



RISK MANAGEMENT

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: Bureau of Administration
OFFICE: Office of Risk Management
PROGRAM: _____
RECORDS OFFICER: Marla Anderson
RM CUSTOMER #: 0327

<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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ORM-1. ACCIDENT AND INCIDENT REPORTS:

07-012

This series is arranged chronologically, then alphabetically by department and contains accident reports involving state owned vehicles or state owned property. Information may include, but is not limited to: police report, accord form, correspondence, estimates, and adjustment (GAB) reports. This record series is maintained for administrative purposes and to satisfy statute of limitations.

RETENTION: Retain current in office. Transfer closed to storage for 3 years. Destroy 3 years after closed.

(Note: previous record series number was ORM-01.)

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ORM-2. ADMINISTRATIVE REFERENCE FILES:

07-012

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: previous record series number was ORM-02.)

ORM-3. CONTRACTS AND AGREEMENTS:

07-012

This series contains both originals (copies of record) and reference copies of contracts and agreements between the agency and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is maintained for reference and audit purposes.

RETENTION: Retain 6 years after terminated, then destroy.

(Note: previous record series number was ORM-04.)

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ORM-4. CORRESPONDENCE, GENERAL:

07-012

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

RETENTION: Retain 2 years in office, then destroy.

(Note: previous record series number was ORM-05.)

ORM-5. CORRESPONDENCE, PEPL:

07-012

This series is arranged chronologically and contains both copies of letters and memorandums sent and the originals of letters and memorandums received. The information pertains to the Public Entity Pool for Liability (PEPL) fund.

RETENTION: Retain 5 years in office, then destroy.

(Note: previous record series number was ORM-06.)

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ORM-6. ENTITY CLAIMS:

07-012

This series is arranged chronologically by year, then alphabetically by entity and contains claims submitted against governmental entities (i.e., cities and counties). Information may include: reason for filing, claim, claimant name, and entity filing against. This record series is maintained for potential lawsuits.

RETENTION: Retain 3 years in office, then microfilm and maintain film for 12 years. Destroy after 15 years.

(Note: previous record series number was ORM-22.)

ORM-7. INSURANCE FILES:

07-012

This series contains insurance policies purchased. Types of policies include: liability insurance, boiler insurance, aviation insurance, general property insurance, and faithful performance bonds. Information may include: policy correspondence, reports, specifications, and certificates of coverage.

RETENTION: Retain current in office, then microfilm terminated and maintain film for 6 years. Destroy film 6 years after terminated.

(Note: Retain liability and faithful performance bonds permanently on paper.)

(Note: previous record series number was ORM-07.)

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ORM-8. LAWSUITS:

07-012

This series is arranged alphabetically and contains lawsuits, cases involving PEPL, and commercial insurance companies. Information may include, but is not limited to: pleadings, correspondence and appeals. This record series is used for reference in the case of an appeal.

RETENTION: Retain current in office. After the case closes, transfer to storage for 15 years. Destroy 15 years after the case has been closed provided all litigation and claims involving the records have been resolved and final action has been taken.

(Note: previous record series number was ORM-08.)

ORM-9. LOSS CONTROL AUDIT REPORT:

07-012

This series is arranged chronologically and contains reports generated by Risk Management from inspections on stated owned property to prevent lawsuits. Information may include: facility name, liability exposure, and the deadline to correct the conditions. This record series is used as a loss prevention tool to minimize potential lawsuits.

RETENTION: Retain 5 years after satisfaction, then destroy.

(Note: previous record series number was ORM-09.)

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ORM-10. NOTIFICATION (3-21) FILE:

07-012

This series is arranged alphabetically by claimant and contains the notification (3-21) file. Information may include: reason for filing, claim, claimant name, and department filing against. This record series is maintained for potential lawsuits.

RETENTION: Retain 3 years in office, then microfilm and maintain film for 12 years. Destroy after 15 years.

(Note: previous record series number was ORM-10.)

ORM-11. RECORDS MANAGEMENT FILES:

07-012

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 ORM-14.)

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ORM-12. RISK MASTER REPORT:

07-012

This series is arranged chronologically and contains breakdowns by department of detailed accidents, incidents, and any cost associated. Information may include: legal fees, settlements, claim costs per year, accidents, and incidents. Copies are sent to departments on requests.

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

(Note: previous record series number was ORM-15.)

ORM-12.1. 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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ORM-13. TRAINING MATERIAL:

07-012

This series contains all materials used for training state employees in risk management. Materials may include, but is not limited to: loss control training and resource control catalogues, safety issues videos, handouts, and brochures.

RETENTION: Retain current in office. Transfer superseded or obsolete to storage for 3 years. Destroy 3 years after superseded or obsolete.

(Note: previous record series number was ORM-18.)