



OFFICE OF THE GOVERNOR

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: December 31, 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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STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Executive Management
DIVISION: Gubernatorial
OFFICE: Governor
PROGRAM: Administration
RECORDS OFFICER: Kris Erickson
RM CUSTOMER #: 0333

<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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OG-1. ADDRESSES TO THE LEGISLATURE, GOVERNOR'S:

07-017

This series is arranged chronologically and contains both the recorded and text copies of the Governor's State of the State addresses and other special addresses given to joint sessions of the Legislature. The official record is maintained in the respective "House Journals".

RETENTION: Retain 2 years in office, then transfer to Archives.

(Note: Previous record series number was GOV-2.)

OG-2. ADMINISTRATIVE REFERENCE FILES:

07-017

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: budget, equipment, inventory, legislation, organization/association, and property management information; monthly reports; 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.)

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

(Note: Previous record series number was GOV-3.)

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OG-3. CORRESPONDENCE DATABASE:

07-017

This database series is an index for tracking both active and inactive correspondence files. Information may include: name, town, date, subject matter, reference number, tracking, file date, and file name. This record series is maintained for tracking and reference purposes.

RETENTION: Retain database current. At the discretion of the Governor's Office, destroy inactive or closed file data.

(Note: Previous record series number was GOV-10.)

OG-4. EXECUTIVE APPOINTMENTS FILES:

07-017

This series is arranged alphabetically by name of Board or Commission and contains copies of letters appointing citizens to membership on various boards and commissions. Material specifying the statutory qualifications of members (i.e. residence in a certain area of South Dakota, membership in a particular political party, possession of a certain professional license, etc.) is also maintained here for reference purposes. Information may include: appointee's name and address, board/commission appointed to, term effective date, duration, term expiration date, predecessor's name, law by which the appointment was made, and signature of the Governor.

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

(Note: The Secretary of State maintains these records permanently on microfilm.)

(Note: Previous record series number was GOV-12)

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OG-5. EXECUTIVE ORDERS:

07-017

This series is arranged chronologically by calendar year, then numerically by order number and contains copies of executive orders filed with and attested by the Secretary of State. Information may include: order number, title, nature of the order, and signatures of the Governor and the Secretary of State. These executive orders are maintained for reference purposes.

RETENTION: Retain 2 years in office, then destroy.

(Note: The Secretary of State maintains Executive Orders permanently on microfilm.)

(Note: Previous record series number was GOV-14.)

OG-6. EXECUTIVE PARDONS:

07-017

This series is arranged alphabetically by name and contains the reference copies of pardons handed down by the Governor. Information may include: name of person, nature of pardon, authorizing signatures, and date filed. This record series is maintained for reference purposes.

RETENTION: Retain 2 years after last activity, then destroy.

(Note: The Secretary of State maintains these records permanently on microfilm.)

(Note: Previous record series number was GOV-15.)

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OG-7. EXECUTIVE PROCLAMATIONS:

07-017

This electronic series is arranged alphabetically and contains copies of executive proclamations issued by the Governor. Information may include: title and nature of the proclamation. This record series is maintained for reference purposes.

RETENTION: Retain 1 year in office, then destroy.

(Note: The Secretary of State maintains Executive Proclamations permanently on microfilm.)

(Note: Previous record series number was GOV-16.)

OG-8. RECORDS MANAGEMENT FILES:

07-017

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.

(Note: Previous record series number was GOV-20.)

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OG-9. BUDGET REQUESTS:

07-017

This series is arranged chronologically and contains the budget request of the various entities of the Governor's Office. Information may include: department hierarchy, dollar amount requested, justifications for increased request amounts, performance indicators, mission statements, goals and objectives, and revenue projections. This record series is used to formulate the newest budget request for the program and for reference to determine budget amounts for previous years.

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

(Note: Previous record series number was GOV-25.)

OG-10. CONTRACTS AND AGREEMENTS:

07-017

This series contains contracts and agreements between the agency and other parities. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is kept for reference and audit purposes.

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

Retain reference copies current in office. Destroy terminated.

(NOTE: SDCL 1-24A-1 requires that a copy of all consultant contracts be filed with the State Auditor within five days after such contracts is entered into and finally approved by the contracting parties. All consultant contracts should be filed with the Office of State Auditor prior to the work being performed.)

(Note: Previous record series number was GOV-29.)

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OG-11. GRANT FILES:

07-017

This series is arranged alphabetically by grant name and contains information concerning the administration of funded grants. Information may include: grant applications, working papers, grant documentation, and monitoring and accounting records. This record 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 2 years. Destroy 2 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was GOV-32.)

OG-12. LEAVE REQUESTS:

07-017

This series is arranged alphabetically by name of employee and contains the standard forms used to request annual or sick leave. Information may include: name of employee, leave days request, hours requests, purpose, type of leave, and employee and supervisor's signatures. Leave requests are used for payroll and audit purposes.

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was GOV-36.)

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OG-13. PERSONNEL FILES:

07-017

This series is arranged alphabetically by name and contains a folder for each employee in the agency. Information may include, but is not limited to: applications for employment, personal data sheets, personnel action notices (PA 32's), position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, resumes, service records, notices of resignation, W-4 forms, training records, and supervisors reports of employee separation. These files serve as a history of the employees' service and training with the facility and provide payroll information. This record series is maintained to review work history of former employees who apply for work and for audit purposes.

RETENTION: Retain active in office. Transfer terminated to storage for 3 years. Destroy 3 years after terminated provided sufficient data on hours worked and compensation received have been maintained by the Department of Labor, Division of Retirement and Insurance, and provided 1 year has passed since an independent post-audit report has been received.

(Note: Previous record series number was GOV-39.)

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OG-14. PERSONNEL/PAYROLL REPORTS:

07-017

This series consists of bimonthly computer printout reports concerning payroll and personnel. Reports may include but, are not limited to: time keeping reports, payroll export reports, and payroll distribution register. This record series is used to check the accuracy of the payroll system for proper expenditure and benefit money, to insure that accurate data on hours worked and compensation received are being generated for retirement purposes, and for audit purposes.

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper and maintaining fiche in office the entire 2 years prior to disposal.)

(Note: Previous record series number was GOV-40.)

OG-15. RECEIPT BOOKS:

07-017

This series contains forms issued to document the receipt of money. Receipts are pre-numbered and include: date money was received, amount received, funds and accounts to be credited, amount to be credited, and signature of the person receiving the money. This record series is maintained for audit purposes.

RETENTION: Retain full book 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was GOV-44.)

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OG-16. SOUTH DAKOTA FINANCIAL SYSTEM REPORTS:

07-017

These daily, weekly, monthly**, and year-end** computer output microfiche (COM) reports are used to monitor and reconcile fiscal year receipts and expenditures. Information may include, but is not limited to: revenue and journal voucher report*, open purchase order report, available funds report*, advance travel-accounts receivable report, revenue analysis report, state general ledger trial balance*, company general ledger trial balance*, expenditure report*, bank reconciliation report*, employee receivable report*, bank reconciliation report*, encumbrance detail report*, accounts payable report*, projects report*, cash center report*, object/sub-object report*, budget adjustments report, special Bureau of Administration revenue report, agency funds activity report*, company 8000 trial balance by center*, encumbrance balances report*, and special travel expenditure report. This record series is maintained for audit purposes.

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: The asterisk (*) indicates reports maintained permanently on microfilm or COM by the Bureau of Finance and Management. (**) Many of the June monthly reports serve as the year-end reports.)

(Note: Previous record series number was GOV-47.)

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OG-16.1. 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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OG-17. TIME SHEETS:

07-017

This series is arranged chronologically and contains completed time sheets submitted by part time and/or seasonal employees. Information may include: name, pay period ending date, days worked, days off, hours worked, hours off, hours worked, total hours for the period, and signatures of employees and the supervisor. The time sheets initiate the payroll process and document hours worked by the employees.

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was GOV-48.)

OG-18. VOUCHERS:

07-017

This series may contain copies of direct vouchers, receiving vouchers, non-cash vouchers, and journal vouchers; along with copies of any supporting invoices or receipts. Vouchers are used to enter transactions on the central accounting system. This record series is maintained for reference purposes.

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Previous record series number was GOV-50.)