



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Professional Licensing Agency

Agency: Professional Licensing Agency		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	85-547	<b>ANNUAL REPORTS</b> Filed with the board by nursing schools. A typical report details the number of students, tuition and related information. These reports are received electronically.	At the end of the year of receipt, TRANSFER one (1) electronic copy of each report to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, in a format approved by Indiana Archives staff.
2	90-118	<b>LICENSEE FILES</b> Electronically maintained licensee files for all license types regulated by the Professional Licensing Agency. Records are a mix of born-digital and imaged files. May contain application, test scores, correspondence, transcripts, electronic duplicates of any related GRLEG-1 litigation files, and other supporting documents for licenses and permits. Disclosure of these records may be affected by IC 5-14-3-4(a) (7), and IC 5-14-3-4(b) (2). Current licensing status for all individuals licensed in each profession is also maintained separately in RS 2002-26, Licensing and Renewal Information Database.	IMAGE any records received in a non-digital format according to IARA imaging standards. DESTROY hard copies after verification of electronic records for completeness and legibility. MAINTAIN agency copy of electronic records permanently, for agency reference.
3	2000-10	<b>MONTHLY VERIFIED REPORT- BARBER &amp; COSMETOLOGY SCHOOL</b> Pursuant to 820 IAC 4-1-10, barber and cosmetology schools shall submit this report to the Board of Cosmetology Examiners. File includes State Form 43716 or its equivalent. Activity in the previous month is reported, including new students, all students who have paid all their tuition, and drop-outs.	IMAGE any records received in a non-digital format according to IARA imaging standards. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records five (5) years after the year of the report.
4	2002-25	<b>CONTINUING EDUCATION AUDITS - PASSED</b> These are audit files of individual licensees, done as a random sampling, along with a master list of auditees for each renewal cycle. The licensee must provide proof of all continuing education claimed on license renewals, or risk noncompliance, resulting in paying a penalty, the issuance of a conditional license, or disciplinary action. Audits that result in discipline become part of the agency's GRLEG-1 litigation files.	DESTROY after completion of successful audit.
5	2002-26	<b>LICENSING AND RENEWAL INFORMATION DATABASE</b> A master agency database containing licensing and supporting information from many different licensing boards, plus documentation on system use and technological requirements. Outdated information is never deleted, but becomes part of a history file. System is backed up by the Office of Information Technology daily (overwritten every two weeks), weekly (overwritten every four weeks), and quarterly (overwritten annually), on magnetic tape. Weekly and quarterly backups are sent to secure offsite vault for storage.	MAINTAIN system documentation for life of system, updating as changes are made to the system itself. Store a copy of this documentation in a secure offsite location, for disaster recovery purposes. BACK UP entire database daily, weekly, and quarterly, overwriting those backups, respectively: biweekly, monthly, and annually. Store weekly and quarterly backups in a secure offsite vault. TRANSFER a roster of all licensed professionals to the INDIANA ARCHIVES annually in a format approved by Indiana Archives staff, containing name, profession, type, license number, issue date, expiration date, and license status, for permanent archival retention.

6	2002-31	<b>ANNUAL AND PRE-NEED REPORTS FOR CEMETERIES, CREMATORIES, FUNERAL HOMES AND EMBALMERS (SF 45279)</b> Required under IC 23-14-31-24, IC 23-14-48-7, IC 30-2-10-8, and IC 30-2-13-31.	IMAGE any records received in a non-digital format according to IARA imaging standards. DESTROY hard copies after verification of electronic records for completeness and legibility. DELETE electronic records after one (1) year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
7	2008-43	<b>PRESCRIPTION MONITORING PROGRAM - CENTRAL REPOSITORY</b> A master agency database containing Schedules II, III, IV or V controlled substance prescriptions dispensed by pharmacies and submitted to the Professional Licensing Agency pursuant to 856 IAC 6. System is backed up by the Indiana Office of Technology daily and backups are sent to a secure offsite vault for storage.	DELETE electronic records seven (7) years after submission.
8	81-409	<b>APPROVED SCHOOLS/PRELICENSING COURSES</b> Includes application and related correspondence. Pursuant to IC 25-34.1-5-7, schools desiring to offer courses of study for certain professions must renew every calendar year.	IMAGE according to IARA imaging standards upon approval. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records when the school is renewed for the new approval period and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
9	84-315	<b>PENDING DOCUMENTS</b> A person may send in information to start the licensure process, such as a transcript or a diploma. The application is not completed or pursued and the information is subsequently worthless. Confidential, [IC 5-14-3-4(a)(7), (2003 IC Supplement)]	DESTROY after six (6) months.
10	85-550	<b>SURVEY VISIT REPORT (NURSING FACILITIES)</b> Survey is made of nursing facility by Board's Educational Consultant. A survey is done when the school opens, after its first year, after the first class graduates, and every five (5) years thereafter.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, after one (1) year or after next survey visit is completed, whichever is later.
11	85-552	<b>APPLICATION FOR ACCREDITATION</b> A school must apply to the nursing board for accreditation. No fee is involved.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles after one (1) year.
12	85-555	<b>CURRICULUM OUTLINES &amp; REVISIONS</b> Information sent by schools to the board.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles after one (1) year.
13	90-126	<b>EXAMINATION MATERIALS</b> Includes test papers, answer sheets, test booklets, grades, score sheets, cassette tapes, and ear molds from the Hearing Aid Dealer Examination. Disclosure of these records may be affected by IC 5-14-3-4(a)(7) and IC 5-14-3-4(b)(3) and (4).	DESTROY non-appealed candidate exam materials after administrative appeal period has lapsed. If appealed, DESTROY after adjudication of the appeal.
14	90-93	<b>RENEWALS</b> Biennial renewal required by statute for various boards. Fees may be required. Verbal information received by the Professional Licensing Agency from the Office of the Attorney General indicates records from two (2) renewal cycles are frequently needed for investigations by attorneys in the Office of the Attorney General.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copy records after verification of electronic records for completeness and legibility. DELETE electronic images after four (4) years, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
15	90-99	<b>CONTINUING EDUCATION FILES</b> Consists of applications for approval of programs being administered to/for licensees, documentation of approval.	DESTROY files with no fee involved after expiration of approval, unless the approval is renewed.  DESTROY files with fees involved after expiration of approval, unless the approval is renewed, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

16	91-71	<b>CONSUMER COMPLAINTS - CLOSED</b> File consists of copies of documentation regarding the complaint, which may include the Consumer Complaint form, State Form Number 30846, sent from the Office of the Attorney General. The agency refers the complaint to a member of the appropriate board for review. All files in this series have been closed by the Office of the Attorney General because charges are not pursued for whatever reason. Access to these records may be affected by IC 4-6-9-4(b).	DESTROY after six (6) months.
----	-------	--	-------------------------------