



ELECTRICAL COMMISSION

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

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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

SUBJECT: **Records Retention and Destruction Schedule Manual**

DATE: January 13, 2012

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 and supporting documents; warrants; personnel and payroll records; client/case files; capital asset inventories; cash receipts; and duplicate copies of state publications.

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, Pamela S. Roberts (name), acting in my position as Secretary of the Department of Labor (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 Electrical Commission (department) consists of 16 pages and contains record series number(s) EC-1 (consecutively re-numbered) through EC-27.

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 Electrical Commission (department) record series numbers(s) ELC-5 through ELC-9, ELC-15, ELC-23, ELC-29, ELC-30, and ELC-34 through ELC-37.

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.


Pamela S. Roberts, Secretary of the Department of Labor

8-8-07
Date


The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.


Dana Hoffer, State Records Manager

8-20-2007
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 22nd day of August, 2007, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.


Signature, Chairman of the Board

8-22-07
Date

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OFFICE: Boards and Commissions
PROGRAM Electrical Commission

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STATE OF SOUTH DAKOTA
RECORDS RETENTION &
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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Labor and Regulation
DIVISION: Secretary
OFFICE: Boards and Commissions
PROGRAM: Electrical Commission
RECORDS OFFICER: Dawson Huber
RM CUSTOMER #: 0191

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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EC-1. ACCOUNTING JOURNALS, DAILY:

07-036

This paper and database series is arranged chronologically by date of transaction and is used to document the receipt and expenditure of all funds by the Electrical Commission on a daily basis. Information may include: date of transaction, description of transaction, either check number or receipt number issued, amount, budgetary accounting codes, and any transfer funds that may have occurred. This record series is maintained to document daily transactions, and for audit purposes.

RETENTION: PAPER: Retain 2 years, then destroy provided 1 year has passed since an independent post-audit report has been received.

DATABASE: Retain 4 years, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-01.)

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**RECORD
SERIES NO.**

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EC-2. ACCOUNTING LEDGERS:

07-036

This paper and database series is arranged numerically by budgetary accounting code and is used to keep a running balance of the amount of funds available in each account. Information may include: account number, date of transaction, item listing, amount of any debits and credits, and remaining balance. This record series is used by the Commission for quick reference concerning amounts available in each account.

RETENTION: PAPER: Retain 2 years, then destroy provided 1 year has passed since an independent post-audit report has been received.

DATABASE: Retain 4 years, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-02.)

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EC-3. ADMINISTRATIVE REFERENCE FILES:

07-036

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: personnel reports, budget, equipment, inventory, legislation, organization/association, and property management information; reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; general correspondence and any other related information. This record series is maintained for reference purposes.

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

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

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EC-4. ADMINISTRATIVE RULE PROMULGATION FILES:

07-036

This series is arranged chronologically and contains administrative rule promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comments from the public, transcripts from the hearings, and final decisions. Files have 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 office.

ALL OTHER DOCUMENTATION: Retain in office for as long as rules are in effect, then destroy.

(Note: SDCL 1-26-7 states in part that "each agency shall keep the original records, documents, and instruments required by the chapter." There is no time frame included for these records. Since SDCL 1-26-6.8 provided that "No rule is enforceable in the Courts unless properly adopted," the record must be maintained at least until a curative statute has been adopted by the Legislature similar to SDCL1-26A-2, which cures all defects in the adoption of the rules appearing in the 1974 printed ARSD.)

(Consider maintaining on microfilm instead of paper and destroying the paper after the microfilm has been inspected and verified to meet quality standards.)

(NOTE: Previous record series number was ELC-03.)

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EC-5. ATTENDANCE SHEETS, CLASS CODE:

07-036

This series is arranged chronologically by year and contains a list of all people who have attended classes held by the Electrical Commission. Information may include: district number, date, location of session, and an itemized listing of electricians' names who attended; the electrical company that they represent; mailing address; and license number. This record series is used to document those electricians' who have attended educational sessions.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was ELC-04.)

EC-6. CLASS B ELECTRICIAN:

07-036

This series is arranged numerically by license number and contains all documentation concerning actions taken with each. Information may include: receipts, general correspondence, license renewal forms, notices of hearings, copies of hearing meeting, cassette tapes of hearings, the application for license, undertaking, certificates of insurance, and examination results. This record series is used to document those people who are certified as electrical contractors, for renewal of licenses, and for collection of fees.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-13.)

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EC-7. COMMISSION MEETING AGENDAS:

07-036

This series contains the agenda for each meeting of the Electrical Commission and is used by the Administrator for reference. The agendas have personal notations on the directions and assignments issued by the Commission during the meetings.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was ELC-10.)

EC-8. COMPLAINT FILES:

07-036

This series is arranged chronologically and contains all related correspondence received from either the general public or initiated by the Electrical Commission concerning problems which have occurred with electricians. Information may include: nature of complaint, signature of party filing the complaint, related correspondence, investigation of the allegation, conclusion of the investigation, and related materials. This record series is used by the Electrical Commission to determine if a complaint is substantiated, and if so, to take corrective action. If complaints are substantiated this information is placed in each respective "Electrician Files".

RETENTION: Retain unsubstantiated 1 year in office, then destroy.

(NOTE: Previous record series number was ELC-11.)

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EC-9. CONTRACT AND AGREEMENT FILES:

07-036

This series is arranged chronologically and contains contract and agreements between the Electrical Commission 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 documentation purposes.

RETENTION: Retain current in office. Destroy 6 years after terminated.

(Note: SDCL 1-24-1 requires that a copy of all consultant contracts be filed with the State Auditor.)

(NOTE: Previous record series number was ELC-12.)

EC-10. ELECTRICAL CONTRACTOR FILES:

07-036

This series is arranged numerically by license number and contains all documentation concerning actions taken with each. Information may include: receipts, general correspondence, license renewal forms, notices of hearings, copies of hearing meeting, cassette tapes of hearings, the application for license, undertaking, certificates of insurance, and examination results. This record series is used to document those people who are certified as electrical contractors, for renewal of licenses, and for collection of fees.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-14.)

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EC-11. ELECTRICAL INSPECTOR FILES:

07-036

This series is arranged numerically by license number and is used to certify electrical inspectors. Information may include: general correspondence, renewal forms, copy of receipts, application for license, and examination results. This record series is used for certification and renewal purposes.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-21.)

EC-12. ELECTRICAL PERMIT DATABASE:

07-036

This database series is arranged numerically by serial number and is used to register all electrical permits issued. Information may include: electrical permit serial number, party issued to, inspection fee collected, receipt number, amount and total, date permit was sent to office, date of final inspection, date service was energized, job address, job description, and any information pertinent to the job itself. This record series is used for quick reference of permit information.

RETENTION: Retain 10 years, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-16.)

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EC-13. ELECTRICAL WIRING PERMITS:

07-036

This series is arranged numerically by permit number and contains white copies of the five-part electrical permits used by licensed electricians. Information may include: county name, section number, township number, range number, owner's name and address, signature, type of installation, type of service, power supplier's name, wiring job address, and permit number. The white copy of the permit documents the fact that a job has been posted and wiring will commence at that particular location. This record series is for documentation concerning all wiring done throughout the State by electricians for hire.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-27.)

EC-14. ELECTRICIAN FILES, APPRENTICE:

07-036

This series is arranged numerically by license number and contains apprentice electrician files. Information may include: renewal forms, general correspondence, and receipt for licenses. This record series is used to certify those people qualified as apprentice electricians.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-17.)

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EC-15. EXAMINATION RESULTS:

07-036

This series is arranged chronologically by date of examination and is used to summarize results of monthly test numbers. Information may include: date of examination, number of test taken in each category, number passed, and an itemized list of names and results. This record series is used for monthly reporting purposes.

RETENTION: Retain 4 years in office, then destroy.

(NOTE: Previous record series number was ELC-19.)

EC-16. HEARING FILES:

07-036

This series is maintained to document the hearings held by the Electrical Commission concerning noted violations by electricians. Information may include: violator's name, address, and social security number; the violation noted; the decision rendered by the Electrical Commission; and authorized signatures. This record series serves to document all actions taken by the Commission for violations of the electrical code.

RETENTION: Retain 5 years in office, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-20.)

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EC-17. HOME OWNER WIRING PERMITS:

07-036

This series is arranged numerically by permit number and contains white copies of the five-part electrical permits used by home owners who do their own wiring. Information may include: county name, section number, township number, range number, owner's name and address, signature, type of installation, type of service, power supplier's name, wiring job address, and permit number. The white copy of the permit documents the fact that a job has been posted and wiring will commence at that particular location. This record series is for documentation concerning all wiring done throughout the State by home owners.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-28.)

EC-18. INSPECTOR MEETING, FILES:

07-036

This series is arranged alphabetically by State Electrical Commission inspector's name and contains all related topics to be discussed by the inspector and the director. Information may include: general correspondence, hand written notes made by the director, and other information on topics to be discussed. This records series is used for reference for discussion and to document decisions made purposes.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was ELC-22.)

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EC-19. JOURNEYMAN ELECTRICIAN FILES:

07-036

This series is arranged numerically by license number and contains journeyman electrician files. Information may include: renewal forms, application for examination, examination results, general correspondence, and receipt for licenses. This record series is used to certify those people qualified as journeyman electricians.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was ELC-18.)

EC-20. MAINTENANCE ELECTRICIAN

07-036

This series is arranged numerically by license number and contains maintenance electrical files. Information may include: renewal forms, general correspondence, and receipt for licenses. This records series is used to certify those people qualified as maintenance electricians.

RETENTION: Retain active in office. Transfer inactive to storage for 5 years. Destroy 5 years after inactive.

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EC-21. MINUTES, ELECTRICAL COMMISSION:

07-036

This series is arranged chronologically and contains the official minutes of the Electrical Commission meetings. Information may include: date of meetings, members present, topics discussed, and actions taken. This record series is used for occasional reference and documentation purposes.

RETENTION: Retain 5 years in office, then microfilm and maintain film permanently.

(Note: Transfer paper to Archives after the film has been inspected and verified for final disposition.)

(NOTE: Previous record series number was ELC-24.)

EC-22. NEWSLETTER FILES:

07-036

This series contains the masters of newsletters published by the Electrical Commission. Information may include: date, topics discussed, and informational materials. Multiple copies were printed and distributed to all electricians in the state to pass on items of news worthiness, and to report on changes in electrical safety rules and regulations.

RETENTION: Retain 3 years, then destroy.

(Note: File thirteen copies of the published newsletter with the State Library pursuant to SDCL 14-1A-3; and 2 copies with State Archives.)

(NOTE: Previous record series number was ELC-25.)

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EC-23. PERMIT LOG:

07-036

This paper and database series is arranged numerically by license number and is used to record which license (plastic card) was issued to each electrician. Information may include: license type, series number, name of electrician issued to, license number, and date issued. This record series is used as a quick reference for determining who has what license number, and for audit purposes.

RETENTION: PAPER: Retain in office until encoding has been verified to be accurate and complete, then destroy.

DATABASE: Retain 4 years, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-26.)

EC-24. RECEIPTS:

07-036

This series is arranged chronologically by date and documents all receipts of money. Information may include: date issued, received of, address, amount, form of payment, purpose, and received by signature. 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, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-31.)

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EC-25. RECORDS MANAGEMENT FILES

07-036

This series contains the completed forms used to track inactive records that have been sent to Records Management (RM) Storage; and the department's "Records Retention and Destruction Schedule" (RRDS). Information may include: standard records transfer receipt forms, microfilm project registration forms; and microfilm and box destruction authorization forms. This record series is maintained for tracking records sent to Records Management storage, to document the time each record series must be legally maintained, and to document authorization granted to RM for destruction of obsolete records.

RETENTION: RECORD DESTRUCTION AUTHORIZATION FORMS: Retain 3 years in office, then destroy.

ALL OTHER INFORMATION: Retain current in office. Destroy superseded or obsolete.

EC-26. RENEWAL LOGS, INSURANCE AND BONDING:

07-036

This paper and database series is arranged numerically by license number and is a renewal log for insurance and bonds. Information may include: license number, name, month, and date due. This record series is used to notify the electricians that their bond or insurance has lapsed.

RETENTION: PAPER: Retain 2 years, then destroy provided 1 year has passed since an independent post-audit report has been received.

DATABASE: Retain information current. Destroy superseded or obsolete.

(NOTE: Previous record series number was ELC-32.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Labor and Regulation
DIVISION: Secretary
OFFICE: Boards and Commissions
PROGRAM: Electrical Commission
RECORDS OFFICER: Dawson Huber
RM CUSTOMER #: 0191

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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EC-27. REPORTS, DAILY INSPECTIONS:

07-036

This paper and database series is arranged numerically by district number and is used as a daily account of State Electrical inspectors activities. Information may include: district number, date, wiring certificate number, electrician's name, owner's name, location, type of inspection, hours worked, miles driven, and comments. This record series is used to compile monthly activity totals, used in hearings, and as reference for litigation.

RETENTION: PAPER: Retain 2 years, then destroy provided 1 year has passed since an independent post-audit report has been received.

DATABASE: Retain 7 years, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was ELC-33.)

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EC-28. SURPLUS PROPERTY FILES:

09-012

This series contains the form submitted to the director of South Dakota Property Management for approval to dispose of State-owned personal property and the written notification received from Property Management designating the manner of disposal. Information may include: agency name; date; address or location of property; phone number; name of individual requesting; Property Management Officer's name; description of item(s); quantity; serial number; equipment number; desired method of disposal as authorized; reason for declaring property as surplus; estimate of current value; suggested selling price; minimum acceptable price; statement of content; fixed asset number, if applicable; and any other information deemed necessary. This record series is maintained pursuant to SDCL 5-24A.

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.