



LIBRARY OF VIRGINIA

Archives, Records, and Collections Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE

SPECIFIC SCHEDULE NO. 223-001

Health Professions, Dept. of

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition policies listed below:

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY _____

Lisa R. Hibel

STATE ARCHIVIST _____

Sandra G. Trevino

AGENCY RECORDS OFFICER _____

Vickie Nash

COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: **JUL 12 2016**

POLICIES FOR RECORDS RETENTION AND DISPOSITION

- 1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, § 42.1-76, et seq. of the Code of Virginia for the retention and disposition of the records as stated on the attached page(s).
- 2. This schedule supersedes previously approved applicable schedules.
- 3. This schedule is used in conjunction with the Certificate of Records Destruction (RM-3 Form). A signed RM-3 Form must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 Form must be sent to Library of Virginia (LVA).
- 4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to LVA.
- 5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
- 6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations, or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.

- 7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with 17VAC15-20-10, et seq. of the Virginia Administrative Code, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency or locality to do so.
- 8. Custodians of records must ensure that information in confidential or privacy-protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
- 9. Under the Virginia Public Records Act, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
- 10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Agency and Board Studies: All Boards</u> This series documents policy and informational studies performed by DHP and/or Boards at the request of other governmental agencies, offices, or the public. This series may include, but is not limited to: studies and unique data collected or created as part of the studies.	000267		Permanent, Archives
<u>Board Budget Information Related to Fee Setting Process: All Boards</u> This series documents the determination of professional fees. This series may include but is not limited to: projected board revenues and expenditures; cost center expenditures; biennial revenue and expenditure fee analysis.	200171	10 Years after end of state fiscal year	Confidential Destruction
<u>Complaints Closed by Case Intake: All Boards</u> This series documents complaints that are closed by case intake in enforcement with no violations or hearing and no further action taken. This series may include, but is not limited to: initial complaint, investigation worksheet, case intake interview documentation, closure letter and other correspondence.	200172	65 Years after closed	Confidential Destruction
<u>Compliance and Probationary Files: All Boards</u> This series documents the completion of actions required per a probation order. This series may include, but is not limited to: order and supporting documentation of compliance with the probation or terms of the order.	200173	65 Years after order	Confidential Destruction
<u>Drug Destruction Records: Board of Pharmacy</u> This series documents court-ordered drug destruction by the Department of Forensic Science or police departments. This series may include, but is not limited to: court orders for drug destruction. COV 19.2-386.23	200174	2 Years after receipt	Confidential Destruction



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<u>Drug Theft and Loss Forms: Board of Pharmacy</u> This series documents theft or loss of controlled substances which must be reported by any registrant or licensee. This series may include, but is not limited to: report forms. COV 54.1-3013; COV 54.1-3006.1	200175	2 Years after receipt	Confidential Destruction
<u>Education Program Application Files: Board of Nursing</u> This series documents the application process for schools and companies wishing to provide a program of nursing, nurse aide, or medication aide education. This series may include, but is not limited to: applications, correspondence, curriculums, notices, and board approval related documents. 54.1-3013; 54.1-3006.1 to 3006.2	000270	3 Years after closed	Confidential Destruction
<u>Education Program Discipline Files: Board of Nursing</u> This series documents the discipline process for medication aide, nursing or nurse aide education programs. This series may include, but is not limited to: complaint, investigation notes and reports, and records related to the adjudication of possible violations.	200176	65 Years after closed	Confidential Destruction
<u>Education Program Graduation Records: Board of Nursing</u> This series documents the graduation records of students from closed education programs for nursing, nurse aide and medication aide. This series may include, but is not limited to: transcripts, certificates of completion and lists of graduates.	200177	65 Years after closed	Confidential Destruction
<u>Education Program Survey Reports: Board of Nursing</u> This series documents the review of currently approved education programs for nursing, nurse aide or medication aide for compliance with regulations. This series may include, but is not limited to: survey report, faculty information, clinical agency forms, visit summary, documentation of any issues with curriculum and documentation of any other deficiencies.	200178	2 Years after superseded, obsolete, or rescinded	Confidential Destruction



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<u>Facility Application Files Incomplete, Inactive and/or Denied Permit, Licensure or Registration: All Boards</u> This series documents incomplete, inactive, and/or denied facility application files pending licensure, permit, and registration. This series may include, but is not limited to: application, licenses from other states, credentials from professional organizations, criminal background checks, passport photos, and resumes.	000274	3 Years after submission	Confidential Destruction
<u>Facility Disciplinary Files: Board of Funeral Directors and Embalmers, Pharmacy and Veterinary Medicine</u> This series documents the complaint, investigation, and adjudication of possible violations of Board regulations or Virginia Statutes pertaining to facility permits, licensure, or registration and documents disciplinary action taken against a facility. This series may include, but is not limited to: evidence that is considered by the Board in making a decision, notice, and final decision of the Board.	000273	5 Years after equipment, facility, or property sold or no longer in use	Confidential Destruction
<u>Facility Files Permitted, Licensed or Registered: Boards of Funeral Directors and Embalmers, Pharmacy, and Veterinary Medicine</u> This series documents the activities associated with the permitting, licensure, or registration of a facility by a Board. This series may include, but is not limited to: documentation of changes to facility, architectural layouts, theft or loss of drug reports, audit reports, and innovative programs documentation.	000275	5 Years after closed	Confidential Destruction
<u>Investigatory Notes: Enforcement</u> This series documents investigations of alleged violation of law or regulation for a licensee of any Board or allegations of unlicensed practice. This series may include, but is not limited to: working notes and working copies of the investigatory report used in the preparation of the final investigative report.	000276	3 Months after submission	Confidential Destruction



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<u>Licensure, Certification and Registration Examination Results: All Boards</u> This series documents the results of an individual's examination for licensure, certification, or registration. This series may include, but is not limited to: individual score reports and Jurisprudence exams.	000271	65 Years after event	Confidential Destruction
<u>Licensure, Certification and Registration Examination Testing Information: All Boards</u> This series documents the examination process for an individual to be issued a license, registration, or certification. This series may include, but is not limited to: applications for examination, approved candidate list, registration forms, score report rosters, and statistical summary reports.	000272	3 Years after event	Confidential Destruction
<u>Monitoring Program Client Casework files: Health Practitioners' Monitoring Program</u> This series documents confidential monitoring services provided to health practitioners who may be impaired by a physical or mental disability or who suffer from chemical dependency. This series may include, but is not limited to: self-reports; substance screening records and results; treatment provider records obtained via release by participant; worksite monitoring records; and phone logs. COV 54.1-2516	000268	5 Years after closed	Confidential Destruction
<u>Monitoring Program Committee Action Files: Health Practitioners' Monitoring Program</u> This series documents the actions of the Health Practitioners' Monitoring Program committee and the history of those individuals who have been participants in the program. This series may include but is not limited to: documentation of committee decisions and actions. COV 54.1-2516	200179	12 Years after last action	Confidential Destruction



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<u>Physician and Oral and Maxillofacial Surgery Profile Documents With No Actions/Claims: Boards of Medicine and Dentistry</u> This series documents actions taken to update physician and oral and maxillofacial surgeon profiles into the Virginia Health Provider system when there are no actions or claims against the doctor. This series may include, but is not limited to: physician or surgeon profile questionnaires, supplemental forms, and Emergency Contact Information (ECI) forms.	000277	2 Years after last action	Confidential Destruction
<u>Practitioner License Application Documentation Without Application: All Boards</u> This series documents the submission of application supporting documentation without an application. This series may include, but is not limited to: certifications, correspondence and transcripts.	200180	1 Year after receipt	Confidential Destruction
<u>Practitioner Applicant/Trainee Incomplete and/or Inactive Pending Licensure Files: All Boards</u> This series documents active and inactive applicant/trainee files pending licensure. This series does not include applications received without fees. This series may include, but is not limited to: applications; registration and verification of supervision; coursework outline forms; official transcripts; monthly credential review results; and exam approval letters.	015068	1 Year after receipt	Confidential Destruction
<u>Practitioner Complete/Incomplete Reinstatement License Applications: All Boards</u> This series documents applications for reinstatement. This series may include, but is not limited to: application and supporting documentation, including information on impairments and criminal convictions.	200182	3 Years after submission	Confidential Destruction
<u>Practitioner Continuing Education Audit Documentation: All Boards</u> This series documents audits of licensees as required by Board regulations. This series may include, but is not limited to: audit letters, proof of continuing education, and late renewal.	000269	2 Years after audit	Confidential Destruction



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<u>Practitioner Disciplinary Files: All Boards</u> This series documents the complaint, investigation, and adjudication of possible violations of Board regulations or Virginia Statutes pertaining to licensees and applicants and documents disciplinary action taken against a licensee. This series may include, but is not limited to: evidence that is considered by the Board in making a decision, notice, final decision of the Board, and documentation to update a doctor's profile when there is an action/claim.	015071	65 Years after last action	Confidential Destruction
<u>Practitioner License Applications Denied: All Boards</u> This series documents pending initial applications that have been denied licensure. This series may include, but is not limited to: application, correspondence, examination and endorsements.	200183	3 Years after decision	Confidential Destruction
<u>Practitioner License Applications Without Fee: All Boards</u> This series documents license applications received without fees. This series may include, but is not limited to: applications, certifications, correspondence and transcripts.	200181	1 Year after receipt	Confidential Destruction
<u>Practitioner License Renewal Documentation</u> This series documents information required to renew licenses. This series may include, but is not limited to: license renewal forms.	200184	3 Years after submission	Confidential Destruction
<u>Practitioner Licensee Files: All Boards</u> This series documents the activities associated with licensure, registration, or certification of individuals by a Board. This series may include, but is not limited to: application, transcripts, verification for licensure from other states, discipline information from other states, criminal charges information, continuing education information, the final decision of the Board, and declaration of primary state of residence.	000278	65 Years after event	Confidential Destruction



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<u>Practitioner Self Referral Act/ Advisory Opinions: Administrative Proceedings Division</u> This series documents the process for an entity to request and receive an advisory opinion from the Board of Health Professions as to whether the entity appears to comply with the Practitioner Self Referral Act. This series may include, but is not limited to: application and advisory opinions.	000279	5 Years after issuance	Confidential Destruction
<u>Prescription Monitoring Program User Registrations</u> This series documents the user registration process required for prescribers, pharmacists, and other authorized users to access to the Prescription Monitoring Program. This series includes, but is not limited to: registration form and supporting documentation.	200185	65 Years after submission	Confidential Destruction
