

## 449 – Board of Nursing File Plan

This file plan was developed to be a guide for Board of Nursing employees. This guidance document was created to ensure consistent records classification and to provide agencies with other relevant record information. The final disposition authority resides in the Functional Records Retention and Disposition Schedule (FRRDS), 1.21.2 NMAC.

This file plan only list records series of program's specific to the Board of Nursing. For records series of a general administrative nature, refer to the General Administrative Records File Plan. For records of a financial nature, refer to the General Financial Records File Plan. For records of a personnel or medical nature, refer to the General Personnel/Medical Records File Plan.

### 449-001 REGISTRANT LICENSE FILES:

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then numerical by license number

**Record series content:** Licensure examination; initial application for licensure by endorsement; initial application for licensure by examination; reapplication for licensure by examination; endorsement request form; application for requesting modifications to examination; certification of eligibility for graduation of nursing program; permit to practice as graduate registered nurse, graduate practical nurse, graduate nurse practitioner, graduate nurse anesthetist, or graduate clinical nurse specialist; transcripts; correspondence; legal documentation for name change subsequent to issuance of licensure; previous disciplinary action; felony conviction information; licensing information; and correspondence

**Classification:**

(A) **License issued:** 1.21.2.668, Classification Title: Professional Licenses – Historical

(B) **No License issued:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date license issued, or application denied, rejected, or withdrawn

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

### 449-002 RE-LICENSURE FILES:

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date license renewed

**Record series content:** Disciplinary action taken since last re-licensure, refresher course documentation, continuing education documentation, registered nurse re-licensure application, licensed practical nurse re-licensure application, expanded practice registered nurse re-licensure application, and correspondence

**Classification:**

(A) **Approved:** 1.21.2.667, Professional Licenses

(B) **Denied:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date license issued, or application denied, rejected, or withdrawn

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

### 449-003 LICENSING AND CERTIFICATION AUDIT FILES:

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by the month of audit, and then alphabetical by nurse surname

**Record series content:** Secondary school transcripts, certificates of completed courses, employment verification, course justification, audit findings, and correspondence

**Classification:**

(A) **Audits with findings:** 1.21.2.657, Discipline and Investigations - Historical

(B) **Audits without findings:** 1.21.2.415, General - Audits and Compliance

**File closure:** Date audit released

[New - 03/31/2021]

**449-004 NURSING SCHOOL FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then alphabetical by school name

**Record series content:** NM board of nursing surveys, copy of national league for nursing accrediting commission reports, nursing school annual reports, copies of certificates of program approval, proposals, feasibility studies, school closures, information on custody of student records, and correspondence

**Classification:** 1.21.2.401, Colleges and Universities

**File closure:** Date of school closure

[New - 03/31/2021]

**449-005 DISCIPLINARY FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then alphabetical by nurse surname

**Record series content:** Complaint, investigation report, documentary evidence, notice or contemplated action, serious letter of concern, notice of hearing, resolution, correspondence, licensing and certification audits of findings, and correspondence

**Classification:**

(A) **Disciplinary Action taken:** 1.21.2.657, Discipline and Investigations - Historical

(B) **Dismissed:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date of board action

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

**449-006 ADVANCED PRACTICE LICENSE FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then numerical by license number

**Record series content:** Applications forms; verification of nurse practitioner education form; verification of clinical nurse specialist education form, permit to practice as graduate nurse practitioner, graduate nurse anesthetist; graduate clinical nurse specialist; diploma copies; official transcripts; affidavit validating prescription writing; preceptor plan; formulary of drugs prescribed; verification of certification from national certifying organization; copy of limited license; verification of exam date; registered nurse license information; and correspondence

**Classification:**

(A) **License issued:** 1.21.2.668, Professional Licenses – Historical

(B) **No License issued or Incomplete Application:** 1.21.2.107, Denied, Rejected or

Withdrawn Records

**File closure:** Date license issued, or application denied, rejected, or withdrawn

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

**449-007 DIVERSION PROGRAM FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then alphabetical by nurse surname

**Record series content:** Monitoring contract, counselor evaluation, monitoring report, counsel or recommendation, closeout report, copy of board of nursing action, and correspondence

**Classification:**

(A) **Program Completed:** 1.21.2.208, Programs - Employer and Labor Services

(B) **Program Not Completed:** 1.21.2.208, Programs - Employer and Labor Services

**File closure:** Date of program completion or discharge action of the board

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

**449-008 MEDICATION AIDE AND HEMODIALYSIS TECHNICIAN CERTIFICATION FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then numerical by certification number

**Record series content:** Application for certification, verification of completion of training program, application for requesting modifications for disabled candidate, felony conviction information, national certification information, and correspondence

**Classification:**

(A) **Certified:** 1.21.2.668, Professional Licenses – Historical

(B) **Not certified:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date license issued, or application denied, rejected, or withdrawn

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

**449-009 RE-CERTIFICATION OF MEDICATION AIDES AND HEMODIALYSIS TECHNICIANS FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by month recertified

**Record series content:** Renewal application and correspondence

**Classification:**

(A) **Recertified:** 1.21.2.667, Professional Licenses

(B) **Not recertified:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date of re-certification determination

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

**449-010 MEDICATION AIDE AND HEMODIALYSIS TECHNICIAN PROGRAM FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by date, then alphabetical by program name

**Record series content:** Approval of training program, annual agreement between the NM board of nursing and entity providing training program, initial and bi-annual application, curriculum, annual program reports, survey visits reports, and correspondence

**Classification:** 1.21.2.112, Program and Project Files

**File closure:** Date agreement terminated

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]

**449-011 LOCAL MONITORING FILES:**

**Division/Unit:** Board of nursing

**Maintenance System:** Chronological by calendar year, then alphabetical by name of local monitoring entity

**Record series content:** Application for board approval of local monitoring system, copies of board approval or rejection of system, system annual report, system monitoring documentation, and correspondence

**Classification:**

(A) **Approved Applications:** 1.21.2.402, Courses and Programs

(B) **Denied Applications:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date program closed or application denied

[New - 03/31/2021]

**449-012 BOARD OF NURSING LICENSING SYSTEM:**

**Division/Unit:** Board of nursing

**Maintenance System:** Numerical by primary key

**Record series content:** N/A-Database/system

**Classification:**

(A) **Approved License and Certification Data:** 1.21.2.668, Professional Licenses - Historical

(B) **Denied License and Certification Data:** 1.21.2.107, Denied, Rejected or Withdrawn Records

**File closure:** Date license issued, or application denied, rejected, or withdrawn

**Confidentiality:** Portions of record may be confidential pursuant, but not limited to Section 5USC 552a (i.e., social security number).

[New - 03/31/2021]