

BOARD OF NURSING

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF EXECUTIVE MANAGEMENT

BUREAU OF ADMINISTRATION

PMB 01234

RECORDS MANAGEMENT PROGRAM

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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer

State Records Manager

SUBJECT: Records Retention and Destruction Schedule Manual

DATE: December 24, 2014

In 1967, the South Dakota Legislature established the Records Management Program and the Records Destruction Board. In the same act, the Legislature required every State agency to develop a records retention and destruction schedule and declared that "No record shall be destroyed or otherwise disposed of by any agency of the State unless it is determined by majority vote of such board (Records Destruction Board) that the record has no further administrative, legal, fiscal, research or historical value."

According to Administrative Rule 24:52:11:01, any State government agency planning to destroy agency records shall notify the State Archivist 30 days before the date of the proposed destruction. The request shall include the name or title of the records, inclusive dates, information content of the records, and quantity. This rule applies to all records, including those granted exclusive or continuous disposal authorization by the Records Destruction Board, with the following exceptions: vouchers, original and copies, and supporting documents; warrants, original and copies, multiple copies of State publications stored in bulk; obsolete blank forms; photocopies of computer printouts; and original copies of records that have been legally reproduced under the provisions of SDCL 1-27-4.

The State Archivist has 30 days to certify that the records have no permanent value and may be destroyed, or to make arrangements to transfer the records to the archives. If the Archivist fails to make a recommendation within this time, the records may be destroyed, provided that the agency has received authorization from the Records Destruction Board.

Finally, if you have any questions about implementing this manual or about your records in general, please contact Records Management at 773-3589. We will welcome an opportunity to discuss the proper implementation of sound records management practices.

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, <u>Doneen Hollingsworth</u> (name), acting in my position as <u>Secretary of the Department of Health</u> (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the <u>Board of Nursing</u> (department) consists of <u>19</u> pages and contains record series number(s) <u>BON-1</u> (consecutively re-numbered) through <u>BON-33</u>.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the <u>Board of Nursing</u> (department) consists of <u>5</u> pages and contains record series number(s) <u>BON-21</u>, <u>BON-23</u>, <u>BON-25</u>, <u>BON-27</u>, and <u>BON-35.1</u>.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

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Much Asllinguest	11/18/14
Doneen Hollingsworth, Secretary of the Department of Health	Dete
The above and foregoing Petition is hereby recommended for approval by the	ne State Records Destruction
Board. Jana Hollar	12/1/2014
Dana Hoffer, State/Records Manager	Date
DESTRUCTION AUTHORITY	h
I hereby certify that the State Records Destruction Board met on the	day ofDecember,
2014, and authorized the destruction of the records described in the foregoing	
provided for their storage.	12-10-2014 Date
Signature, Chairman of the Board	Date

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RECORD SERIES NO.

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R.D.B. AUTHORITY NUMBER

BON-1. ACCOUNTS PAID FILE:

14-007

This series is arranged chronologically and contains copies of vouchers with attached invoices and bills received from various vendors for goods and services provided to the Board of Nursing. This record series may also include: travel vouchers, bank account registers, bank statements, monthly check registers, purchase journals, and monthly available funds reports. This record series document all authorized expenditures made by the Board and is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

BON-2. <u>ADMINISTRATIVE REFERENCE FILES</u>:

14-007

This series may be arranged by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Destroy superseded or obsolete.

(Note: Review files on a yearly basis to avoid build-up of superseded or obsolete materials.)

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BON-3. <u>ADMINISTRATIVE RULES PROMULGATION FILES:</u>

14-007

This series is arranged by subject matter and contains administrative rules promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comments from the public, transcripts of hearings, and final decisions. Files have very little reference activity once the hearing has been held unless someone requests a copy of the transcript. This record series is maintained for documenting the proper promulgation of administrative rules pursuant to SDCL 1-26.

RETENTION: FINAL DECISIONS: Retain permanently in an Electronic Document Management System (EDMS).

ALL OTHER DOCUMENTATION: Retain in an Electronic Document Management System (EDMS) for as long as the rules are in effect, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

(Note: SDCL 1-26-7 states in part that "each agency shall keep the original records, documents, and instructions required by the chapter." There is no time frame included for these records. Since SDCL 1-26-6.8 provides that "No rule is enforceable in the Courts unless properly adopted," the records must be maintained at least until a curative statute has been adopted by the Legislature similar to SDCL 1-26A-2, which cures all defects in the adoption of rules appearing in the 1974 printed ARSD.)

(Note: Consider converting electronic images to microfilm when volume warrants.)

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BON-4. ADVANCED PRACTICE FILES:

14-007

This series is arranged alphabetically by name and contains all related documentation on Certified Nurse Practitioner (CNP), Certified Nurse Midwife (CNM), Certified Registered Nurse Anesthetist (CRNA), and Clinical Nurse Specialist (CNS) licensees. Information may include: name, copy of the license issued, the application, credentials, correspondence, and a copy of the collaborative agreement form for CNPs and CNMs. This file serves to document all CNPs and CNMs who have been approved by the Medical Board and the Board of Nursing as being certified to act as a practitioner. This record series is used to renew advanced practice nursing licenses.

RETENTION: Retain 2 years in office, then scan into Electronic Document Management System (EDMS) and maintain electronic images for 73 years. Destroy electronic images after 75 years.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

(Note: Prior to using an EDMS, the Board of Nursing retains Advanced Practice Files on microfilm.)

(Note: Consider converting electronic images to microfilm when volume warrants.)

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BON-5. ANESTHETIST FILES, NURSES:

14-007

This series is arranged alphabetically by nurse's name and contains the documentation of all nurses who are licensed to practice nurse anesthesia as defined in SDCL 36-9 and ARSD 20:48. Information may include: a copy of the license issued, miscellaneous correspondence, and the application for licensure.

RETENTION: Retain active in office. Scan inactive into Electronic Document Management System (EDMS) and maintain electronic images for 3 years. Destroy electronic images 3 years after inactive.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

BON-6. <u>AUDIO TAPES OF DISCIPLINARY MEETINGS</u>:

14-007

This series is arranged alphabetically by licensee's name and contains audio tapes of disciplinary meetings. This record series is used to transcribe meeting notes for the purpose of disciplinary investigation.

RETENTION: Retain 60 days after final disposition has been sent to the licensee, then destroy provided no pending litigation.

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BON-7. AUDIT REPORTS:

RECORD

14-007

This series is arranged chronologically and may contain both Department of Legislative Audit and private audit reports concerning the expenditure and administration of state funds. This record series is maintained for identifying problem areas and discrepancies so that corrective measures can be taken. The auditing agency also maintains a copy of the report.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Legislative Audit maintains the original audit reports.)

BON-8. **BANK STATEMENT:**

14-007

This series is arranged chronologically and contains records sent from individual banks to use for reconciliation purposes. Information may include: date of statement, canceled checks, deposit records, and bank This record series is used for checking account balances. reconciliation with bank balances and with the Purchase Journal, and is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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BON-9. BOARD OF NURSING DATABASE RECORDS:

14-007

This computer licensure system is arranged numerically by license or certificate number and contains the actual license information for each licensee or certificate holder under the jurisdiction of the South Dakota Board of Nursing. These records are stored on the Board's licensure computer system. Information may include: name, address, date of birth, social security number, license or certificate number, licensure status, education, and exam information. This record series is maintained for verification and licensure purposes.

RETENTION: Retain 75 years, then delete.

BON-10. CASH DISBURSEMENT ACCOUNT LEDGER:

14-007

This electronic database is arranged numerically by check number and is used to record all checks issued by the Board of Nursing each month. Information may include: date issued, payee name, check number, amount of the check, and budgetary accounting codes. This record series is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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BON-11. **CONTRACTS AND AGREEMENTS:**

14-007

This series contains contracts and agreements between the Board of Nursing and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is maintained for reference and audit purposes.

RETENTION: Retain current in office. Destroy 6 years after terminated provided no litigation is pending.

(Note: SDCL 1-24A-1 requires consulting contracts be filed with the State Auditor.)

DISCIPLINARY FILES: BON-12.

14-007

This series contains written complaints concerning practical, registered, or advanced practice nurses. Information may include: the complaint letter, the investigative materials and final decision, and general correspondence relating to the investigation. series is maintained to document disciplinary actions taken.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 75 years, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

Prior to using an EDMS, the Board of Nursing retains Disciplinary Files on microfilm.)

(Note: Consider converting electronic images to microfilm when volume warrants.)

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BON-13. **DISCIPLINARY FILES, DISMISSED CLAIMS:**

14-007

This series contains written complaints concerning practical, registered, or advanced practice nurses. Information may include: the complaint letter, the investigative materials and final decision, and general correspondence relating to the investigation. series maybe used to demonstrate a pattern of behavior by a nurse in a disciplinary investigation.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 10 years, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

(Note: Also see "Disciplinary Files" for substantiated complaints.)

BON-14. DISCIPLINARY REPORTS, NATIONAL:

14-007

This series is arranged chronologically by date received and contains copies of the disciplinary reports as issued by the National Council of the State Boards of Nursing. Information may include: nurse's name, social security number, date of birth, license number, and comments relating to the disciplinary action taken against nurses licensed in South Dakota by other state Boards of Nursing. This record series is used for screening purposes to track nurses that may try to move from state to state to avoid licensure sanctions.

RETENTION: Screen reports for South Dakota licensure status, then destroy.

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BON-15. DUPLICATE LICENSE REQUESTS:

14-007

This series is arranged chronologically and contains the standard form used by nurses who request a copy of their original license. Information may include: name, address, license number, type of license, and an explanation of the need for a duplicate license. The copy in this file is returned to the Board of Nursing by the requester to document receipt of the copy.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 1 year, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

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BON-16. EXAMINATION APPLICATIONS, FAILURES:

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This series is arranged chronologically by date received and contains the applications of applicants who fail the examination. Information may include: name, social security number, date of birth, address, place of birth, name or nursing school graduating from, a listing of previous education, an affidavit, and applicant's signature. This record series is maintained to document those applicants who failed to pass their National Council Licensure Examination (NCLEX) test. The applications for those who pass are transferred to the "License Files, LPN/RN."

RETENTION: UNSUCCESSFUL APPLICATIONS: Retain electronically in an Electronic Document Management System (EDMS) for 1 year after last examination, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

(Note: Successful examination applications are transferred to the appropriate "License Files, LPN/RN").

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BON-17. **FINANCIAL STATEMENTS:**

14-007

This series is arranged chronologically by date and provides an overview of the Board's financial condition for a given fiscal year. Information may include: balance sheets, statement of revenues, expenditures, and changes in fund balances (budgeted and actual); statement of fixed assets; summary of significant accounting procedures; supplemental information; and working papers. record series is maintained for reference and audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

BON-18. INCOMPLETE ADVANCED PRACTICE LICENSURE FILES:

14-007

This series is arranged alphabetically by last name according to specialty and contains requests for initial advanced practice licensure from the South Dakota Board of Nursing. Information may include: an application, transcripts, verification of education, verification of certification, collaborate agreement, and receipt for fees received by the Board. This record series is used to make advanced practice licensure decisions.

RETENTION: Retain 1 year in office from the date of initial application, then destroy.

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BON-19. **INCOMPLETE ENDORSEMENT FILES:**

14-007

This series is arranged alphabetically by last name and contains applications for endorsements from the South Dakota Board of Information may include: an application, transcripts, verification of current licensure in another state, and receipt for fees received by the Board. This record series is used to make licensure decisions regarding out of state applicants.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 1 year from the date of initial application, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

BON-20. **LEASE FILES:**

14-007

This series contains both copies and originals of all leases entered into by the Board of Nursing for such things as office space and equipment. Information may include: terms and conditions of the leases, effective dates, cost, and funding sources. The details of the leases are reviewed to ensure adequate funding is available to cover the cost required in the lease agreement. This record series is used to verify the accuracy of the cost computations in the agreement.

RETENTION: Retain originals current in office. Transfer terminated to storage for 5 years. Destroy 5 years after terminated.

Retain reference copies current in office. Destroy terminated.

(Note: File one copy of all space agreements with the Bureau of Administration, Space Management Program.)

STATE OF SOUTH DAKOTA

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AUTHORIZATION FORM

(Std Form RM-1 Rev 1/03)

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BON-21. <u>LICENSE FILES, LPN/RN</u>:

14-007

This series is arranged numerically by license number and contains related documentation for all licensed practical nurses and registered nurses licensed by the Board of Nursing. Information may include: an application, the results of the State Board of Nursing examination, notification of name changes, and other related information. This record series is maintained to document those individuals who are certified to practice nursing within the state.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 75 years, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

(Note: Prior to using an EDMS, the Board of Nursing retains License Files on microfilm.)

(Note: Consider converting electronic images to microfilm when volume warrants.)

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BON-22. MINUTES, BOARD OF NURSING:

14-007

This series is arranged chronologically by meeting date and contains the original minutes from meeting of the Board of Nursing. Information may include: the recorded proceedings, the date of the meeting, meeting agendas, and the signature of the secretary. This record series is used to document the proceedings and actions taken by the Board.

RETENTION: Retain permanently.

(Note: Minutes are saved on the Board's website and on the State of South Dakota server.)

(Note: Prior to maintaining Minutes on the Board's website, the Board of Nursing retains minutes on microfilm.)

(Note: Consider microfilm when volume warrants.)

BON-23. PERFORMANCE APPRAISALS:

14-007

This series is arranged chronologically within the personnel file of every state employee. Information is maintained by the Bureau of Human Resources and may include: checklist denoting the areas discussed and supervisor and employee comments. Evaluations are required to ensure communication between supervisors and employees and to provide documentation of an employee's performance. This record series is maintained for audit purposes pursuant to Equal Opportunity Commission requirements.

RETENTION: AGENCY MANAGERS: At your discretion retain copy 6 months in office, then destroy by shredding.

(Note: Transfer original to the Bureau of Human Resources upon completion.)

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BON-24. RECEIPTS:

14-007

This series is arranged chronologically by date and contains copies of receipts prepared to document cash received. Information may include: payer's name, date money was received, amount received, funds and accounts to be credited, the amount to be credited, and signature of the person receiving the money. This record series is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: The white (original) copy is returned to the payer. The blue or yellow copies are filed with a duplicate bank deposit slip.)

BON-25. **REFRESHER COURSE FILES:**

14-007

This series is arranged alphabetically by name and contains related information for individuals enrolled in refresher courses. Information general correspondence, inquiries, refresher course may include: check list, a list of courses taken, and the results of those courses taken. This record series is used to document those people who take refresher courses to become licensed.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 1 year, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

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BON-26. RENEWAL APPLICATIONS:

14-007

This series is arranged chronologically by license renewal date and contains the renewal application and employment verification for each RN and LPN requesting a renewal. This information is entered into the Board of Nursing's computer system and is maintained for reference purposes.

RETENTION: Retain current in an Electronic Document Management System (EDMS). Destroy superseded or obsolete.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

BON-27. REQUESTS FOR INACTIVE STATUS, RN/LPN:

14-007

This series is arranged alphabetically by name and contains the standard inactive status request forms as completed by licensed practical nurses and registered nurses requesting inactive status. Information may include: date of the request, requester's name, type of inactive status requested, and signatures. This record series documents a person's request to be placed on inactive status, and is used for reference purposes. This information is also found in the nursing computer system.

RETENTION: Retain electronically in an Electronic Document Management System (EDMS) for 2 years, then destroy.

Retain scanned paper until all images have been verified to be accurate and complete, then destroy provided a system-level backup of the records has been completed.

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BON-28. REQUISITIONS:

14-007

This series contains a copy of the formal requests to order supplies and equipment. The original is submitted to the Office of Procurement Management in Pierre, which results in a Purchase Order being prepared and submitted to a vendor. Information may include: requesting agency, fund coding, authorized signatures, description of items or services, cost amounts, vendor name, quantity, and date of requisition. This record series is maintained for reconciliation purposes.

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RETENTION: Retain current in office. Destroy superseded or obsolete.

BON-29. SERIAL NUMBER ASSIGNMENT LOG, INACTIVE STATUS:

14-007

This electronic series is arranged numerically by serial number and contains a listing of each inactive status serial number assigned. Information may include: serial number assigned, name of person requesting the inactive status, and license number. This record series is used to determine the next available serial number to assign to those people who request inactive status.

RETENTION: Retain current in office. Destroy superseded or obsolete.

DEPARTMENT:
DIVISION:
OFFICE:
PROGRAM:
RECORDS OFFICER:

Kari Williams

Health

Boards

Nursing

RM CUSTOMER #: 0005

R.D.B. AUTHORITY NUMBER

RECORD
SERIES NO. TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE

BON-30. SOUTH DAKOTA FINANCIAL SYSTEM REPORTS:

14-007

These daily, weekly, monthly**, and year-end** computer generated reports are used to monitor and reconcile fiscal year receipts and expenditures. Information may include: revenue and journal voucher reports*, open purchase order reports, available funds reports*, revenue analysis reports, state general ledger trial balance*, bank reconciliation reports*, employee receivable reports*, warrant register reports*, encumbrance detail reports*, accounts payable reports*, project reports*, cash center reports*, object/sub-object reports*, budget adjustment reports, Special Bureau of Administration revenue reports, agency funds activity reports*, company 8,000 trial balance by center*, encumbrance balance reports*, and special travel expenditure reports. This record series is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: The asterisk (*) indicates reports maintained permanently by the Bureau of Finance and Management. (**) Many of the June monthly reports serve as the year-end reports.)

BON-31. STUDIES, NURSING:

14-007

This series is arranged alphabetically by topic and contains studies relating to nursing matters completed by both the Board of Nursing and those commissioned by private firms. Information may include: introduction, management overview, results of data review, analysis of the review, and recommendations. This record series is useful in decision making and is used for reference concerning topics of a similar nature.

RETENTION: Retain 5 year in office, then destroy.

DEPARTMENT:
DIVISION:
OFFICE:
PROGRAM:
RECORDS OFFICER:

RM CUSTOMER #:

Boards Nursing

Kari Williams 0005

Health

RECORD SERIES NO. TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE

R.D.B. AUTHORITY <u>NUMBER</u>

BON-32. SURVEYS/SITE VISITS:

14-007

This series is arranged chronologically by year, then alphabetically by school name and contains surveys of nursing schools in South Dakota. Site visits are conducted every four years for those schools that do not have national accreditation. Information may include: name of school, date of visit, comments and recommendations by the Board, and final survey report. This record series is used for approval of nursing education programs at these facilities.

RETENTION: Retain the 2 most current site visits electronically in Electronic Document Management System (EDMS), then destroy.

BON-33. TRANSCRIPTS, DEFUNCT:

14-007

This series is arranged alphabetically by the name of the defunct nursing school, chronologically by graduation date, then alphabetically by student's name and contains the student's transcripts for nursing schools that have been closed. Information may include: the facility name, student's name, date of admission, date of graduation, and an itemized listing of courses taken and the grades received for each. The Board of Nursing serves as the primary keeper of these transcript files which were received from facilities that were once certified, but have since been closed. The Board will also provide copies to those students requesting them.

RETENTION: Retain 75 years in office, then destroy.