



# Board of Pharmacy

## 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 Pharmacy**

The Kentucky Board of Pharmacy serves the Commonwealth to promote, preserve, and protect the public health, safety, and welfare through effective regulation of the practice of Pharmacy. The Board accomplishes this mission through examination, testing and credentialing of prospective pharmacists; regulation and discipline of all licensed pharmacists; and appropriate communication of information and laws pertaining to the practice of Pharmacy in Kentucky. The Kentucky Board of Pharmacy is self-supporting and receives no general fund tax appropriation. It is funded through fees assessed for the licensing and registration of its professionals and the permitting of pharmacies and wholesaler/manufacturing facilities.

The first Board was assembled informally in 1874 and formally formed in 1898 and originally functioned as part of the Department of Health. In 1936 the Board was placed within the Department of Business Regulation, Division of Professional Regulation. In 1938, the responsibility for the enforcement of the prophylactic laws was vested in the Board. By 1960 the Board was back within the Department of Health. Under KRS 315.191(Created 1966 Ky. Acts ch. 260, sec. 1.), the board was authorized to establish qualifications for pharmacists; administer pharmacy license examinations; issue, deny, suspend, and revoke licenses; and place licensees on probation. The board was also authorized to adopt appropriate rules to regulate those matters set forth in KRS 315.050 to 315.210 relating to pharmacists and pharmacies.

RECORDS RETENTION SCHEDULE

Signature Page

Board of Pharmacy  
Agency

June 10, 1994  
Schedule Date

Unit


September 8, 2005  
Change Date

September 8, 2005  
Date Approved by Commission

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APPROVALS

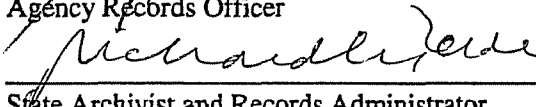
The undersigned approve of the following Records Retention Schedule or Change:

  
Agency Head

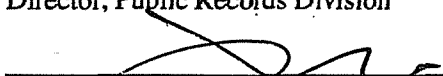
9-8-05  
Date of Approval

  
Agency Records Officer

9-8-05  
Date of Approval

  
State Archivist and Records Administrator  
Director, Public Records Division

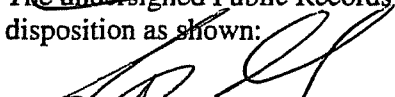
9-8-05  
Date of Approval

  
Chairman, State Archives and Records Commission

9/08/05  
Date of Approval

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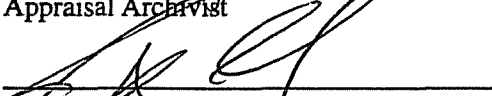
The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

  
Records Analyst/Regional Administrator

9/8/05  
Date of Approval

  
Appraisal Archivist

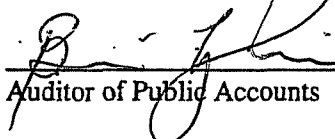
9/8/05  
Date of Approval

  
State/Local Records Branch Manager

9/8/05  
Date of Approval

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The determination as set forth meets with my approval.

  
Auditor of Public Accounts

9/8/05  
Date of Approval

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Pharmacy, Board of

Record Group  
Number  
2080

Series	Records Title and Description	Function and Use
00935	<b>Master Folder (Includes Pharmacists, Pharmacies, Wholesalers, and Manufacturers) (May include: application, internship record, correspondence, test results, disciplinary activity) (V)</b>	This series documents the professional status and history of a permit holder or licensee. This series documents manufacturing, distribution, or dispensation of all legend medications either by pharmacists (dispensing) or facilities issued permits by the Board. It reflects annual renewals and investigations of complaints and disciplinary actions. Essentially, every required activity relevant to the continuance of professional practice or business will be documented in the Master Folder. A new folder will be created when a permit holder sells the business/store. The name of the business may stay the same, however, a new owner is identified. Until a license or permit expires, the files may be accessed daily. *Pharmacists-1887; In-State Pharmacies-1966, Out-of State Pharmacies-1990; Wholesalers-1982; Manufacturers-1982. **All four types of files, active and in-active.
	<b>Access Restrictions</b>	KRS 61.878 (1) (f)-Disciplinary activities
	<b>Contents</b>	Initial applications; Renewals; Correspondence; Inspection Reports; Complaints; Investigatory reports; Test Results; Disciplinary activities.
	<b>Retention and Disposition</b>	Retain Master Folder of pharmacists permanently. Destroy file of pharmacies, wholesalers and manufacturers five (5) years after expiration of license.
00937	<b>Master List of Registered Pharmacists and Pharmacies</b>	This series documents those who are licensed or hold a permit to conduct business in Kentucky. KRS 315.180 requires that the executive director maintain such a register of persons issued licenses or permits. Wholesalers and manufacturers have not been included until this year. The register reflects the name of the licensee, permit number and address. The register is generated by the Department for Information Systems because the Board currently does not have the technological capability of producing it.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of licensee or permit holder; Date of list; License or Permit number; Address
	<b>Retention and Disposition</b>	Retain current copy of register and transfer one (1) copy to the State Archives Center for Permanent retention. Outdated register may be destroyed after updated.
00938	<b>License Renewal Card File (V)</b>	This series documents the license renewals of pharmacists. Renewal of the license is to be done by March 31 of each year. Failure to comply results in automatic revocation of a license, unless the pharmacist is able to show at a hearing before the board that the failure to renew was not willful. The card also reflects any disciplinary activity and that continuing education requirements have or have not been satisfied.
	<b>Access Restrictions</b>	KRS 61.878 (1) (a) (f)-Disciplinary action
	<b>Contents</b>	Name, address, phone #, SS#; License #; Place of business practice, phone #; Disciplinary activity, if any, and Continuing Education Units for the renewal cycle.
	<b>Retention and Disposition</b>	Retain for five (5) years. Destroy after audit.
04392	<b>Master Log of Pharmacists</b>	This series documents the name of each pharmacist upon licensure and full board examination scores. Reciprocal candidates and the state from which they reciprocate are identified. The names in the master log will be entered only once, even if, for example, they move from Kentucky, then return.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of Licensee, Date of Licensure, Exam Score; Reciprocating State, License No.
	<b>Retention and Disposition</b>	Retain Permanently.

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Pharmacy, Board of

Record Group  
Number  
2080

Series	Records Title and Description	Function and Use
04393	<b>Licensure/Score Transfer and Examination Candidate File</b>	This series documents the application of candidates awaiting approval for licensure in Kentucky. A licensure transfer candidate is waiting for the transfer to Kentucky's Board of Pharmacy the licensing documents from a reciprocating state, indicating that all licensing requirements in another state have been completed. A score transfer candidate has previously successfully completed the national examination in another state and has submitted an application to take the state exam. A licensure transfer candidate has 180 days from date of application to provide the necessary documents for licensure in Kentucky. An examination candidate is a graduate of an accredited school or college of pharmacy who has met, or attempting to meet, the qualifications prerequisite to sitting for the national and state examination. He has no specific time frame, but generally, a new application is requested for a new examination date, especially if more than a year has passed.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Application; Correspondence; Supporting documents
	<b>Retention and Disposition</b>	Retain for three (3) years.
04394	<b>Register of Permits Issued Card File</b>	This series documents the permits issued to pharmacies, wholesalers and manufacturers that conduct business in Kentucky. Pursuant to KRS 315.035, .0351, and .036 requires in- and out-of-state pharmacies, wholesalers, and manufacturers to register with and obtain a permit from the Board of Pharmacy before manufacturing or distributing legend medication in the state. If the business is sold, it is cross-referenced, reflecting the new owner(s), and a new card is created for the new owner(s). *Permits for wholesalers and manufacturers began in 1986.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Name of permittee; Permit number; Address; Date of Permit
	<b>Retention and Disposition</b>	Retain Permanently.
04395	<b>Internship File (V)</b>	This series documents a student's progress in fulfilling intern requirements necessary for licensure candidacy. Pursuant to KRS 315.050 (4), the Board of Pharmacy establishes standards for qualifying internship and determines appropriate qualifications for pharmacists supervising approved internship programs. Certificates of internship are valid for four years from date of issuance. An intern must complete 1500 work hours to be eligible to sit for the pharmacist licensure examination. The internship is completed under the supervision of a preceptor, one that has been licensed by the Board for at least one year and actively engaged in the practice of pharmacy full-time.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Correspondence, Application, Affidavits of employment
	<b>Retention and Disposition</b>	Upon completion of the internship requirements, transfer to the Master Folder (00935). If the requirements are not completed, destroy five (5) years after date of last activity.

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

STATE AGENCY RECORDS  
RETENTION SCHEDULE

General Government  
Pharmacy, Board of

Record Group  
Number  
2080

Series	Records Title and Description	Function and Use
04396	<b>Examination File (V)</b>	This series documents the examination process and results for pharmacist licensure candidates. Part of each examination is produced and provided by the National Association of Boards of Pharmacy, which then provides the Board with a printout listing the results. The state portion of the exam is produced and provided by the Board of Pharmacy. Each part is administered concomitantly, twice yearly, by the Board. Copies of the results are retained in the file. The results of the exams are transcribed to the individual's Master Folder (00935). The file also contains audio tapes, for the oral portion of the examination, and examination sheets. The examinee has thirty days in which to contest a test score. There is no further recourse after the thirty-day period.
	<b>Access Restrictions</b>	KRS 61.878 (1) (e) - Copy of examination
	<b>Contents</b>	Series contains: State examination; composite list of examinees for national test/national score; state list, scores; roster of candidates; master list of names with code numbers; student exam results .
	<b>Retention and Disposition</b>	Destroy after audit. NOTE: Audio tapes and examination sheets may be destroyed forty-five (45) days after notification to candidate of scores.
04969	<b>Complaint File - Unfounded (V)</b>	This series documents consumer complaints against licensees where the investigations do not result in disciplinary action by the Board. If disciplinary action is warranted, information about the investigation and resulting action(s) will be found in the Master Folder - 00935, which is a permanent record.
	<b>Access Restrictions</b>	KRS 61.878 (1) (h)
	<b>Contents</b>	Series contains: All evidence developed and summary report of the investigator
	<b>Retention and Disposition</b>	Retain for three (3) years.
05430	<b>Complaint File -- Substantiated (Case File) (V)</b>	It is the responsibility of Board to investigate formal complaints filed by citizens and/or other public agencies against pharmacists. Most common complaints include: medication error, pharmacist impairment, diversion of drugs; failure to renew permit or license; and failure to complete continuing education requirements. The Board handles an average of approximately one hundred twenty (120) cases per year. Approximately ninety-five (95) percent of these cases are founded. A Board of Pharmacy Inspector follows up on a complaint with a set of Facts and Findings. The case then proceeds to the Case Board Review Committee and after review makes a recommendation to the Board. The Board then decides to accept the recommendation or proceed with another action. If the Board issues an Agreed Order, it is then sent to the Licensee or Permit Holder. If the Pharmacist does not accept the Agreed Order, consultation with the Executive Director, mediation or a hearing may result. The most common penalties are administrative fines and/or continuing education requirements, however suspension or revocation of a license may be possible. A list of Founded Complaints and Agreed Orders or any disciplinary action taken against an individual licensee is kept in that licensee's file.
	<b>Access Restrictions</b>	KRS 61.878(1)(a) (g) (h)
	<b>Contents</b>	May contain: Original Complaint; Investigation Report; Agreed Order; Continuing Education Requirements; Correspondence; Drug Screening Results; Work Site Locations; Meeting Requirements; Evaluations; Open Records Requests.
	<b>Retention and Disposition</b>	Retain Permanently.



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## *Electronic System With Included Records Series*

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### **General Government**

#### *Pharmacy, Board of*

**System Description:** A form and data management platform that allows for the collection and distribution of specified data points as requested by the state agency.

**System Contents:** Back Office includes data entered by the state agency from initial applications for individuals that includes name, address, effective date, expiration date, license/permit number, disciplinary actions, copies of renewal information, and employment information. For facilities, data includes name of business, address, effective date, expiration date, license/permit number, registration information, hours of operation (if applicable), owner information, disciplinary actions, copies of renewal information, and employee information.

**Gen. Schedule Items:**

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System Title: **AppEngine**

Alternate Title:

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<i>Series #</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>
00935	Master Folder	Retain Master Folder of pharmacists permanently. Destroy file of pharmacies, wholesalers, and manufacturers five (5) years after expiration of license.
00937	Master List of Registered Pharmacists and Pharmacies	Retain current copy of register and transfer one (1) copy to the State Archives Center for Permanent retention. Outdated register may be destroyed after updated.
04392	Master Log of Pharmacists	Retain permanently. Retain in Entity
04394	Register of Permits Issued Card File	Retain permanently. Retain in Entity

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# *Electronic System With Included Records Series*

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## **General Government**

### *Pharmacy, Board of*

**System Description:** SansWrite is a web-based compliance monitoring platform used by the Board of Pharmacy to inspect pharmacies, and drug wholesalers and drug manufacturers.

**System Contents:** SansWrite is used by field staff to enter inspection results of Hospitals, Organized Healthcare Facilities and Infusion Pharmacies, Manufacturer, Medical Gas, Nuclear, Pharmacy, Wholesaler, Non-sterile and Sterile Compounding

#### **Gen. Schedule Items:**

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System Title: **SansWrite**

Alternate Title:

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**Series #**      **Series Title:**

**Disposition Instructions:**

00935      Master Folder

Retain Master Folder of pharmacists permanently. Destroy file of pharmacies, wholesalers, and manufacturers five (5) years after expiration of license.

04394      Register of Permits Issued Card File

Retain permanently. Retain in Entity