



DEPARTMENT OF CORRECTIONS

ADMINISTRATION OFFICE

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

PBM 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 23, 2009

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.

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PROGRAM: Finance and Administration

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Scott Bollinger
RM CUSTOMER #: 0292

<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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DOC-1. ADMINISTRATIVE REFERENCE FILES:

04-008

This series contains information used in the daily administration of the agency. Information may include: vendor information, mailing lists, file management, administrative rules, South Dakota Codified Law, current state purchasing contracts, operation guides, administrative messages from other governmental agencies, rules and regulations concerning personnel, affirmative action plans, salary schedules, classification and compensations, evaluation training guides, rating guide, and other related material. This record series is maintained for reference purposes.

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 Destroy superseded or obsolete.

DOC-2. ADMINISTRATIVE REMEDY PROCESS, SECRETARY DOC:

04-008

This series is arranged alphabetically and contains inmate appeals and complaints through the department's administrative remedy process. When attempts at informal resolutions are not successful, a process affording inmates a formal review of appeals and complaints is available. Information may include: inmate's name, number, original write-up, and any supporting documentation. This record series is maintained for reference purpose.

RETENTION: Retain in office until 5 years after the inmate is discharged from DOC custody, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: The Department of Corrections Secretary will respond to inmates Administrative Remedies within 30 days of receipt in accordance with policy and procedures.)

(Note: Consider microfilming when volume warrants.)

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DOC-3. ADMINISTRATIVE RULES PROMULGATION FILES:

04-008

This series contains administrative rules promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comment from the public, transcripts of hearings, and final decisions. The 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 an administrative rule pursuant to SDCL 1-26.

RETENTION: FINAL DECISIONS: Retain permanently in office.

ALL OTHER DOCUMENTATION: Retain in office for as long as the 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 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 adoption of rules appearing in the 1974 printed ARSD.)

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

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DOC-4. AGENDAS:

04-008

This series contains agendas for the meetings of the Administrators and the Correction Commission and is used by the Secretary for reference. The agendas have personal notations on the directions and assignments issued during the meeting.

RETENTION: Retain 3 years in office, then destroy.

DOC-5. ANNUAL REPORTS:

04-008

This record series no longer exists. Any existing Annual Reports should be sent to State Archives to be retained permanently.

DOC-6. ASSOCIATION AND ORGANIZATION FILES:

04-008

This series contains current correspondence and newsletters from professional associations and organizations to which the department belongs. Information may include: minutes of the association or organization meetings, conference agendas, participants' names, and examples of other states' legislation. Associations may include: the Associations of state Correctional Administrators, the American Correctional Association, the Central States Correctional Association, and the South Dakota Correctional Association. This record series is maintained for reference purposes concerning ideas and policies suggested and used by the association or organization.

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

(Note: Cull files at least once a year to avoid build-up of superseded or obsolete material.)

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DOC-7. ATTORNEY GENERAL OPINIONS:

04-008

This series contains the official opinions handed down by the State Attorney General concerning questions pertaining to the agency. This record series is maintained for occasional reference and a support for administrative decisions made and actions taken.

RETENTION: Retain 3 years in office, then destroy.

(Note: All Attorney General's Official Opinions are printed in the Biennial Report of the Attorney General and most are also available on the Attorney General's website.)

DOC-8. AUDIT REPORTS:

04-008

This series contains 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 destroy.

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

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DOC-9. BAD DEBT/COLLECTIONS:

04-008

This series is arranged alphabetically by name of juvenile and contains information about court ordered parental support. Information may include: juvenile's name, court order, parent's name and address, copies of letters sent to parents, and a copy of the transfer to collections. This record series is maintained until all court ordered expenses due from the respondent have been satisfied, juvenile is 21 years of age, or discharged from the Department of Corrections.

RETENTION: SATISFIED: Retain until paid-in-full and discharged from the Department of Corrections, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

UNSATISFIED: Microfilm when volume warrants.

(Note: RM will encode the original film into our vault for 10 years. The film will be reviewed every 10 years to determine the appropriateness of the retention.)

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DOC-10. BOILER INSPECTION REPORTS:

04-008

This series is arranged chronologically by inspection date and contains the yearly boiler report as issued by the Department of Public Safety for facilities owned by DOC. Information may include: date of inspection, inspector's name, and inspector's remarks. This record series is maintained to keep a certified account of all inspections and their results. It contains a copy of the report of inspection and the certificate issued. The Department of Public Safety maintains boiler inspection reports for two years.

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

(Note: Certificates shall be posted under glass in the room containing the boiler inspected. If the boiler is not located within the building, the certificate shall be posted in a location convenient to the boiler inspected, or in any place where it will be accessible to interested parties.)

DOC-11. BUDGET FILES:

04-008

This series is arranged chronologically and contains the yearly budget summaries of the agency. Information may include: budget request, mission statement, revenues, program performance indicators, amounts budgeted by sub-object, and narrative justifications. This record series is maintained for use throughout the year in monitoring program activities and for preparing future budget requests. The budget (Appropriations Bill) approved by Legislature and signed by the Governor and is filed permanently with the Secretary of State.

RETENTION: Retain 3 years in office, then destroy.

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DOC-12. BUDGET REQUESTS:

04-008

This record series is no longer maintained separate. Budget requests are part of **DOC-11. Budget Files:**

DOC-13. BUILDING AND LAND SURVEY:

04-008

This series contains all sketched floor plans and some photographs of buildings at the institutions administered under the Department of Corrections. This record series is used for quick reference when comments or requests are made by the individual facilities for improvements.

RETENTION: Retain in office for the life of the structure, then transfer to State Archives for screening and final disposition.

DOC-14. CASE MANAGEMENT FILE:

04-008

This record series is no longer maintained separate. The Case Management File is part of **DOC-44. Juvenile Files:**

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DOC-15. CASH RECEIPTS:

04-008

This series contains the standard forms used to deposit funds into the State Treasury and an electronic chronological log of DOC's cash receipts. Information may include: date, agency name, agency number, accounting codes, memorandums, amounts, total deposits, and authorized signatures. Information in the log may include: date, receipt number, monies from, and dollar amount. This record series is maintained for documenting and crediting each account with the amounts deposited, and for reference 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.

DOC-16. CIVIL RIGHTS INFORMATION:

04-008

This series contains various information concerned with civil rights. Information may include: offender's complaints filed with US Department of Justice (DOJ). This record series is used to find information concerning civil rights for individuals in the various institutions administered by the Department.

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

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DOC-17. COMMUTATIONS:

04-008

This series arranged alphabetically and contains inmate commutations. Commutations are given at the Governor's discretion to inmates that meet certain criteria. Information may include: the entire request, supporting information, and responses. This records series is maintained for reference and possible litigation purposes.

RETENTION: Retain in office until the inmate is discharged from DOC custody, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Copies are sent to the Secretary of State, Clerk of Courts, Board of Pardons and Paroles, and two copies are to D.C.I. (one is forwarded to the F.B.I.).

DOC-18. CONTRACTS AND AGREEMENTS:

04-008

This series contains reference copies of contracts in which the agency may have an interest. It also contains the agency's copy of contracts and agreements between the agency and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding source. This record series is maintained for reference and audit purposes.

RETENTION: Retain originals (copies of record) current in office. Destroy 6 years after terminated.

Retain reference copies current in office. Destroy terminated.

(Note: SDCL 1-24A-1 Consulting contract are filed with the State Auditor.)

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DOC-19. CONVEYANCE OF CONVICTS:

04-008

This record series is no longer maintained by the Administration Office. Each adult institution maintains its own transportation of criminal records.

DOC-20. CORRESPONDENCE, FEDERAL:

04-008

This series is arranged chronologically and contains both copies and originals of letters and memorandums sent to and received from any federal agency. This record series is maintained for reference and for possible litigation when federal litigation, claims, or audits is pending.

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.

When litigation, claim, or audit is complete maintain for an additional 3 years.

DOC-21. CORRESPONDENCE, GENERAL:

04-008

This series is arranged chronologically and contains both copies of letters and memorandums sent to and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

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DOC-22. CORRESPONDENCE, GOVERNOR'S:

04-008

This series is arranged alphabetically, then chronologically and contains copies of letters written by the Department of Corrections for the Governor. The Governor's Office receives the original and maintains a copy.

RETENTION: Retain 1 year in office, then destroy.

DOC-23. CORRESPONDENCE, INMATES:

04-008

This series is arranged alphabetically by inmate name and contains letters received from inmates regarding various topics. Topics may include: length of sentence, classification appeals, and disciplinary appearances. This record series is used for occasional reference and documentation.

RETENTION: Retain 1 year in office, then destroy.

DOC-24. CREDIT CARD REPORTS:

04-008

This series is arranged chronologically by month and contains monthly computer printouts, which are used to monitor fiscal year receipts and expenditures. Information may include: name of credit card user, spending analysis, and spending according to company name. 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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DOC-25. CRIMINAL JUSTICE STUDIES:

04-008

This series contains various criminal justice studies. Information may include: historical studies of prison populations, programs, and expansion needs. This record series is maintained for reference and planning purposes.

RETENTION: Retain permanently.

(Note: Consider microfilming when volume warrants.)

DOC-26. CURRICULUM COMMITTEE:

04-008

This series arranged chronologically and contains curriculum committee information. The committee is made up of representatives from adult corrections, which develops and approves educational and curriculum processes for the DOC's adult institutions. Information may include: pertinent reading materials relating to the group, minutes from group meetings, and other materials essential to the groups advancement toward their goal. The curriculum committee is designed to serve as a working group, representing and coordinating with DOC staff, adult institutional heads, and state and federal educational entities to provide quality, coordinated, and fiscally responsible educational and programming activities for adult inmates committed to the DOC.

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

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

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DOC-27. DATA SYSTEM CODEBOOKS/MANUALS:

04-008

This series is arranged chronologically and contains data system codebooks/manuals. Information may include: codes, descriptions, instructions, and other information related to the data system. This record series is used 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 material.)

DOC-28. DEPARTMENTAL POLICIES AND PROCEDURES:

04-008

This series contains departmental polices and procedures; and facility operation memorandums (OMs). Information may include: rough drafts, research materials, and file copies of policies and procedures; and OMs for the Department of Corrections. This record series is maintained for reference to determine the proper course of action to take in certain situations.

RETENTION: Retain current in office. Transfer superseded or obsolete to storage for 5 years. Destroy 5 years after superseded or obsolete.

DOC-29. DESCRIPTION, JOBS:

04-008

This record series is no longer maintained by the Department of Corrections. The Bureau of Personnel advertises for job openings.

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DOC-30. DISCHARGE CERTIFICATES:

04-008

This series is arranged alphabetically, then chronologically contains copies of inmates discharge certificates. Information may include: name of inmate, date of discharge, dated by the Secretary of the Department of Corrections, and sentence ID number. The inmate receives the original certificate to restore voting and citizenship rights. A copy of the certificate is sent to the Clerk of Courts in the sentencing county.

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

(Note: Destroy paper after the microfilm has been inspected and verified to meet quality standards.)

DOC-31. EDUCATION AND TRAINING FILE:

04-008

This record series is no longer maintained by the Department of Corrections. Training records are maintained by the Bureau of Personnel.

DOC-32. E-MAIL RECORDS:

04-008

This series contains e-mails sent or received by this agency.

RETENTION: Retain in office until the record status is determined, but no more than 15 days, then delete. If the e-mail message is an official record made or received pursuant to law or in connection with the transaction of official business, the retention period should be covered by an existing record series. It is permissible to print record e-mails and file them with like paper records.

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DOC-33. GOVERNOR'S BUDGET BOOKS:

04-008

This series contains copies of the Bureau of Finance and Management published "Budget Book" for each fiscal year. This record series is maintained to reference for approved budget information for all programs administered by the Department.

RETENTION: Retain 2 years in office, then destroy.

DOC-34. GOVERNOR'S MONTHLY REPORTS:

04-008

This series contains monthly reports sent to the Governor summarizing reports of agency and agency programs. Information may include: highlight activities of agency programs, and personnel updates. This records series is maintained for administrative, reporting, and reference purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years.

(Note: The Governor's Office maintains reports permanently in office.)

(Note: The electronic versions of the reports are also maintained on DOC's "M" drive for 4 years.)

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DOC-35. GRANT FILES:

04-008

This series is arranged alphabetically by grant name and contains information concerning the administration of funded grants. Information may include: grant application, working papers, grant documentation, and monitoring and accounting records. This records series is used for administering current grants, for reference when requesting new grants, and for audit purposes.

RETENTION: Retain current in office. Transfer terminated to storage for 4 years. Destroy 4 years after terminated provide all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-36. GRIEVANCES:

04-008

This record series is no longer maintained. Grievances were replaced by Administrative Remedy Process, Secretary DOC.

DOC-37. GRIEVANCES, EMPLOYEES:

04-008

This record series is no longer maintained. Employee grievances are maintained by the Bureau of Personnel.

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DOC-38. HEARING LIST:

04-008

This series contains the documentation used to track hearings. Information may include: scheduled date, completion date, type of hearing (i.e. primary, adult, juvenile), name of person involved, and the outcome or disposition. This record series is a convenience file for quick reference.

RETENTION: Retain 1 year in office, then destroy.

DOC-39. INMATE BANKING RECORDS:

04-008

This daily generated series is arranged numerically by inmate number and check number and contains the inmate banking records. Information may include: inmate name, inmate identification number, beginning balance, transactions for the day, and ending balance. This record series is used for reference to inform each inmate of their ending balance and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 4 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-40. INSPECTOR GENERAL REPORTS:

04-008

This record series no longer exists. The Inspector General's position was eliminated.

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DOC-41. INTERSTATE COMPACT GENERAL FILES:

04-008

This series contains interstate compact files. Information may include: correspondence between two states setting up the terms of the interstate compact agreement, correspondence dealing with appointment of interstate compact manual, and copies of the minutes of the meetings of the Interstate Compact Board. Notifications from other states that paroles are now residing in South Dakota are also filed here. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Cull each year and destroy superseded or obsolete material.

DOC-42. INVENTORY, CAPITAL ASSETS:

04-008

This series is arranged chronologically and contains information regarding the agency's assets. Information may include: a copy of the Central Annual Inventory Printout, file maintenance forms that reflect changes in the inventory, inventory procedural manuals, and surplus property received and transferred forms. The information is maintained for property management and accountability purposes.

RETENTION: Retain 1 year in office, then destroy.

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DOC-43. JUVENILE CORRECTIONS MONITOR:

04-008

This series is arranged chronologically by the date received from the juvenile corrections monitor and contains allegations of abuse or neglect submitted by students at the STAR Academy. Information may include: juvenile's name, complaint, interview information of juvenile and/or other interviews of persons involved (staff or other juvenile), any findings of abuse, any recommendations from juvenile corrections monitor, and the responses to the recommendations from the institution. This record series is maintained for reference and protection from litigation.

RETENTION: Retain permanently.

(Note: Consider microfilming when volume warrants.)

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DOC-44. JUVENILE FILES:

04-008

This series is arranged alphabetically by juvenile's name and contains accounts receivable information for each juvenile committed to the Department of Corrections. Information may include: juvenile's name; ID number; parent's name and address; court orders; statement of parental support; DSS 910 forms; T19 applications; social security; placement history case notes; educational correspondence; court ordered parental support; medical, dental, optical, and psychological expense incurred by the juvenile in the Department of Corrections care; and any other pertinent data necessary for admission to Correctional Facilities. The information is kept until the juvenile reaches the age of 21 years of age, parental support and/or medical, dental, optical, and psychological expenses are paid-in-fill, and when the juvenile is discharged from the Department of Corrections. This record series is maintained for collection and audit purposes.

RETENTION: Retain active in office. Transfer inactive to storage for 4 years. Destroy 4 years after inactive provided all litigation, claim, and audit findings involving the records have been resolved and final action has been taken.

DOC-45. JUVENILE/YOUTH REFERENCE MATERIAL:

04-008

This series contains information on the care of youth, and information about grant programs available for youth care. Information may include: grant proposals, guidelines, availability of money, annual reports from other juvenile justice agencies, and juvenile justice research. This record series is used to better the care of juveniles in facilities, to better assist them in rehabilitation, and to provide information to the public concerning youth care.

RETENTION: Retain current in office. Cull files each year and destroy superseded or obsolete material.

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DOC-46. LEAVE BALANCE PRINTOUTS:

04-008

This record series is no longer maintained. Leave Balance Printouts are maintained by the Bureau of Personnel on TKS.

DOC-47. LEAVE REQUESTS:

04-008

This record series is no longer maintained. Leave Requests are maintained by the Bureau of Personnel on TKS.

DOC-48. LEGAL ACTION FILES:

04-008

This series contains a copy of both past and current (inmate and juvenile) court cases concerning legal action taken against any of the facilities, juvenile services, or parole services administered by the Department of Corrections. Information may include: summons, complaints, court orders, court decisions, and correspondence with counsel. This record series is used to follow case from initiation through settlement and to have reference record of past proceedings.

RETENTION: Retain active cases in office. Transfer closed cases to storage for 6 years. Destroy 6 years after closure.

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DOC-49. LEGISLATION FILES:

04-008

This series is arranged chronologically and constitutes the agency's central file of all proposed legislation and legislation from previous years. Information may include: resource material, bill tracking printouts, copies of House and Senate bills, preliminary bill drafts, and final drafts of proposed legislation. This record series is used for bill drafting, submission, and tracking during legislative session.

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

DOC-50. LETTERS OF INTENT:

04-008

This series contains the letters of received from the Legislatures Appropriation Committee advising the department what the legislature has approved in the budget request and what has not been approved for funding. The letters also indicate special desires of the legislature regarding future budget requests or special request for changed administration or operating procedures for newly authorized budget funds.

RETENTION: Retain 3 years in office, then destroy.

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DOC-51. MAINTENANCE AND REPAIR RECORDS:

04-008

This series contains information dealing with the construction, correspondence, and accounting papers of all maintenance and repairs performed on facilities operated by the department. This record series is used to control purposes such as knowing what is requiring repairs, the cost of repairs, what might need replacing, and future budgeting for repairs and maintenance.

RETENTION: Retain 1 year in office after project completion, the transfer to storage for 4 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-52. MINUTES, COMMISSION:

04-008

This series is arranged chronologically by date of commission meeting and contains minutes from the various commission meetings. Information may include: date, members present, and topics discussed. Copies are sent to the secretary to keep informed of commission actions and are used for reporting purposes.

RETENTION: Retain 10 years in office, then transfer to State Archives for permanent retention.

(Note: Consider maintaining a microfilm copy of the complete set in office.)

DOC-53. MINUTES, SD BOARD OF CHARITIES AND CORRECTIONS:

04-008

This record series no longer exists. SD Board of Charities and Corrections has been dissipated. Any existing Minutes should be sent to State Archives to be retained permanently.

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DOC-54. MONTHLY AGENCY REPORTS:

04-008

This series contains the information concerning the population statistics of inmates and employees at each of the Departments' facilities. Information may include: the inmate population and demographics of each facility, the number of employees and demographics at each facility, and the number inmates admitted and released. This record series is used for reference purposes.

RETENTION: Retain 1 year in office, then destroy.

DOC-55. MONTHLY STATISTICAL REPORTS:

04-008

This series contains the monthly reports received from the various field agents concerning their activities. Information may include: agent's name, number, number of contacts, time spent with each contact, type of supervision each contact required, and demographics of each client. This record series is used by the office to monitor agent's performance and for drawing up the yearly activity report.

RETENTION: Retain 1 year in office, then destroy.

DOC-56. NEWSLETTERS:

04-008

This record series no longer exists. Any existing newsletters should be sent to State Archives for screening.

DOC-57. PAROLE FILES:

04-008

This record series is no longer maintained by the Administration Office. Parole Files are maintained by Parole Services.

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DOC-58. PERFORMANCE APPRAISALS:

04-008

These documents are most often arranged chronologically within the personnel file of every state employee. Information is maintained by the Bureau of Personnel and may include: checklist denoting the areas discussed and supervisor and employee comments and signatures. 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 MANAGER: At your discretion, retain 6 months, then destroy by shredding.

(Note: Transfer original performance appraisal to the Bureau of Personnel.)

DOC-59. PERSONNEL FILES:

04-008

This record series is no longer maintained by the Department of Corrections. The Bureau of Personnel maintains the personnel files.

DOC-60. PERSONNEL/PAYROLL REPORTS:

04-008

This record series is no longer maintained by the Department of Corrections. Each employee receives pay stubs via e-mail and the information can also be accessed on Lawson's Self-Evident Applications.

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DOC-61. PHOTOGRAPH FILE:

04-008

This series contains the pictures of all buildings and grounds of all institutions under the administration of the Department of Corrections. The photos are used for reference when authorizing building renovations requests and for historical purposes.

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

(Note: Subject to Archival screening prior to disposal.)

DOC-62. PHYSICAL PLANT FACILITY STUDY:

04-008

This record series no longer exists. DOC no longer does physical plant facility studies.

DOC-63. POLICIES AND PROCEDURES:

04-008

This record series is no longer maintained by DOC. Policies and procedures from other agencies are available on-line.

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DOC-64. PRESENTATION MATERIALS:

04-008

This series is arranged chronologically and contains presentation materials. Information may include: budget information, legislative information, corrections workgroup information, and review process. 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 material.)

DOC-65. PRINTING REQUESTS:

04-008

This series contains a copy of the printing requisition sent to Central Duplicating to order copying/and or printing. Information may include: name of person requesting the printing, telephone number, quantity needed, paper choice, ink choice, and other specifics of the printing job.

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

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DOC-66. PROJECT FILES:

04-008

This series contains various projects done by the department. The active and ongoing project may include: raids policy, parole/inter-shelter involved, inmate handbook, interstate compact, programming sex offenders, private sector prison industries, and reorganization of the Department of Corrections. Some of the completed projects are in-house arrests and sentencing procedures. This records series is maintained for reference purposes.

RETENTION: Purge files and retain 2 years in office after completed. Transfer completed files to storage for 3 years. Destroy 5 years after completion.

DOC-67. REORGANIZATION FILE:

04-008

This record series is no longer maintained separate. The Reorganization Files are now part of **DOC-66. Project Files:**

DOC-68. REQUESTS FOR INFORMATION:

04-008

This series contains the requests for information concerning the Department of Corrections and its facilities. Information may include: original request, a copy of the reply, and a note of the type of information sent out. This record series is maintained to have a record of all requests made to the department.

RETENTION: Retain 1 year in office, then destroy.

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DOC-69. REQUESTS FOR PROPOSALS:

04-008

This series contains the specifications for studies or services requested by the Department of Corrections. Request specifications for studies on planning projects, developmental programs, grant possibilities, and actual completed studies that have been performed. This records series is used for audit and reference purposes.

RETENTION: Retain 1 year in office, then transfer to storage of 4 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-70. REQUISITIONS:

04-008

This series contains a copy of the formal request to order supplies or equipment. The original is submitted to the Office of Procurement Management in Pierre, which results in a purchase order being prepared and submitted to the 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 records series is maintained for reconciliation purposes.

RETENTION: Retain previous year and current year in office. Destroy superseded or obsolete.

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DOC-71. RULES AND REGULATIONS:

04-008

This series is arranged alphabetically by agency name and contains copies rules and regulations pertaining to each. Rules and regulations may include administrative rules promulgated by other departments that have bearing on the daily operation of this agency (i.e. Bureau of Personnel, Bureau of Administration, and Bureau of Finance and Management). This record series is maintained for ensuring compliance with current rules and regulations governing the administration and operation of the department.

RETENTION: Retain current in office. Transfer superseded or obsolete to storage for 4 years. Destroy 4 years after superseded.

DOC-71.1. 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.

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DOC-72. SURVEYS:

04-008

This series contains information gathered from surveys used to compile various reports. Types of information collected will be on race and offences committed by inmates in the state correctional facilities. This information is often requested by government agencies.

RETENTION: Retain 2 years in office, then destroy.

DOC-73. SWIFT BIRD DEVELOPMENT PROJECT:

04-008

This record series no longer exists. All Swift Bird Development Project information should have been sent to State Archives for screening and final disposition.

DOC-74. TAPES AND RECORDINGS:

04-008

This series is arranged alphabetically by inmate's last name and contains tapes and recordings with inmates. Information may include: hearings conducted for withholding good time, unconvicted sex offender review hearings, and other hearings that may be subject to litigation. This record series is maintained for reference and litigation purposes.

RETENTION: Retain 3 years in office after the inmate has been discharged from DOC custody, then destroy provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

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DOC-75. TELEPHONE MESSAGE RECORDS:

04-008

This series is comprised of messages left telephonically, whether recorded on paper, voice mail, or sent via e-mail.

RETENTION: Retain current in office until action is taken, then destroy or delete.

DOC-76. TRAVEL REQUESTS:

04-008

This series contains of both in-state and out-of-state travel requests. Information may include: origin, destination, leave and return dates, leave and return times, agency code, mode of travel, number of rider(s), estimated miles, driver's name, telephone number, return trip number, vehicle license number, date of entry, and travel coordinator's name. Out-of-state travel request also include: estimated transportation cost, estimated meal cost, estimated lodging cost, and fee schedules, and miscellaneous fees. All employees who travel on state business prepare and submit these forms for approval prior to their departure. The record series is used for travel expense upon return.

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

(Note: The State Auditor's Office maintains the originals.)

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DOC-77. VOUCHER LOGS:

04-008

This electronic log contains information recorded on all vouchers issued by the department. Information may include: date, log number, voucher number, agency issuing the voucher, budgetary coding, and the amount of voucher. This record series is maintained for reference purposes.

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

DOC-78. VOUCHERS:

04-008

This series may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Information may include: purpose of expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. This record series is maintained for reference to determine quantities and description of supplies and services ordered, for vendor information, and for audit purposes. Audit copies of voucher may also include attachments such as purchase orders, requisitions, invoices, and packing slips.

RETENTION: FINANCE OFFICER: 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.

ALL OTHER PROGRAMS: Retain 3 months in office, then destroy.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Scott Bollinger
RM CUSTOMER #: 0292

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOC-79. VICTIM'S COMPENSATION CLAIM FILES:

04-008

This record series no longer exists. The program was transferred to the Department of Social Services.

DOC-80. WORKGROUPS:

04-008

This series is arranged chronologically and contains workgroup information that deals with issues pertaining to programming within institutions, overcrowding, and/or other issues related to the Department of Corrections. Information may include: meeting minutes, related materials, membership, goal/objectives, progress reports, member's names and addresses, and other related information deemed necessary requirements of the group. This record series used for reference and audit purposes. The workgroups are often appointed by the Governor's Office or other leading officials such as the Secretary of the Department of Corrections.

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

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

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RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOC-81. WORK RELEASE FILES:

04-008

This series is arranged alphabetically and contains the Director of Community Services work release files. Information may include: inmate's name, locations, work release schedules, pay stubs, employer's information, documentation of compliance with executive order (126608), assignment of check, work release rules and regulations, and inmate financial worksheet. This record series is maintained for reference purpose.

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.