



LOCAL GOVERNMENT

GENERAL RECORDS

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: Local Government Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: December 12, 2017

The purpose of the guide is to provide uniform retention and destruction schedule so that Local Government records can be managed efficiently and in compliance with state law, SDCL 1-27-18, which requires local governing bodies to “promote and implement the principles of efficient records management for local records.” Local Government officials must also maintain a list of documents which were destroyed.

24:52:11:04. Destruction of local government records -- Archivist must be notified. Governing bodies or agencies of any county, city, town, township, district, authority, public corporation, or political subdivision planning to destroy local records, as defined in subdivision (1) of SDCL 1-27-9, shall notify the archivist 30 days before the date of the proposed destruction. Notification shall include the name or title of the records, inclusive dates, information content of the records, and quantity. If the archivist believes the records should be preserved, the archivist shall arrange for transfer of the records to the archives or to a suitable public records storage facility. Transfer of the records may be made at the expense of the state archivist. **This section applies only to the following types of records: records more than 50 years old; records required by the Records Destruction Board to be kept 50 years or longer; annual reports; maps; minutes; and photographs.**

Unless otherwise covered by specific statutes or Local Government policies, the record retention and destruction schedule in this guide apply to “General Records” that may be found in Local Government Agencies of the State of South Dakota. They establish the “**Minimum**” amount of time Local Government records must be retained before they can be legally be destroyed. It is up to the governing body of each respective Local Government Agency to set up final review and disposal procedures for records which have reached the end of their retention time.

Finally, if you have any questions about implementing this manual or about your records in general, please contact Records Management at 773-3589.

PREPARED BY:

Bureau of Administration
Records Management Program
104 S Garfield Avenue; Building E
Pierre, South Dakota 57501

- If one exists, Local Government Agencies need to refer to their agency specific Retention Manual before using this General Records Retention Manual.
- Local Government Agencies may adopt this Retention Manual as its Records Management Policy for managing “General Records”.
- Local Government Agencies may not be required by law to maintain any or all the records listed. Unless otherwise covered by specific statutes or Local Government policies, the record retention and destruction schedule in this guide apply to “General Records” that may be found in Local Government Agencies of the State of South Dakota.
- Records retention rules apply to all records, regardless of the media on which they reside.
- If records are being retained only in electronic format, the record must remain accessible for the entire retention requirement.
- Records, whether electronic or paper, relevant to pending or reasonable anticipated litigation must be preserved even if this manual or an agency specific manual allows for its destruction.
- Local Government Agencies are required pursuant to ARSD 24:52:11:04 to notify the State Archivist of planned records destructions.
 - **Destruction of local government records -- Archivist must be notified.** Governing bodies or agencies of any county, city, town, township, district, authority, public corporation, or political subdivision planning to destroy local records, as defined in subdivision (1) of SDCL 1-27-9, shall notify the archivist 30 days before the date of the proposed destruction. Notification shall include the name or title of the records, inclusive dates, information content of the records, and quantity. **This section applies only to the following types of records: records more than 50 years old; records required by the Records Destruction Board to be kept 50 years or longer; annual reports; maps; minutes; and photographs.**
- Local Government Agencies are **NOT** required to submit a destruction list of records being destroyed to Records Management. Records Management will review a Local Government Agency’s list of records that it plans to destroy to ensure the appropriate retention periods have been met. The list should include the following: Record series number and record title as listed in this manual and the inclusive dates of the records being destroyed.

Contact Information:

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104 S Garfield Ave; Bldg E
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Fax: (605) 773-5955

State Archives
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South Dakota Codified Laws:

1-27-1. Public records open to inspection and copying. Except as otherwise expressly provided by statute, all citizens of this state, and all other persons interested in the examination of the public records, as defined in § 1-27-1.1, are hereby fully empowered and authorized to examine such public record, and make memoranda and abstracts there from during the hours the respective offices are open for the ordinary transaction of business and, unless federal copyright law otherwise provides, obtain copies of public records in accordance with this chapter.

Each government entity or elected or appointed government official shall, during normal business hours, make available to the public for inspection and copying in the manner set forth in this chapter all public records held by that entity or official.

1-27-1.1. Public records defined. Unless any other statute, ordinance, or rule expressly provides that particular information or records may not be made public, public records include all records and documents, regardless of physical form, of or belonging to this state, any county, municipality, political subdivision, or tax-supported district in this state, or any agency, branch, department, board, bureau, commission, council, subunit, or committee of any of the foregoing. Data which is a public record in its original form remains a public record when maintained in any other form. For the purposes of §§ 1-27-1 to 1-27-1.15, inclusive, a tax-supported district includes any business improvement district created pursuant to chapter 9-55.

1-27-9. Records management programs--Definition of terms. Terms used in §§ 1-27-9 to 1-27-18, inclusive, mean:

- (1) "Local record," a record of a county, municipality, township, district, authority, or any public corporation or political entity whether organized and existing under charter or under general law, unless the record is designated or treated as a state record under state law;
- (2) "Record," a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in §§ 1-27-9 to 1-27-18, inclusive.

1-27-11. Board to supervise destruction of records--State records manager as ex officio member--Permission required for destruction. There is hereby created a board consisting of the commissioner of administration, state auditor, attorney general, auditor-general, and state archivist to supervise and authorize the destruction of records. The state records manager shall also serve as an ex officio member in an advisory capacity only. No record may be destroyed or otherwise disposed of by any agency of the state unless it is determined by majority vote of the board that the record has no further administrative, legal, fiscal, research, or historical value.

1-27-15. Destruction of non-record materials. Any non-record material not included within the definition of records as contained in § 1-27-9 may be destroyed at any time by the agency in possession of such materials without the prior approval of the commissioner of administration.

1-27-18. Local records management programs. The governing body of each county, municipality, township, district, authority, or any public corporation or political entity, whether organized and existing under charter or under general law, shall promote and implement the principles of efficient records management for local records. The governing body may, as far as practical, follow the program established for the management of state records. The commissioner of administration may, upon the request of a governing body, provide advice and assistance in the establishment of a local records management program.

1-27-19. Annual meeting to authorize destruction of political subdivision records--Record of disposition. The State Record Destruction Board shall meet at least once each year and consider requests of all political subdivisions for the destruction of records and to authorize their destruction as in the case of state records. However, in the case of any records recommended to be destroyed, the board shall require a record to be kept of the disposition of the documents.

1-27-42. Public record officer for the state, county, municipality, township, school district, special district, or other entity. The public record officer for the state is the secretary, constitutional officer, elected official, or commissioner of the department, office, or other division to which a request is directed. The public record officer for a county is the county auditor or the custodian of the record for law enforcement records. The public record officer for a first or second class municipality is the finance officer or the clerk or the custodian of the record for law enforcement records. The public record officer for a third class municipality is the president of the board of trustees or the custodian of the record for law enforcement records. The public record officer for an organized township is the township clerk. The public record officer for a school district is the district superintendent or CEO. The public record officer for a special district is the chairperson of the board of directors. The public record officer for any other entity not otherwise designated is the person who acts in the capacity of the chief financial officer or individual as designated by the entity

6-1-11. Form of certain public records--Duplicate--Computerization. Whenever the creation, maintenance, or storage of any public record is specified by state law for political subdivisions, such record may be in the form of punched cards, magnetic tapes, disks, and other machine-sensible data media within a data processing system. Such records shall be backed up by a duplicate, be accessible to viewing members of the public, and be retained in accordance with all applicable requirements for the retention of manual records. To the extent an office is computerized, the office need not keep a hard, paper copy. If current public records are converted to a computerized format, the political subdivision may destroy those records which the state records destruction board has pursuant to §1-27-19, declared to be of no further administrative, legal, fiscal, research, or historical value.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT: Local Government
DIVISION: _____
OFFICE: _____
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<u>RECORD SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B. AUTHORITY NUMBER</u>
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LG-1. ABSTRACT OF TITLE:

17-012

This series contains copies of legal titles to property owned by the agency. The titles are used to provide a complete history of land ownership and chronicle passage of ownership. The original document is maintained by the County Register of Deeds. Information may include, but is not limited to: quit claim deeds, powers of attorney, maps of the area, and legal descriptions of property.

RETENTION: Retain current. Destroy superseded or obsolete.

LG-2. ACCIDENT AND INCIDENT REPORTS:

17-012

This series contains accident/incident reports involving agency-owned vehicles or agency-owned property. Information may include, but is not limited to: police report, accord form, correspondence, estimates, and adjustment reports. Information is maintained for administrative purposes and to satisfy the statute of limitations.

RETENTION: Retain 6 years after closed, then destroy provided no pending litigation.

LG-3. ACCOUNTS PAYABLE:

17-012

This series documents the purchasing and bill paying process. Information may include, but is no limited to: invoices, purchase orders, requisitions, disbursement documents, expense reimbursements forms, copies of vouchers, and supporting documentation. This series is maintained for audit and reference purposes.

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

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LG-4. ACCOUNTS RECEIVABLE:

17-012

This series documents fee receipts and any other monies received through daily transactions. Information may include, but is not limited to: receipts, billing data, and supporting documentation. This record series is maintained to document all income from all sources.

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

LG-5. ADMINISTRATIVE REFERENCE FILE:

17-012

This series contains information used in the daily administration of the agency. Information may include, but is not limited to: meeting agendas, vendor information, mailing lists, equipment, inventory, mailing lists, monthly reports, policies and procedures, research materials, reference manuals, rules and regulations, property management information, logs, and other related information. This record series is maintained for reference purposes.

RETENTION: Retain current. Destroy superseded or obsolete.

LG-6. ADMINISTRATIVE RULES:

17-012

This series contains finalized administrative rules promulgated by the agency. They are used for governing the activities of the agency and are documentation for actions taken.

RETENTION: Retain current. Destroy superseded or obsolete.

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LG-7.	<u>ANNUAL REPORTS, LEGISLATIVE AUDIT:</u> This series contains the annual reports filed with Legislative Audit pursuant to South Dakota Codified Law. This record series is maintained for audit purposes. Legislative Audit maintains annual reports permanently. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012
LG-8.	<u>APPLICATION FOR EMPLOYMENT, UNSUCCESSFUL:</u> This series contains applications completed by individuals seeking employment with the agency who were not hired. Successful applicants' applications become part of their "Personnel File". RETENTION: Retain 3 years, then destroy by shredding provided all litigation, or claims involving the records have been resolved and final action has been taken.	17-012
LG-9.	<u>APPOINTMENT CALENDARS:</u> This series contains appointment calendars, whether electronic or paper. Information includes: date and appointments by hour. The information is maintained to document the time and dates of meetings RETENTION: Retain 2 years, then destroy.	17-012

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LG-10. ASSOCIATION AND ORGANIZATION FILES:

17-012

This series may contain current correspondence and newsletters from professional associations and organizations to which the agency belongs. Information may include: minutes of the association or organization meetings, conference agendas, expense reports, participants' names, and examples of other cities' ordinances. They are used for reference purposes concerning ideas and policies suggested and used by the association or organization

RETENTION: Retain 2 years, then destroy.

LG-11. AUDIO/VIDEO RECORDING OF BOARD MEETINGS:

17-012

This series may contain audio and/or video recordings of board meetings.

RETENTION: Retain 90 days in office after minutes have been approved, then destroy.

LG-12. AUDIT REPORTS:

17-012

This series may contain both Department of Legislative Audit and private audit reports concerning the expenditure and administration of 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. Legislative Audit maintains audit reports permanently.

RETENTION: Retain 3 years, then destroy.

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LG-13. BANK RECORDS:

17-012

This series documents banking transactions. Information may include, but is not limited to: bank statements, bank reconciliation, cash receipt transmittals, cancelled checks and warrants, check stubs, duplicate copies of checks, deposit slips, check registers, registered warrants, warrants, and warrant registers. This series is maintained to verify the checks written and reconciliation of accounts. It is also used for audit and reference purposes.

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

LG-14. BOILER INSPECTION REPORTS:

17-012

This series contains boiler inspection reports issued by the State. They are maintained to certify that boiler inspections have been completed for the period. Information may include: boiler number, date inspected, expiration date, location, pressure reading, inspector's name, and insurance company. The State Department of Public Safety maintains boiler inspection information for two years.

RETENTION: Retain current. Destroy superseded or obsolete.

LG-15. BUDGET FILES:

17-012

This record series may contain budget forms, budget requests, operating budgets, and related working papers. The information is used throughout the year in monitoring program activities and when preparing future budgets.

RETENTION: Retain 3 years, then destroy.

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LG-16. CDL/ALCOHOL AND DRUG TESTING FILES:

17-012

This series contains CDL drug and alcohol test records. Information may include: test results, documentation of refusals, substance abuse professional (SAP) reports, follow-up tests and schedules, information obtained from previous employers, and records related to the alcohol and controlled substances collection process. This record series is maintained pursuant to 49 CFR Part 40 Subpart P.

RETENTION: Retain records of alcohol test results indicating an alcohol concentration of 0.02 or greater; records of verified positive drug test results; documentation of refusals to take required alcohol and/or drug tests; SAP reports, and all follow-up tests and schedules for follow-up tests for 5 years, then destroy.

Retain information obtained from previous employers under §40.25 concerning drug and alcohol test results of employees for 3 years, then destroy.

Retain records related to the alcohol and controlled substance collection process for 2 years, then destroy.

Retain records of negative and cancelled drug test results and alcohol test results with a concentration of less than 0.02 for 1 year, then destroy.

LG-17. CLAIMS, PAID AND DISALLOWED:

17-012

This series documents claims submitted for payment by vendors. Information in the file may include: vendor number, date, description, total, project number, expenses, and purchase order number.

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

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LG-18.	<u>COMPLAINT FILES:</u> This series contains complaints filed against the agency. Information may include: letter of complaint, notes, investigation, findings, and corrective action. This record series is used for compliance purposes. RETENTION: Retain current in office. Destroy after 6 years provided no pending litigation or claims.	17-012
LG-19.	<u>COMPUTER HARDWARE AND LICENSE FILES:</u> This series contains software and hardware licensing agreements and hardware files. Information may include: licensing information, certificate of authenticity, manuals; and hardware serial numbers, inventory control number, system configurations, parts' number, original disk, and warranty information. This record series is used for maintaining the computers, for copyright laws, and permissions to use the software. RETENTION: HARDWARE FILES: Retain current in office. Transfer when hardware has been sold or has been declared surplus. LICENSE FILES AND MANUALS: Retain current in office. Destroy or transfer superseded or obsolete.	17-012
LG-20.	<u>CONTINUITY OF OPERATION PLANS/DISASTER RECOVERY PLANS:</u> This series may contain Continuity of Operation Plans (COOP) and Disaster Recovery Plans. RETENTION: Retain current.	17-012

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LG-21. CONTRACTS, LEASES, AND AGREEMENTS:

17-012

This series contains reference copies of contracts, leases, and agreements in which the agency may have an interest. It also contains the agency's copy of contracts, leases, and agreements between the agency 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 audit purposes.

RETENTION: Retain originals current in office. Destroy 6 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

Retain reference copies current in office. Destroy terminated.

LG-22. CORRESPONDENCE, FEDERAL:

17-012

This series 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 use when federal litigation, claims, or audits are pending

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

(Note: When litigation, claims, or audits are complete maintain for an additional 3 years, then destroy.)

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LG-23.	<u>CORRESPONDENCE, GENERAL:</u> This series contains both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is maintained for occasional reference and documentation. RETENTION: Retain 2 years, then destroy.	17-012
LG-24.	<u>COUNTY ASSISTANCE:</u> This series documents the funds received from the counties for operating expenses. The funds are used to hire employees, purchase supplies, and carry out programs. Before receiving such funds, agencies may be required to file with the county commission a financial statement for the last 3 years itemizing the amount of funds received and how they were disbursed. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012
LG-25.	<u>DEPRECIATION SCHEDULES:</u> This series contains schedules of depreciation for each piece of depreciable property and a master list of property, including assets which may be held for resale. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012

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

LG-26. DISTRICT ORGANIZATION DOCUMENTATION:

17-012

This series contains information surrounding the creation of the district, including the original and subsequent certificates of organization covering addition of territory, change in district names, etc.

RETENTION: Retain for the life of the District, then destroy.

LG-27. ELECTION RECORDS:

17-012

This series contains documentation pertaining to elections. Information may include, but is not limited to: calendars, maps, worker and candidate instruction booklets, absentee precinct forms and documents, ballot distribution receipts, ballots, election returns, election notices, nominating petitions, and poll books.

RETENTION: Retain election returns 10 years in office, then transfer to State Archives for final disposition.

Retain contested ballots, nominating petitions, and recount petitions 1 year in office after recount, if any, then destroy provided all remedies provided by SDCL Chapters 12-21 and 12-22 have been exhausted.

Retain all other election information 60 days after election and/or recount, then destroy provided no litigation is pending.

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LG-28. ELECTRONIC COMMUNICATION RECORDS:

17-012

This series may contain e-mail messages, voicemail messages, recorded telephone conversations, instant messages, etc. created or received by employees of the agency.

RETENTION: Determine the record status of the message based on the content. If the 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 in the respective agency's retention manual. It is permissible to print record e-mails and file them with like paper records.

NON-RECORD MESSAGES: Retain until action has been taken, then destroy or delete.

LG-29. FINANCIAL STATEMENTS:

17-012

Financial statements provide an overview of the agency's financial condition for a given year. Information may include, but is not limited to: balance sheets; statement of revenue, expenditures, and changes in fund balances--budgeted and actual; statement of fixed assets; summary of significant accounting procedures; supplemental information; and working papers. The statements are maintained for reference and audit purposes.

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

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LG-30. FINANCIAL REPORT, ANNUAL:

17-012

This series contains itemized annual financial report submitted to the county commission if the agency receives county funds. The report consists of a balance sheet and a profit/loss statement.

RETENTION: Retain permanently.

LG-31. GENERAL LEDGER:

17-012

This series may contain computer generated or hand written general ledgers which is a listing of all account balances for a given fund at the end of the year. The general ledger is referred to as the book of final entry that summarizes and controls all detailed records and transactions. Accounts may include: assets, liabilities, equity, revenues, and expenditure. Information in the ledger may include, but is not limited to: account number, account name, debit and credit balances, fund, sub-fund, receipt amounts, transfer amounts, refund amounts, and totals. This record series is used to facilitate the completion of year-end financial reports, for fund accountability, reconciliation with other accounting reports, and audit purposes.

RETENTION: Retain 20 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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LG-32. GRANTS:

17-012

This series may contain records that document application, evaluation, award, administration, monitoring, and status of grants. Information may include, but is not limited to: application, proposals, activities, budgets, award notification, grant evaluations, reports, and project plans, expenditure reports, correspondence, and other documentation.

RETENTION: AWARDED: Retain current. Destroy 5 years after the final expenditure report date of submission or as required by grant (whichever is later) provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

NON-AWARDED: Destroy when no longer of reference value.

LG-33. GRIEVANCE FILES:

17-012

This series contains grievance complaints filed against employees. Information may include: correspondence, follow-up notes, hearing results, investigation data, and findings (if applicable). The information is used to investigate grievances, to determine if a mutually agreeable solution is available, or to document reasons for actions taken.

RETENTION: Retain current in office. Destroy 3 years after closed provided no litigation is pending.

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LG-34. INSURANCE FILE:

17-012

This series contains information used for both reference and documentation concerning various insurance policies and the self-insured liability risk pool. Topics in the file may include, but are not limited to: type of insurance, company, policies and numbers, declarations, policy conditions, forms and endorsements, and related material. Information may be used as documentation to insurance coverage and for reference to policy terms and conditions.

RETENTION: Retain current in office. Destroy 6 years after superseded provided no litigation or claims are pending.

Retain "Declaration Page" of any "occurrence liability policies" in office 21 years after expiration. Destroy 21 years after expiration.

LG-35. INVENTORY, FIXED ASSETS:

17-012

This series may include: land inventory, equipment inventory, purchase date and price, type of depreciation, amount of depreciation, location number, fund number, department number, insurance code, current book values, and current replacement costs. The file is maintained for property management and accountability purposes.

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

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LG-36. INVENTORY, SUPPLIES AND MATERIALS:

17-012

This series contains inventories of supplies and materials used by various departments within the city. It is maintained as an accounting of supplies on hand and for information when ordering supplies. Information may include but is not limited to: date, beginning inventory, purchases, year-to-date use, amount used, and amount on hand. Inventories are kept for audit purposes.

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

LG-37. INVESTMENT RECORDS:

17-012

This series contains investment records. Information may include: type of interest bearing deposit or investment, identifying number, date purchased, maturity date, cost, face value if different than cost, amount of discount or premium, fund, interest rate, interest payment periods, amount of interest received or credited, receipt number, dates interest was received, amount received when sold, and date sold or redeemed. This subsidiary record serves as a control for interest bearing deposits and investment.

RETENTION: Retain in office until sold or redeemed. Destroy 4 years after sold or redeemed provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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LG-38. INVOICES:

17-012

This series constitutes the billing instrument used by vendors to petition for payment. Information in the file may include, but is not limited to: vendor number, company name, date the order was received, ship date, invoice date, invoice number, quantity, description, unit price, amount, terms, credit memo, and total. It may be submitted to the appropriate department for approval; and finally, it is attached to a voucher, a warrant is issued, and it is retained for audit purposes.

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

LG-39. IRS 1099 FORMS:

17-012

This series contains a copy of each IRS Form 1099 submitted to persons to whom were paid more than \$600 per year for services. Information may include: name, social security or business identification number, and amount paid. The information is maintained to document which notices were sent. The recipients send their copy to the IRS long with their Federal Income Tax Returns to document yearly income. This record series is maintained for audit purposes.

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

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LG-40. JOB ANNOUNCEMENTS:

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This series contains standard job announcements. Information may include: job title, salary range, list of job duties, listing of experience, listing of education, and comments. The information is used to inform agency personnel of job openings throughout the agency.

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

LG-41. JOURNALS:

17-012

This series documents daily transactions concerning the receipts and disbursement of funds. Journals may include, but are not limited to: revenue journals, expense journals, general journals, special funds journals, cash receipts journals, cash disbursement journals, payroll journals, fee books, day books, and cash books. Information may include: entry number, date, account, amount, activity, invoice number, transaction description, project, and debit and credit. This series is maintained for audit and reference purposes.

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

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LG-42.	<u>LEAVE REQUESTS:</u> This series is arranged alphabetically by name of employee and contains the standard forms used to request annual and sick leave. Information may include: name of employee, leave days requested, hours requested, purpose, type of leave, and employee's and supervisor's signatures. Leave requests are used for payroll and audit purposes. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012
LG-43.	<u>LEGAL OPINIONS:</u> This series contains legal opinions issued at the request of the agency to address various issues the agency confronts. This series is maintained for occasional reference and as support for administrative decisions made and actions taken. RETENTION: Retain in office. Destroy when no longer of reference value.	17-012
LG-44.	<u>LEGISLATION FILES:</u> This series constitutes the central file of all proposed legislation and legislation from previous years. Information may include: resource materials, bill tracking printouts, copies of House and Senate bills, preliminary bill drafts, and the final drafts of proposed legislation. This record series is used for bill drafting, submission, and tracking during the legislative session. RETENTION: Retain current in office. Destroy superseded or obsolete.	17-012

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LG-45. LONG TERM DEBT RECORDS AND AGREEMENTS:

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This series contains long term debt records and agreements. Types of debt may include, but are not limited to: Capital Outlay Certificates, General Obligation Bonds, Capital Lease Agreements, and other debt entered into or incurred. Information may include: the original documents constituting the establishment of debt, debt repayment schedule showing principal amount, interest rates, interest amounts, dates of redemption, and other general terms of debt. This record series is maintained for audit purposes.

RETENTION: Retain in office as long as debt is outstanding. Destroy 5 years after debt has been cancelled provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

LG-46. LOYALTY OATHS (OATHS OF OFFICE):

17-012

This series contains the original signed oath of various elected and/or appointed officials. Information includes: state, county, name of person being sworn, text of oath, signature, date, signature of judge or notary, and seal. The oaths have little value after the respective officials have left office.

RETENTION: Retain current in office. Destroy when respective official has left office.

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LG-47.	<u>MATERIAL SAFETY DATA SHEETS (MSDS):</u> This series contains the standard MSDS issued to alert of hazardous material in various products and how to handle it, including contact information for the manufacturer and what to do in case of exposure. RETENTION: Retain current in office. Destroy superseded or obsolete.	17-012
LG-48.	<u>MINUTES, BOARD MEETINGS:</u> This series contains original minutes from board meetings. Minutes are used to document board actions and may include: roll call, approval of claims for payment, travel requests, gross payroll, policy statements, etc. This series may also include: open meeting notices, agendas, and handouts. The file constitutes a history of actions and policies promulgated. RETENTION: OFFICIAL MINUTES: Retain permanently. ALL OTHER INFORMATION: Retain 2 years, then destroy.	17-012
LG-49.	<u>NEWSLETTERS/PUBLICATIONS:</u> This series may contain newsletters, brochures, or other publications prepared by the agency for general public distribution. RETENTION: Retain current in office. Destroy superseded or obsolete.	17-012

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LG-50. OPEN RECORDS REQUESTS:

17-012

This series contains open record requests received by the agency. Information may include: open records request, correspondence, denial letters, and supporting documentation. This series is maintained to document the outcome of requests and for reference purposes. Denial letters are maintained pursuant to SDCL 1-27-1.4.

RETENTION: DENIAL LETTERS: Retain permanently.

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

LG-51. PERFORMANCE APPRAISALS:

17-012

This series contains performance appraisal forms showing a statement of standards and responsibilities for each employee and the immediate supervisor's evaluation of the employee's performance. Performance appraisals are used for justifying merit increases in salary, for commending deserving employees, and as documentation supporting the dismissal of employees for unsatisfactory job performance.

RETENTION: Retain 3 years in office, then destroy by shredding provided no grievance is pending

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LG-52. PERSONNEL FILES:

17-012

This series contains a folder for each employee. Information may include, but is not limited to: applications for employment, personal data sheets, personnel action notices, position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, resumes, service records, notices of resignation, W-4 forms, I-9 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. They are maintained to review work history of former employees who apply for work and for audit purposes.

RETENTION: Retain active in office. Destroy by shredding 3 years after terminated provided sufficient data on hours worked and compensation received have been maintained by the Department of Labor and Regulation, Division of Retirement and Insurance.

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

LG-53. POLICIES AND PROCEDURES:

17-012

This series documents current policies and procedures pertaining to administrative, personnel, etc. Information may include: effective date, formal policy or procedure, and authoring signatures. This record series is used to determine the proper course of action to take in certain situations and for reference to insure compliance with current policies.

RETENTION: Retain current in office. Destroy 4 years after terminated provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

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LG-54.	<u>PUBLICATION NOTICES:</u> This series contains the documentation of compliance with various laws requiring publication of activities. It is used to show that all notices were filed and published in accordance with rules and laws. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012
LG-55.	<u>PURCHASE ORDERS:</u> This series may be generated after receiving a requisition form. Each order may list: item and inventory numbers, quantity, unit, stock number, description, unit price, and amount paid. Purchase orders create encumbrances against agency funds and are kept for audit purposes. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012
LG-56.	<u>RECEIPTS:</u> This series contains forms issued to document the receipt of money. Receipts may be pre-numbered and include: date money was received, amount received, funds and accounts credited, the amount to be credited, and signature of the person receiving money. The information is maintained for audit purposes. RETENTION: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	17-012

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LG-57. REQUEST FOR PROPOSAL (RFP):

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This series may contain RFPs for professional and non-professional services. Information may include: title of solicitation; proposal due date; RFP #; buyer's name and email address; agency name and address; primary contact information; vendor information; purpose of RFP; schedule of activities; number of copies to be submitted; offeror inquires; length of contract; terms and conditions of contracts; scope of work; proposal requirements and company qualifications; cost proposal; criteria for award selection, and authorized signatures. This record series is maintained for reference and audit purposes.

RETENTION: Retain 6 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

LG-58. REQUISITIONS:

17-012

This series initiates the "Purchase Orders" if the request is deemed appropriate. Information on the form may include: request date, department or class, coding, approved by, address, quantity, itemized description, unit price, total, employee's signature, and date.

RETENTION: Retain current. Destroy superseded or obsolete.

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LG-59. RETIREMENT CONTRIBUTION REPORTS:

17-012

This report is used to document employee and employer contributions to retirement systems. Information may include, but is not limited to: employer name, employee name, billing date, current report totals, employer matching totals, outstanding balance, delinquency payments, total, and authorized signatures. This record series is used to document proper contributions.

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

LG-60. RISK MANAGEMENT PLANS:

17-012

This series contains the risk management plans formulated to protect the public and environment.

RETENTION: Retain current in office. Destroy 4 years after superseded or obsolete.

LG-61. SALES TAX REPORTS (STATE):

17-012

This series contains a copy of the report filed bimonthly with the state Department of Revenue, Sales Tax Division. It is used to document payments made for state sales taxes collected. The reports are arranged chronologically by date and may include: net taxable revenues, rate, reporting period, license number, gross sales, totals, state taxes, city taxes, penalties and interest, and amount remitted. The Department of Revenue also maintains the original report.

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

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LG-62. TAX REPORTS, EMPLOYMENT:

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This series contain the audit copies of reports payments of quarterly and annual federal and state employment taxes. Reports may include, but are not limited to: IRS form 941, Department of Labor unemployment, O.A.S.I. (social security), F.I.T. (federal withholding), E.I.C. (earned income credit), and various other state and federal employment reports. This series is maintained for reference and for audit purposes

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

LG-63. TIME CARDS/SHEETS:

17-012

This series contains completed time sheets or cards submitted by employees. Information may include: name, social security number, pay period ending date, days worked, days off, hours worked, hours off, total hours for the period, and signatures of employees and the supervisor. They initiate the payroll process and document hours worked by employees.

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

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LG-64. TRAVEL REQUESTS:

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This series contains copies of both in-state and out-of-state travel requests. Data elements might include: origin, destination, departure date, return date, departure time, return time, 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. The forms are used for travel coordination and for authorizing payment of travel expenses upon return.

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

LG-65. UNCLAIMED CHECK RECORDS:

17-012

This series contains records that document the issuance of a check/warrant that has never been cashed. This information should be forwarded to the State Treasurer if not claimed or resolved within twelve months of issuance.

RETENTION: Retain 5 years in office, then transfer to the State Treasurer pursuant to SDCL 43-41B, the Uniform Unclaimed Property Act.

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LG-66. VEHICLE FILES:

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This series contains information regarding each vehicle. Information may, but is not limited to: trip data including vehicle identification number, sign-out sheets for each vehicle, sign-out dates and times, driver, return dates and times, beginning and ending odometer readings, and purposes of travel, fuel/oil usage data, and summaries of maintenance performed on each vehicle. This record series is maintained to document usage of each vehicle, to justify the sale of old vehicles and purchase of new vehicles, and for audit purposes

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

LG-67. VEHICLE TITLES:

17-012

This series contains the owner's copy of the vehicle titles issued by the State Division of Motor Vehicles. It is used as documentation of vehicle ownership and includes: owner name and address, description of the vehicle, and lien holder information. The State Division of Motor Vehicles maintains the original titles.

RETENTION: Retain current in office. Transfer when respective vehicle has been sold or declared surplus

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DEPARTMENT: Local Government
DIVISION: _____
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: _____
RM CUSTOMER #: _____

<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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LG-68. VOUCHERS:

17-012

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

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

LG-69. VOUCHERS, PETTY CASH:

17-012

This series contains copies of completed vouchers used for the issuance of cash from the petty cash fund. Each voucher includes: the reason for which the money was expended, the amount, date, payee, and authorized signatures. They are used for reference and audit purposes.

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

STATE OF SOUTH DAKOTA
 RECORDS RETENTION &
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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>

LG-70. W-9 VENDOR FILES:

17-012

This series is arranged alphabetically by vendor name and contains W-9 Vendor Registration Forms. Information may include: vendors legal name, address, telephone number, FAX number, legal business designation, taxpayer identification number, registered vendor with Small Business Administration, authorized signatures, date signed, and telephone number of the authorized individual signing the form. This record series is required by the federal government to be maintained for income tax reporting purposes.

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

LG-71. WAGE AND TAX STATEMENTS (W-2 FORMS):

17-012

This form is generated annually and contains: name, social security number, number of exemptions, federal tax withheld, FICA tax withheld, total wages earned, state tax withheld, employer identification number, and employer's name and address. The original is retained by the employer and duplicates are mailed to the employee.

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

STATE OF SOUTH DAKOTA
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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>

LG-72. WAGE GARNISHMENTS:

17-012

This series contains the legal instruments from the courts used to support the wage garnishment of an employee of the school district. Garnishment of debts and property is provided for under SDCL 21-18.

RETENTION: Retain in office through satisfaction of garnishment. Destroy 4 years after satisfied provided all litigation, claim, and audit findings involving the records have been resolved and final action has been taken.

LG-73. WITHHOLDING ALLOWANCE CERT. EMPLOYEE'S (W-4 FORM):

17-012

This series contains the W-4 forms submitted by every employee in the school district. Information may include: employee's name, social security number, marital status, address, allowances, exemptions, employee's signature, employer's name and address, and employer identification number. The W-4 remains in effect until employee changes it. The record series is used to inform the employer of how much money to withhold according to his tax liability.

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

STATE OF SOUTH DAKOTA
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<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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LG-74. WORKERS COMPENSATION FILES:

17-012

This series contains copies of the standard "Employer's First Report of Injury Forms." Information may include: employer information, employee information, information relating to the on-the-job injury, and doctor reports. This record series is maintained for reference to reports filed by employees.

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

(Note: The State Department of Labor and Regulation, Division of Labor and Management maintain the original Worker's Compensation claims.)