



BOARD OF EXAMINERS IN
OPTOMETRY

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

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: January 8, 2010

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: Health
DIVISION: Boards
OFFICE: Examiners in Optometry
PROGRAM: _____
RECORDS OFFICER: Kari Weisbeck
RM CUSTOMER #: 1195

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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BEO-1. ADMINISTRATIVE REFERENCE FILES:

07-047

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, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

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 Destroy superseded or obsolete.

(Note: Newsletters are subject to archival screening prior to disposal.)

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

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BEO-2. ADMINISTRATIVE RULE PROMULGATION FILES:

07-047

This series contains notices of public hearings, affidavits of publication of notices, written comments from the public, and transcripts from the hearing. Files have little reference activity once their hearing has been held unless someone requests a copy of the transcript. Information serves to document the proper promulgation of administrative rules pursuant to SDCL 1-26.

RETENTION: Retain in office for as long as rules are in effect, then destroy.

(Note: SDCL 1-26-7 states in part, that "Each agency shall keep the original records, documents, and instruments required by this chapter". There is no time frame included for these records. Since SDCL 1-26-6.8 provided that "No rule is enforceable in the Courts unless properly adopted", the 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 ARSD. Consider maintaining on microfilm instead of paper.)

(Note: Previous record series number was OP-1.)

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BEO-3. ASSOCIATION FILES:

07-047

This series is arranged chronologically and contains current correspondence and newsletters from professional associations to which the Board of Examiners in Optometry belongs. Information may include: minutes of association meetings, conference agendas, expense reports, participants names and other states' optometry legislation. This record series is used for reference purposes concerning ideas and policies suggested and used by these associations.

RETENTION: Retain 2 years in office, then destroy.

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

BEO-4. AUDIT REPORTS:

07-047

This series is arranged chronologically and contains Legislative Audit reports concerning the expenditure and administration of funds. Information may include: cover letters, statement of assets, revenues and expenditures, change of fund cash balances, and observations and recommendations. The reports are reviewed to identify problem areas and discrepancies so that corrective measures may be implemented.

RETENTION: Retain 3 years in office, then destroy provided all litigation, claims, and involving the records have been resolved and final action has been taken.

(Note: Legislative Audit maintains reports permanent in office on microfilm.)

(Note: Previous record series number was OP-4.)

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BEO-5. BOARD MEMBER FILES:

07-047

This series is arranged alphabetically and contains information regarding individual Board members. Information may include: letters of appointment, terms, expiration dates, and correspondence. This record series is maintained to document member appointments to the Board of Examiners in Optometry and any related information pertaining to each.

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

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

(Note: Previous record series number was OP-5.)

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BEO-6. BUDGETARY ACCOUNTING/MSA REPORTS:

07-047

These daily, weekly, monthly, and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures. Reports may include, but are not limited to: Daily Revenue and Journal Voucher Detail Reports, Daily Transaction Registers, Status Registers, Activity Budget Status, Weekly Sub-Fund Reports, Advance Travel-Accounts Receivables, Transaction Progress Reports, Monthly Revenue and Journal Voucher Detail Reports, Revenue Analysis Reports, General Ledger Trial Balances, and Monthly Expenditure Reports. 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.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper, and maintaining fiche in office the entire 4 years prior to disposal.)

(Note: Previous record series number was OP-6.)

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BEO-7. CASH RECEIPT TRANSMITTALS:

07-047

Cash Receipt Transmittals document payment received and deposited with the State Treasury. Information may include: agency name and code, agency receipt number, date, fund, sub-fund, revenue source, description, and amount. The original and two copies are forwarded to the State Treasurer along with receipts for deposit. A copy is kept for reference and 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.

(Note: Previous record series number was OP-7.)

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BEO-8. COMPLAINT FILES:

07-047

This series contains all related correspondence received from either the general public or initiated by the Board of Examiners in Optometry concerning problems which have occurred with optometrists. Information may include: nature of the complaint, related correspondence, investigation of the allegation, conclusion of the investigation, and related materials. This record series is used by the Board to determine if a complaint is substantiated and if so, to take corrective action. If the complaints are substantiated, this information is then placed in each respective "License Files, Optometrists".

RETENTION: UNSUBSTANTIATED: Retain 1 year in office, then transfer to storage for 2 years. Destroy after 3 years provided no litigation is pending.

SUBSTANTIATED: Retain until case closed, then transfer to the respective "License Files, Optometrists", and maintain for 4 years after last license expiration. Destroy 4 years after last license expiration provided no litigation is pending.

(Note: Previous record series number was OP-8.)

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BEO-9. CONTINUING EDUCATION CERTIFICATIONS:

07-047

This series is arranged alphabetically by name of applicant and contains information documenting requisite education required to apply for and maintain an optometrist license. Information may include: applicant names, course attended, date of courses, name and address of schools, certifications, school affidavits, authorizing signatures, and notary seals. This record series is maintained to ensure proper continuing education is received by all licensed optometrists.

RETENTION: Retain 1 year in office after expired, then transfer to storage for 3 years. Destroy 4 years after expired.

(Note: Previous record series number was OP-9.)

BEO-10. CONTRACT AND AGREEMENT FILES:

07-047

This series contains contracts and agreements between the Board of Examiners in Optometry and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is maintained for reference and documentation purposes.

RETENTION: Retain current in office. Destroy 6 years after terminated provided no litigation is pending.

(Note: SDCL 1-24A-1 requires consulting contracts be filed with the State Auditor.)

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

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BEO-11. EXAMINATION FILES, (MASTERS AND ANSWER KEYS):

07-047

This series is arranged chronologically and contains copies of old examinations and old examination answer keys. This record series is used for reference when drafting new examinations.

RETENTION: Retain 10 years in office, then destroy.

(Note: Previous record series number was OP-12.)

BEO-12. EXAMINATION RECORDS:

07-047

This series is arranged alphabetically by licensee and summarizes examinations passed or failed, and when applicants are eligible for reexamination. Information may include: date, applicants' name and address, date applicant is eligible for reexamination, copies of passed/failed examinations, and examination scores. This record series is used to document examination results during the licensing process, and to notify eligible applicants of upcoming examination dates, and for annual reporting purposes. Results are added to the "License Files, Optometrists".

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was OP-13.)

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BEO-13. FINANCIAL STATEMENTS:

07-047

This series is arranged chronologically and contains financial statements which provide an overview of the Board's financial condition for a given fiscal year. Information may include: Balance Sheet, Statement of Revenues, Expenditures and Changes in Fund Balances--Budget and Actual, Statement of Assets and Fund Cash Balances, Statement of General Fixed Assets, summary of significant accounting procedures, supplemental information, and working papers. This record series is maintained for reference and audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years 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 OP-14.)

BEO-14. LEGAL FILES:

07-047

This series is arranged alphabetically by case name and contains information concerning precedence setting Board action. Information may include: current case under suspension, complaint, investigation, testimony, results, action taken. This record series is maintained for future reference and is shared with other States upon request.

RETENTION: Retain 1 year in office after closed, then transfer to storage for 4 years. Destroy 5 years after closed provided that no appeal is pending.

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

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BEO-15. LICENSE FILES, OPTOMETRISTS:

07-047

This series is arranged numerically and documents personal data for licensed optometrists. Information may include: original applications, college grade transcripts, renewal applications, verification of most current continuing education units, verification of experience, the actual examination passed prior to license being issued, examination score, license number issued, license and renewal fee receipts, substantiated complaints, court action records, and investigation reports. This record series documents the licensing and renewal process, and is used for basic reference when answering questions concerning licensed optometrists in South Dakota.

RETENTION: Retain 1 year in office after expired, then transfer to storage for 3 years. Destroy 4 years after last license expiration.

(Note: Consider microfilming when volume warrants.)

(Note: Previous record series number was OP-17.)

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BEO-16. MINUTES, OPTOMETRY EXAMINERS BOARD:

07-047

This series is arranged chronologically and contains the official minutes of the Board of Examiners in Optometry meetings. Information may include: copies of agendas, dates of meetings, members present, topics discussed, actions taken, approving signatures, copies of the budget reports, application records, and inspection reports. This record series is used for reference and documentation purposes concerning actions taken by the Board.

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

(Note: Previous record series number was OP-18.)

BEO-17. PAYROLL FILES:

07-047

This series is arranged chronologically and is used to document the transfer of money in the payroll process for retirement and insurance contributions, income tax withholding, and other deductions. Information may include: date, employee name, amount, itemized listing of deductions, copies of forms used to transfer funds, and rules and regulations. This record series is maintained for reference and 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.

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

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BEO-18. PERSONNEL FILES:

07-047

This series contains a folder for each employee of the Board of Examiners in Optometry. Information may include, but is not limited to: application for employment, personal data sheet, personnel action notices, position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, resumes, service records, notices of resignation, W-4 forms, and supervisors reports of employee separation. The files serve as a history of the employee's service.

RETENTION: Retain current employee files in office. Transfer terminated employee files to storage for 3 years. Destroy 3 years after termination provided sufficient data on hours worked and compensation received is maintained by the Department of Labor, Division of Retirement and Insurance; and provided that 1 year has passed since a new independent post audit report has been received.

(Note: Previous record series number was OP-21.)

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BEO-18.1. 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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BEO-19. VOUCHERS:

07-047

This series is arranged chronologically and may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Each voucher may include: nature of expense, amount, fund expended from, date, who the funds went to or to what account they were transferred to, and the authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and 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.

(Note: Previous record series number was OP-23.)