws and regulations. The Board may continue to monitor the school's progress by noting the percentage of nurses that pass the state boards (examination). It is currently working on a history of the nursing schools in Kentucky. Board Minutes (M0008) provide permanent documentation and approval of this process. Full approval status is gained after the nursing program graduates its first class. (Licensed Practical Nursing program is one year. Associate Degree of Nursing is a two year program. A Bachelor of Science Degree requires four years of study.)
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: program proposal (staff/student ratio, budget/funding information, location/allocation of space); curriculum; correspondence; details of nurse administrator and faculty.
	Retention and Disposition	Retain in agency for five (5) years, then destroy.
00772	School Visit Report File	This series documents the reports of visits to nursing education programs by Board representatives to verify that programs comply with the standards that have been set. In accordance with KRS 314.111 and 201 KAR 20:260-360, nursing programs must meet the specifications or be subject to closure.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: information related to governing institution, faculty and student records, administrative policies, clerical assistance, course syllabi, physical facilities, library and learning resources, clinical facilities.
	Retention and Disposition	Retain compliant reports in Agency for eight (8) years, then destroy. Retain non-compliant reports in Agency until program achieves compliance and all requirements have been met or program is closed, then destroy.
00773	Annual Report from Approved Nursing Programs	This series documents a comprehensive summary of program information, facilities, statistics and program activities of the past academic year from approved nursing programs. Program administrator report clinical facilities utilized in registered nurse programs and practical nurse programs, and accomplishments to convey the mission of the program.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: fiscal year reported; name/address of nursing program; name/address of institution granting degree; institution responsible for degree granting; signature of administrator; date of approval; length of program; accreditation curriculum outline; facilities; student admission; withdrawal; graduation; clinical agencies for nursing education programs; statistics.
	Retention and Disposition	Retain in agency for five (5) years, then destroy.
00774	Pass Rates for Kentucky Registered Nurse/Licensed Practical Nurse Programs of Nursing	This series documents the number of candidates who take, pass, and fail licensure examinations and the percentage of candidates who pass for each nursing program.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: name of nursing program; number of candidates taking; passing; failing; percentage passing examination.
	Retention and Disposition	Retain in agency for ten (10) years, then destroy.

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General Government
 Nursing, Board of
 Professional Support

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
00775	Application for Continuing Education Provider Approval File	This series documents that the provider has met Board requirements to present continuing education programming to nurses in the Commonwealth of Kentucky. A licensed nurse in Kentucky must have 14 continuing education contact hours or the equivalent every year, to be earned between November 1st and October 31st, to retain his/her professional license. Under the terms of 201 KAR 20:220, the provider requests an application for approval as a provider and the Board assigns the potential provider a permanent, nontransferable number. The regulation states the necessary standards and requirements to be approved as a provider and to continue as a provider. The Board may deny, revoke, suspend, or probate approval of any provider, continuing education activity, or other approved entity for just cause.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: initial provider approval application, check-list for initial provider approval application, provider fact sheet, provider agreement, sample vitae format, provider's philosophy and objectives, administrator and planner/consultant, related documents and related correspondence.
	Retention and Disposition	Retain in Agency and destroy two (2) years after provider non-renewal.
00776	Continuing Education Provider Renewal Application File	This series documents the renewal of Board approval for providers of continuing education for nurses. It documents a provider's activities such as course and curriculum offerings, evaluations of the courses, and proposed schedules. The first time approval of a provider is in effect until December 31st of the second year from the initial approval date. Renewals of approval are then for five year periods. The initial provider approval file (00775) is retained until the provider has not renewed providership for five years. There is a fee to providers for renewal and this series is audited fiscally every two years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application, announcement samples, evaluations, proposed schedules, and correspondence.
	Retention and Disposition	Retain in Agency for two (2) years. Destroy after audit.
00777	Refresher Course Provider Approval Application File	CLOSED SERIES: This series documents a provider's application to present refresher courses to nurses. Under the terms of KRS 314.041 and KRS 314.051, nurses are required to continually update their credentials through refresher courses. Approved refresher course means an organized learning experience, designed, planned, and evaluated to meet behavioral objectives designed to update knowledge with current nursing theory and clinical practice. By design, a refresher course consists of didactic and clinical learning experiences which address current professional entry level competencies by licensure category. Beginning in 1987, providers had to apply, and be approved before offering these courses, which is what this file represents. 201 KAR 20:380 mandates that refresher courses be offered and the providers approved. These courses were required initially due to a shortage of nurses. The demand for refresher courses cycle with the need for nurses.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: name of nurse administrator; instructor qualifications; course syllabus - requirements and prerequisites; fees; objectives; content; time frame; teaching methods; evaluation; instructional materials; completion requirements; course presentation dates; contact hour credit for continuing education; clinical practice ratio; and approval period
	Retention and Disposition	Destroy five (5) years after refresher course is no longer offered.

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 Nursing, Board of
 Professional Support

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
00779	Individual Request for Review of Continuing Education Activity	This series documents the process of applying for approval for specific courses. These would include courses that an individual has taken outside of an approved program. This may include out-of-state courses. The Board requires continuing education hours, and nurses can claim these hours retroactively for thirty (30) days after end of earning period.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: application; course schedule or syllabus; certificate of attendance.
	Retention and Disposition	Retain in Agency for two (2) years. Destroy after continuing education audit.
04213	Approved Scholarship Application File - NISF	This series documents the recipients of the Nursing Incentive Scholarship Fund (NISF) from the initial application through the employment obligations in Kentucky. The fund was created to provide a source of financial aid to nursing students in Kentucky. The applicant may complete a Pell Grant application from the Kentucky Higher Education Assistance Authority. Eligibility is based on three preference categories: 1) financial need, 2) becoming a Registered Nurse after completing course work for the Licensed Practical Nurse program, and 3) registered nurses pursuing a higher level of education. The information is input and processed by the NISF Data Base (04215). KBN decide how many scholarships are awarded.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Application; name, address, SSN, education completed, work experience, current licensure status; authorization for release of information; verification of student status; verification of sponsoring facility; financial reports; school transcripts; contract; promissory note; academic progression verifications; employment records; related correspondence
	Retention and Disposition	Destroy three (3) years after the work contract has been satisfied, and audit.
04214	Ineligible Scholarship Application File - NISF	This series documents the applicants who were denied financial aid or the Nursing Incentive Scholarship Fund (NISF). They did not meet the eligibility requirements to receive scholarship funds. A new application would be required each year that financial aid is available.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: application - name, address, phone number, SSN, education completed, work experience; current licensure status (if applicable); authorization for release of information; verification of student status; verification of sponsoring health facility; financial reports; school transcript(s); notification letter denying scholarship.
	Retention and Disposition	Retain in agency for one (1) year, then destroy.
04215	Nursing Incentive Scholarship Fund (NISF)	This series documents information regarding the status of the Nursing Incentive Scholarship Fund (NISF) and each of the candidates/students that apply for financial aid from the fund. Included is the financial information and costs of administering the program on a quarterly basis, as well as the scholarship funds that are awarded to the applicants. It provides information for the Board concerning the status of an applicant.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	
	Retention and Disposition	Delete three (3) years after the work contract has been satisfied, and audit completed.

STATE ARCHIVES AND RECORDS COMMISSION
 Public Records Division
 Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
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General Government
 Nursing, Board of
 Professional Support

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
04398	Continuing Education Audit File	This series documents audits required of the nursing/licensee population to determine compliance with the continuing education requirements for licensure renewal, as provided for in KRS 314.073 and 201 KAR 20:215(3). Audit responses are reviewed for the number of hours, dates of completion and approval source. Audit responses found to be deficient are processed through the Investigation Branch through the disciplinary action process. Fourteen hours, or the equivalent per year, earned between November 1st and October 31st, will satisfy continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: audit letter; certificate of completion; name, address, license number; continuing education courses; continuing education credits; dates of completion.
	Retention and Disposition	Destroy two (2) years following the end of the audit year in which continuing education credits were earned.
05459	Prelicensure Nursing Program Nurse Faculty/Clinical Instructor Record	This series documents nurses who function as faculty, either nurse faculty or clinical instructors, for prelicensure nursing programs in Kentucky.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of program of nursing, type of program, type of appointment, name of appointee, KY RN license number, appointment date, employment status, initial preparation in nursing, additional education obtained, teaching and clinical responsibilities, experience in assigned clinical or functional area, experience in the application of principles of teaching and learning, signature of appointee, signature of nurse administrator.
	Retention and Disposition	Retain in Agency and destroy one (1) year after termination of employment.
05460	Advisory Opinion Statements Folder	This series documents the Advisory Opinion Statement (AOS) published by the Board. In 1983, the Kentucky Board of Nursing began publishing advisory opinion statements on various nursing practice issues. These statements are issued as guideposts to licensees who wish to engage in safe nursing practice. When studying practice issues, the Kentucky Board of Nursing reviews and considers applicable standards of practice statements issued by professional nursing organizations; the educational preparation of both Registered Nurses and Licensed Practical Nurses as provided in the prelicensure nursing education programs in Kentucky; and, when applicable, the organized post-basic educational programs for Advanced Registered Nurse Practitioners. Kentucky Board of Nursing also gathers information regarding practice issues from nurses in relevant practice settings, including staff nurses, supervisors, nurse faculty members, and /or representatives from state nursing associations, among others. The Kentucky Board of Nursing reviews applicable opinions issued by the Office of the Attorney General. When multiple inquiries are received on the same practice matter, the Kentucky Board of Nursing publishes an advisory opinion statement for wide dissemination. An opinion statement is an advisory opinion of the Kentucky Board of Nursing as to what constitutes safe nursing practice; its not a regulation of the Board and therefore does not have the force and effect of law. The opinions are revised frequently as medical knowledge becomes available and retained in agency.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: advisory opinions on practice manners, initial approval date, revision date(s), de-publication date.
	Retention and Disposition	Retain record copies of Advisory Opinion Statements (AOS) permanently. Forward two (2) copies of AOS issued in paper to the Archives and Records Management Division when issued; or forward one (1) copy of AOS held in electronic format or issued for general public distribution on the agency's web site. Retain one (1) copy in agency. Destroy excess copies when no longer needed.

STATE ARCHIVES AND RECORDS COMMISSION
 Public Records Division
 Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
 RETENTION SCHEDULE

General Government
 Nursing, Board of
 Professional Support

Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
05461	Dialysis Technician Credential-Renewal Application	This series documents applicant's eligibility for renewal of DT credential as stated in 201 KAR 20:470. A dialysis technician renews every two years from the date of issuance of the credential. This series documents criminal convictions and/or current/pending disciplinary actions, as well as ongoing clinical competency validation.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: renewal application; biographical data; social security number; date of birth; certificate number; address; criminal convictions and disciplinary information; name and address of employer; signature of applicant; competency validation statement
	Retention and Disposition	Retain in agency for four (4) years. Destroy after audit.
05462	Dialysis Technician Credential-Reinstatement Application File	This series documents applicant's eligibility for reinstatement of Dialysis Technician credential as stated in 201 KAR 20:470. IT documents lapsed status of credential and its reinstatement. The Dialysis Technician License Number remains the same for each individual. If credential is not renewed, then credential lapses and must be reinstated.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: biographical data; name; address; social security number; date of birth; certificate number of applicant; checklist for competency validation form; DT training program education; current employment as DT; disciplinary/criminal convictions history; year credential lapsed; notarized signature of applicant and photograph.
	Retention and Disposition	Retain in agency for four (4) years. Destroy after audit.
05463	Dialysis Technician-Incomplete Applications	This series contains applications for Dialysis Technician credential that are incomplete and for which credentials were not issued. It also contains applications from ineligible applicants.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: applications from persons who did not submit all the information required to determine eligibility, or from persons who not eligible. May contain: name; address; social security number; date of birth; educational information; current employment as Dialysis Technician; disciplinary information; criminal convictions; signature and/or photograph
	Retention and Disposition	Retain in agency for three (3) years. Destroy after audit.
05466	Dialysis Technician Training Program File	This series documents a Dialysis Technician training program's eligibility for initial, renewal and reinstatement per 201 KAR 20:470. The documentation ensures that the program meets regulatory requirements. Programs are approved by the agency for a two-year period.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address of applicant institution; name and title of program administrator; offering dates planned; detailed program documentation; signature of program administrator, graduate list.
	Retention and Disposition	Retain current information updating as necessary. Destroy two (2) years after non-renewal.

STATE ARCHIVES AND RECORDS COMMISSION
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STATE AGENCY RECORDS
 RETENTION SCHEDULE

General Government
 Nursing, Board of
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Record Group
 Number
 1920

Series	Records Title and Description	Function and Use
05470	Dialysis Technician Initial Credential Application	This series documents applicant's eligibility for Dialysis Technician credential as stated in 201 KAR 20:470. Data is entered into the Dialysis Technician electronic database.
	Access Restrictions	KRS 61.878 (1)(a) Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Name, address, gender; social security number; date of birth; name and address of DT training program completed; month and year of enrollment; month and year of completion; employment information as DT; disciplinary/criminal convictions history; notarized signature; and photograph
	Retention and Disposition	Retain permanently.
05471	Refresher Course Provider Renewal Application File	CLOSED SERIES: This series documents the practice of renewal of providership for refresher courses. It documents a provider's activities such as proposed schedules. Providers are approved for a two (2) year period, then must be reapproved through the renewal process. The file represents that renewal. The initial provider file (00777) is retained until the provider has not offered any courses for five (5) years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application; announcement samples; evaluations; proposed schedules; and correspondence
	Retention and Disposition	Retain in Agency for four (4) years. Destroy after audit.
06109	Nursing Practice Inquiries	This series documents communications to the Nursing Practice Consultant (NPC) from nurses and the general public regarding scope of practice and adherence to Kentucky Nursing Laws, Administrative Regulations, and Kentucky Board of Nursing (KBN) Advisory Opinion Statements. Responses are based on current nursing statutes, administrative regulations, and KBN issued advisory opinions. The responses help guide the actions of nurses in their nursing practice.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of person contacting KBN, date, time, questions(s) asked and response(s) from NPC.
	Retention and Disposition	Retain in Agency for two (2) years, then destroy.

Electronic System With Included Records Series

General Government

Nursing, Board of

System Description: EDvera is a document management platform that allows Kentucky regulated nursing programs to submit and maintain required documentation. There are no federal or state mandates governing the system.

System Contents: Basic nursing program information is entered by office staff. Documentation providing evidence of compliance with 201 KAR 20:260-360 is submitted by nursing program staff (general public, although limited to specific individuals).

Gen. Schedule Items: M0002, M0007, M0051

System Title: **EDVERA**

Alternate Title:

<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
00770	Application for New Program of Nursing (PON) File	Retain in agency for five (5) years, then destroy.
00772	School Visit Report File	Retain compliant reports in Agency for eight (8) years, then destroy. Retain non-compliant reports in Agency until program achieves compliance and all requirements have been met or program is closed, then destroy.
00774	Pass Rates for Kentucky Registered Nurse/Licensed Practical Nurse Programs of Nursing	Retain in agency for ten (10) years, then destroy.
00775	Application for Continuing Education Provider Approval File	Retain in Agency and destroy two (2) years after provider non-renewal.
00776	Continuing Education Provider Renewal Application File	Retain in Agency for two (2) years. Destroy after audit.
04979	Sexual Assault Nurse Examiner Program Documentation File	Retain current approval documentation. Outdated and/or superseded information may be destroyed after renewal or failure to renew.
05459	Prelicensure Nursing Program Nurse Faculty/Clinical Instructor Record	Retain in Agency and destroy one (1) year after termination of employment.
05466	Dialysis Technician Training Program File	Retain current information updating as necessary. Destroy two (2) years after non-renewal.

Electronic System With Included Records Series

General Government

Nursing, Board of

System Description: The database is designed to provide data management in the areas of applications, exams, licensing, credentialing, certifications, discipline, monitoring, and alternative to discipline information concerning all applicants, licensees, credential holders, privilege holders, or certificate holders over which the Kentucky Board of Nursing has jurisdiction, or authority.

System Contents: This database has personal, application, license, renewal certification, exam, discipline, monitoring, and alternative to discipline information concerning applicants, licensees, credential holders, privilege holders, or certificate holders. It also provides for secure communication with licensees and certificate holders through the ORBS messaging center. Information is primarily entered into the system by KBN staff. Complaints may be entered by consumers, facilities, and through self-reports. Applicants, licensees and certificate holders enter/upload information through applications, and the portal messaging center. In addition, it contains application data and documentation for the Nurse Incentive scholarship fund.

Gen. Schedule Items: M0002, M0053

System Title: Optimal Regulatory Board System

Alternate Title: ORBS

Series #	Series Title:	Disposition Instructions:
00746	Master File Folder - Registered Nurse and Practical Nurse	Retain permanently.
00759	License Renewal Application File	Retain in agency for two (2) years and destroy after renewal.
00760	Reinstatement Application File	Retain in agency for two (2) years and destroy after reinstatement.
00768	Incomplete Applications for Licensure	Retain in agency for one (1) year and destroy after incomplete application received.
00785	Master Folder - Advanced Registered Nurse Practitioner	Retain in agency for one (1) year. Transfer to the State Records Center for permanent retention.
00796	Investigative and Monitoring Folders (Action Taken)	At case closure, destroy investigative referential material; retain remaining records permanently.
04213	Approved Scholarship Application File - NISF	Destroy three (3) years after the work contract has been satisfied, and audit.
04214	Ineligible Scholarship Application File - NISF	Retain in agency for one (1) year, then destroy.
04215	Nursing Incentive Scholarship Fund (NISF)	Delete three (3) years after the work contract has been satisfied, and audit completed.
04976	SANE Master Files	Retain in agency for one (1) year. Transfer to the State Records Center for permanent retention.
05461	Dialysis Technician Credential-Renewal Application	Retain in agency for four (4) years. Destroy after audit.
05462	Dialysis Technician Credential-Reinstatement Application File	Retain in agency for four (4) years. Destroy after audit.
05463	Dialysis Technician-Incomplete Applications	Retain in agency for three (3) years. Destroy after audit.
05470	Dialysis Technician Initial Credential Application	Retain permanently.
05472	Kentucky Alternative Recovery Effort (KARE) Program Participant Folder	Retain active files in Agency during participation in the program. After successful completion of program retain program agreement, waivers, and completion letter for four (4) years in agency, transfer to the State Archives for Permanent retention. Destroy the balance of the file. For participants who fail to complete program transfer file to Records Series 00796, Investigative Folders.