



SOUTH DAKOTA RETIREMENT SYSTEM

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF
EXECUTIVE MANAGEMENT

BUREAU OF
ADMINISTRATION

PBM 01234

RECORDS MANAGEMENT PROGRAM

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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: January 13, 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: Labor
DIVISION: Retirement and Insurance
OFFICE: Retirement and Insurance
PROGRAM: Administration
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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LBR-134. ACTUARY FILES:

83-002

Information in this series is used to document reviews and changes in retirement system management. Information may include: cover letters of studies, annuity charts, handouts concerning the effects on the system, and reports from consultants and internal actuaries.

RETENTION: Retain 3 years in office, then transfer to RM storage for 3 years. Destroy after 6 years.

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

LBR-135. APPROVALS, JOB RELATED EDUCATION /TRAINING:

83-002

This series is maintained to have a record of the authorizations from the Bureau of Personnel to spend funds for outside training. In addition to the authorizations, copies of payment vouchers may also be included. Information includes: name of employee, type of training, cost, justification, and approval signatures.

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

(Note: Record must be retrained until 1 year after an independent post audit report has been received.)

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LBR-136. ASSOCIATIONS FILE:

83-002

This series is maintained to have a record of actions taken by each professional association that employees hold membership in. Such organization may include: South Dakota State Employee Organization, Municipal Finance Officers Association, State Retirement Association, Public Employee Retirement System Association, National Retired Teachers Association, etc. Related reports and correspondence may also be included in this series.

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

LBR-137. BOARD OF TRUSTEE FILE:

83-002

This series is maintained solely for the Director's reference purposes. Information in this series may include: Class B membership, correspondence to Board, and copies of minutes. The original files of this series may be found in the Board of Trustees' office.

RETENTION: Retain 1 year in office, then destroy.

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LBR-138. BUDGETARY ACCOUNTING PRINTOUTS:

83-002

These daily, weekly, monthly, and year end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures. They may include: Daily Revenue and Journal Voucher Detail Report, Daily Transaction Register, Status Register, Activity Budget Status, Weekly Sub-Fund Report, Advance Travel-Accounts Receivable, Transaction Progress Report, Monthly Revenue and Journal Voucher Detail Report, Revenue Analysis Report, General Ledger Trial Balance, Sub-Fund General Ledger Trial Balance, Monthly Expenditure Report, Summary, and Sub-Object General Ledger Adjustments Report. They are kept for audit purposes.

RETENTION: Retain 4 years in office, then microfilm and retain film in office 96 years. Destroy after 100 years.

(Note: Consider receiving data on computer output microfiche (COM) and maintaining fiche in office for the entire 100 years prior to disposal.)

LBR-139. BUDGET FILES:

83-002

This file may contain: budget request, operating budget, and working papers. The information is used for reference throughout the year in monitoring program activities, and when preparing budget requests. It is kept for audit purposes.

RETENTION: Retain 5 years in office, then transfer to RM storage for 5 years. Destroy after 10 years provided audited.

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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LBR-140. CERTIFICATION OF ELIGIBLE LISTINGS:

83-002

This series has resulted from copies of the standard Certification of Eligible forms sent by the State Bureau of Personnel. Information on the forms includes: class, position number, certificate date, type of employment, request date, division or department, location, position number, number of vacancies, deadline to arrange an interview, deadline for appointing, disposition, names of certified applicants, address and telephone numbers, effective hire date, salary, interviewer's name, and date returned. Information on the forms is used to notify the Bureau of Personnel as to which applicant has been appointed to the vacant position, and to keep the "Position History Files" current.

RETENTION: Retain 1 year in office, then destroy.

LBR-141. COMPLAINTS, ADMINISTRATION:

83-002

This series contains copies of complaints written to the Department of Retirement and Insurance concerning the retirement system. The original complaints and any subsequent follow up documents are filed in the "Contributer File". Purpose of this series is to maintain a central file of complaints to insure follow up actions are taken, for comparison of similar complaints, and to determine the number of total complaints received by year.

RETENTION: Retain active in office. Destroy resolved.

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LBR-142. CONTRACTS FILE:

83-002

This series contains original contracts negotiated to establish services with various individuals for goods and services. Information in this series may contain: terms and conditions of agreements, active dates, costs involved, and funding sources. They are kept for reference and documentation purposes. Contracts in this series may include, but are not limited to: lease agreements, equipment contracts, service contracts, consultant contracts, and audit contracts.

RETENTION: Retain current in office. Transfer terminated to RM storage for 6 years. Destroy 6 years after terminated.

(Note: File one copy of all 'consultant contracts' with the State Auditor. File on copy of all space agreements with the Bureau of Administration.)

LBR-143. CORRESPONDENCE:

83-002

This series may contain both copies of letters sent and the originals of letters received. The file is used for occasional reference and for documentation.

RETENTION: Retain 2 years in office, then destroy.

LBR-144. CORRESPONDENCE, STATE AGENCIES:

83-002

This series contains copies of letters and memorandums sent, and originals received from various state agencies. Files are arranged alphabetically by agency name. They are used for reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

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LBR-145. COURSE CATALOG/TRAINING FILES:

83-002

This series is maintained to keep current copies of all courses being offered and available from the State Bureau of Personnel. It is used to determine dates, costs, and course content of the various training workshops available to state employees.

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

LBR-146. INSURANCE FILE:

83-002

This series is maintained to document the establishment, maintenance, and reviews of health and life insurance programs. Information may include: copies of memorandums and letters, bid proposals, evaluation of claims, original contracts, agreement amendments, performance reports, insurance audits, requests for bid proposals, consultant proposals, self insurance study, rebids, refunds, and other related information.

RETENTION: Retain current contract files in office. Transfer terminated to RM storage for 6 years. Destroy 6 years after terminated provided audited.

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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LBR-147. INVESTMENT COUNCIL FILE:

83-002

This series is maintained by the Director of Retirement and Insurance as a member of the Council. Information in this series may include: rules, policies and guidelines, and copies of Council minutes.

RETENTION: Retain current rules, policies, and guidelines in office. Destroy superseded or obsolete.

Retain copies of minutes and correspondence 2 years in office, then destroy.

LBR-148. INVESTMENT FILE:

83-002

This series is maintained by the Director as a member of the State Investment Council. It provided current information on the status and progress of investments. Other information in is this series may include correspondence with other investment companies.

RETENTION: Retain 4 years in office, then destroy.

LBR-149. LEAVE REQUESTS:

83-002

This ring binder series contains originals of the standard forms used when employees request annual and sick leave. They contain: employee name, leave days requested, hours requested, purpose, type of leave, and supervisor's signature. Leave requests are used for payroll and audit purposes.

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

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LBR-150. LEGISLATION FILE:

83-002

This series is maintained for reference when drafting legislation concerning matters of interest to the Division of Retirement and Insurance. Items in this series may include: drafts of bills, amendments to bills, final bills, Legislative Status Reports, and bill progress reports.

RETENTION: Retain 5 years in office, then destroy.

LBR-151. MEMORANDUMS:

83-002

This series contains copies of all memorandums issued by the Director, and originals of all memorandums received. The series is used for reference and documentation concerning retirement and insurance matters.

RETENTION: Retain 2 years in office, then destroy.

LBR-152. OPINIONS, ATTORNEY GENERAL:

83-002

This series contains original opinions issued by the State Attorney General in response to questions posed by the Division of Retirement and Insurance. Information may include: date, subject matter, official opinion, and Attorney General's signature. Information is also available in the 'Attorney General Reports' which are published each year to summarize all official opinions issued by the office.

RETENTION: Retain 3 years in office, then transfer to RM storage for 5 years. Destroy after 8 years.

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LBR-153. PERFORMANCE APPRAISALS:

83-002

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

RETENTION: Retain 3 years in office, then destroy by shredding.

LBR-154. PERSONNEL FILES:

83-002

This series contains a folder for each employee in the Division of Retirement and Insurance. Information in the file 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, resume', service record, notice of resignation, W-4 forms, and supervisor's report of employee separation. The file serves as a history of the employee's service and provides payroll information. They are maintained for audit purposes.

RETENTION: Retain current employee files in office. Transfer terminated to RM storage for 2 years. Destroy 2 years after termination provided audited.

(Note: Consider maintaining on updatable microfilm jackets instead of paper. Records must be retained until 1 year after an independent post audit report has been received.)

STATE OF SOUTH DAKOTA
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LBR-155. PERSONNEL/PAYROLL PRINTOUTS:

83-002

This series consists of several bi-weekly computer printout reports concerning payroll and personnel. Reports may include, but are not limited to: Accumulated Earnings and Tax Report, Leave Accounting Balance Report, Payroll Authorization Report, Payroll Register, Time Distribution Reports, Payroll Distribution Register, Bond Deduction Listing Report, and Probationary Status Report. Information is used to check the accuracy of the payroll system, to insure proper expenditure of salary and benefit money, and to insure sufficient accurate data on hours worked and compensation received is being generated for retirement purposes.

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

(Note: Consider receiving data on computer output microfiche (COM) and maintaining fiche in office for the full 4 years prior to disposal. Record must be retained until 1 year after an independent post audit report has been received.)

LBR-156. POSITION HISTORY FILE:

83-002

This series contains a complete history of each position authorized for the Division of Retirement and Insurance. Information may include: position description questionnaires, classification, position number, position name, names of individuals who have held the position, salaries, dates of reclassification, and all related correspondence and documentation. Information is used for auditing positions, upgrading or downgrading positions, determining duties and responsibilities for individuals, and determining fair pay grades for individuals performing the work required for the respective positions.

RETENTION: Retain in office for 2 years after the position ceases to exist, then destroy.

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LBR-157. PUBLICATION ORDERS:

83-002

This series contains standard forms filled out by Division employees requesting certain special publications. Information includes: name of employee requesting information, publication name, and authorized signature.

RETENTION: Retain 1 year in office, then destroy.

LBR-158. PUBLICATIONS FILE:

83-002

This series contains information pertaining to the various publications that are available related to retirement and insurance matters. It is referred to in order to obtain: publication names, stock numbers, quantity pricing, and other vendor information.

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

LBR-159. PUBLIC RELATIONS FILE:

83-002

This series is maintained by the Director to keep records of all invitations received to speak before various groups around the state. Information includes: the invitation received, the typewritten script of the speech presented, and information about the group(s) that request his presence.

RETENTION: Retain invitation 1 month in office, then destroy.

Retain speeches 4 years in office, then destroy.

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LBR-160. REPORTS, RETIREMENT AND INSURANCE:

83-002

This series contains at least one copy of the various reports compiled, printed and issued by the Division of Retirement and Insurance. The copies are used for reference and for distribution purposes. Some of the reports included in this series are: Actuarial Studies Evaluations, copies of budgets, Uncredited Service Study Reports, Investment Compensation Report, Investment Council Annual Reports, insurance specifications, audit reports, health insurance reviews, health insurance recommendations, and the Report on State Pension Compensation.

RETENTION: Retain 3 years in office, then transfer to RM storage for 5 years. Destroy after 8 years

(Note: Deposit at least 14 copies of each publication with the State Library for record and depository system purposes pursuant to SDCL 14-1A-3. Subject to archival screening prior to disposal.)

LBR-161. RESEARCH FILE:

83-002

This research series has been compiled by the Division Director, and provides a variety of information on the retirement and insurance related matters. Information may include such items as: actuarial, annuities, beneficiaries, consultants, investments, and insurance. Files are arranged alphabetically by subject matter.

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

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LBR-162. RESIGNATIONS:

83-002

This series is currently maintained separately from "Personnel Files". It contains letters of resignation from individuals who were once employed in the Division. Information is used to update the "Position History File".

RETENTION: Retain 2 years in office, then destroy provided audited.

(Note: Consider combining with respective "Personnel Files" and discontinuing this series as it now exists. Records must be retained until 1 year after an independent post audit report has been received.)

LBR-163. RESUME', PROSPECTIVE EMPLOYEES:

83-002

This series contains original resumes' received by the Division Director from individuals seeking employment within the division. Information is kept on file for reference when filling future vacancies. The file serves as a resource pool of individuals who potentially have the specialized training needed for certain positions within the Division.

RETENTION: Retain 1 year in office, then destroy.

LBR-164. RETIREMENT REPORTS, OTHER STATES:

83-002

This series is maintained for research and comparison purposes. It is used to study how other programs are administered. Information may include such items as: annual reports, brochures, public relations information, and related correspondence. The series is arranged alphabetically by state.

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

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LBR-165. TIMESHEETS:

83-002

This ring binder series contains originals of completed timesheets as submitted by agency employees. They contain: social security number, pay period ending date, days worked, days off, hours worked, hours off, total hours for the period, and signatures of employee and supervisor. They initiate the payroll authorization process and are kept for audit purposes.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-166. TRAVEL REQUESTS, OUT-OF-STATE:

83-002

This series is maintained to keep copies of the standard travel request forms necessary to approve out-of-state travel, and for reimbursement payment authorization. Information includes: agency name, traveler name, destination, estimated costs, actual costs, dates of travel, and authorizing signatures.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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LBR-167. VOUCHERS, TRAVEL:

83-002

This series is maintained to keep pink copies of all travel vouchers submitted by employees of the Division. Information includes: payee, agency, social security number, whether advance or expense, date, voucher number, auto license number, home station, budgetary accounting coding, dates of travel, description of travel, times left and returned, auto miles, transportation costs, meals cost, lodging costs, out-of-state per diem, total, purpose of travel, amount reimbursable, and date approved. Original vouchers are submitted to State Auditor's Office to request reimbursement for funds expended by employees while traveling on state business.

RETENTION: Retain 1 year in office, then destroy provided audit copy is maintained by the Department fiscal officer.

(Note: Consider discontinuing this practice.)

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LBR-168. ADMINISTRATIVE RULES FILE:

83-002

This series is maintained to document the promulgation of Administrative Rules. Information may include: notification of hearings, correspondence related to the rules and their effects, proposed changes, drafts of rules, minutes of hearings, and approved rules.

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

LBR-169. APPEALS:

83-002

This series is maintained to document appeals to decisions made by the Board of Trustees concerning retirement and workman's compensation matters. Information may include: requests of appeal by members of the system, notice of appeals, attorney's briefs, and final decision. The original is filed in the Benefits/Record Center.

RETENTION: Retain 1 year in office after closed, then destroy.

LBR-170. DISABILITY REPORTS:

83-002

Reports in this series are copies of the originals which are filed in the "Contributor's File" in the Benefits Program Office. The Board of Trustees uses their copy in the case of an appeal by system members who have been denied disability benefits. Information may include: case number, occupation, type of injury, and final determination.

RETENTION: Retain 2 years in office, then destroy.

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LBR-171. ELECTION FILE:

83-002

This series is maintained to document the election of new members to the Board of Trustees. Information includes: rules governing the election, petitions to run for the board membership, notices, ballots, candidates' background information, and related correspondence.

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

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

LBR-172. INSURANCE FILE:

83-002

This series documents any decision that the Board of Trustees receives from the Director of Retirement and Insurance concerning insurance matters and decisions. Information includes: specifications, review of insurance programs, and studies of insurance companies.

RETENTION: Retain 2 years in office, then destroy.

LBR-173. INVESTMENT ANALYSIS FILE:

83-002

State law requires the Board of Trustees have investment of retirement funds analyzed at least once every four years. Documents in this file show the results of the analysis and a review of the Board's performance.

RETENTION: Retain 5 years in office, then destroy.

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LBR-174. LEGISLATION FILE:

83-002

This series contains a copy of bills to be submitted to the State Legislature, background material, bill drafts, and bill tracking information. All bills deal with matters that concern the functions or administration of the Board of Trustees.

RETENTION: Retain 5 years in office, then destroy.

LBR-175. MEMORANDUMS, POLICY SETTING:

83-002

This series may contain both copies of memorandums sent and originals of memorandums received. The file is used for reference and documentation concerning internal and statewide operations.

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

LBR-176. MINUTES, BOARDS' AND SUB-COMMITTEES':

83-002

This ring binder series contains the original and official minutes of the Board of Trustees and it's various sub-committees. Other information may include: agendas, plans, reports, studies, and various related exhibits.

RETENTION: Retain 3 years then microfilm and retain 12 years in office. Destroy after 15 years.

(Note: Film subject to archival screening prior to disposal.)

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LBR-177. MINUTES, DRAFTS:

83-002

This series contains the drafts of minutes prepared by the secretary and circulated to the Board members for their review prior to acceptance. Once the drafts are reviewed and any necessary changes are made, they are typed in the final form and filed in the "Minutes, Board and Sub-Committees" file.

RETENTION: Retain in office 2 months, then destroy provided final copy has been approved by the Board and filed.

LBR-178. POLICY FILE:

83-002

This series contains copies of the operating policy of the Board, and requests for interpretations or other information related to the policy. Information is used for reference, distribution, and preparing agendas for Board meetings.

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

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

LBR-179. STUDIES, CONSULTANT:

83-002

This series contains studies that have been presented to the Board by consultants they have hired to do research. Information may include: the proposal for study, study background, cost, and the final report.

RETENTION: Retain 3 years in office, then transfer to RM storage for 3 years. Destroy after 6 years.

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

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LBR-180. SUB-COMMITTEE FILES:

83-002

From time-to-time the Board Chairman will appoint special committees to study matters in detail. This file includes: assignments, background material, agendas, committee member's name, and findings from their studies and research.

RETENTION: Retain 3 years in office, then transfer to RM storage for 3 years. Destroy after 6 years.

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

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LBR-181. AMORTIZATION SCHEDULES PRINTOUT:

83-002

Information in this computer report includes: name, number of payments, amount of interest, amount of principle, total payments, balance due, and due date. The reports are generated to set up repayment schedules for purchases of back services. It would be used in the case of a non-participating governmental unit wanting to join the State Retirement System.

RETENTION: Retain current in office. Transfer paid-in-full to respective "Contributor's File".

LBR-182. ANNUITY WARRANT REGISTER PRINTOUT:

83-002

This computer report provides a listing of payouts to retired employees. Information includes: warrant number, fund coding, amount paid, date issued, payee name, and benefit type. It is generated monthly and by year end summary. Copies of this report are also filed with the Benefits Program, and the State Auditor.

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

(Note: Consider receiving data on computer output microfiche (COM) and maintaining fiche in office for the entire 4 years prior to disposal. Records must be retained until 1 year after an independent post audit report has been received.)

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LBR-183. BUDGETARY ACCOUNTING PRINTOUTS:

83-002

These daily, weekly, monthly, and year end computer printout reports are used to monitor and reconcile receipts and expenditures. They include: Daily Revenue and Journal Voucher Detail Report, Daily Transaction Register, Status Register, Activity Budget Status, Weekly Sub-Fund Report, Advance Travel-Accounts Receivable, Transaction Progress Report, Monthly Revenue and Journal Voucher Detail Report, Revenue Analysis Report, General Ledger Trial Balance, Sub-Fund General Ledger Trial Balance, Monthly Expenditure Report, Object/Sub-Object Summary, and Sub-Fund General Ledger Adjustment Report. They are kept for audit purposes.

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

(Note: Consider receiving data on computer output microfiche (COM) and maintaining film in office for the entire 4 years prior to disposal. Records must be retained until 1 year after an independent post audit report has been received.)

LBR-184. BUDGET FILE:

83-002

This series may contain: budget requests, operating budgets, and related working papers. The information is used for reference throughout the year in monitoring program activities, and when preparing budget requests. It is kept for documentation, reference and audit purposes.

RETENTION: Retain 5 years in office, then transfer to RM storage for 5 years. Destroy after 10 years provided audited.

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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LBR-185. CASH RECEIPT TRANSMITTALS:

83-002

Forms in this series document payments received and deposited with the State Treasury. They include the following information: agency name and code, agency receipt number, date, fund, sub-fund, revenue source, description, and amount. The original two copies are forwarded to the State Treasurer along with the receipts for deposit. A copy is kept for reference and audit.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-186. CONTRACTS FILE:

83-002

This series is maintained to provide an opportunity for the fiscal officer to review the terms and conditions of all contracts negotiated within the Division. The series is also used to identify the need for contract carryovers at the end of the fiscal year.

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

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LBR-187. CONTRIBUTION PRINTOUT:

83-002

This computer report is used to verify proper encoding and to inform on a annual and quarterly basis what the exact amount of contributions are. Information includes: employee name, social security number, contribution payments by year, contribution payments by month, and total. Contribution information prior to 1974 can be obtained from ledger cards which have been microfilmed.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider microfilming existing accumulation of reports for more efficient and economical maintenance. Consider receiving future data on computer output microfiche (COM) instead of paper.)

LBR-188. CORRESPONDENCE:

83-002

This series may contain both copies of letters and memorandums sent, and the originals of letters and memorandums received. The file is used for documentation and occasional reference.

RETENTION: Retain 2 years in office, then destroy.

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LBR-189. DEFICIENCY REPORT PRINTOUT:

83-002

This computer report provides the member's name, total deficiency payments to date, and monthly payment amounts. The report is generated monthly for documentation of payments received, and for accounting and audit purposes.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider microfilming existing accumulation for more efficient storage. Consider receiving future reports on computer output microfiche (COM) instead of paper.)

LBR-190. FINANCIAL STATEMENTS:

83-002

Documents in this series provide an overview of the agency's financial position for a given fiscal year. They may include: balance statement of revenues; statement of revenues; expenditures and charges in fund balances; statement of assets and fund cash balances; statement of general fixed assets; summary of significant accounting procedures; and supplemental information on working papers. Information is maintained for reference, documentation and audit purposes.

RETENTION: Retain 4 years in office, then microfilm and retain film 96 years in office. Destroy after 100 years.

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LBR-191. INTEREST REFUNDS PRINTOUT:

83-002

This yearly computer report contains: social security number, name, and amount refunded. It is used to record contribution refunds, and accumulated interest for all former employees who have drawn their retirement out of the state account. Information is used to report to the Internal Revenue Service.

RETENTION: Retain 4 years in office, then microfilm and retain film 96 years in office. Destroy after 100 years.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper and maintaining fiche in office the entire 100 years prior to disposal.)

LBR-192. INTERNAL REVENUE SERVICE FILE:

83-002

This series is maintained to keep track of documents related to pension handling. It includes the reports prepared for the Internal Revenue Service, and any related working papers. The original report is sent to the Internal Revenue Service, and a copy is also filed in the "Investment File" located in the Director's Office.

RETENTION: Retain 4 years in office, then microfilm and retain film for 96 years in office. Destroy after 100 years.

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LBR-193. INVENTORY, CAPITAL ASSETS FILE:

83-002

This file may include copy of the 'Central Annual Inventory' printouts, file inventory procedures manual, and surplus property received and transferred forms. The series is maintained for property management and accountability purposes.

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

Retain current procedures manual in office. Destroy superseded or obsolete.

(Note: Consider receiving 'Central Annual Inventory' on computer output microfiche (COM) and maintaining fiche in office for the full 4 years prior to disposal. Records must be retained until 1 year after an independent post audit report has been received.)

LBR-194. LEGISLATION FILES:

83-002

This series is maintained to keep copies of: proposed bills, bill drafts, final drafts, background and research information used to develop bills, and bill status information. Files are used during the legislative session to monitor bill status and to assist in bill passage.

RETENTION: Retain 1 year in office, then destroy.

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LBR-195. MASTER FILE RECONCILIATION:

83-002

This series contains a weekly computer report called "Weekly Control" printout which contains such information as: account number, service type, services purchased, fund re-deposits, contributions, and refunds to former employees. Information on this report is encoded from worksheets also filed here called, "Daily Audit Control Terminal" forms. The printouts and worksheets are used to verify accuracy of encoded information to the master retirement contribution system.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-196. MEMORANDUMS:

83-002

This ring binder series contains copies of memorandums sent, and originals of memorandums received. A sample of the type of memos in this file may include, but is not limited to: staff memos, agent memos, Department of Labor memos, and other state department memos. Memos in this binder series are used for occasional reference and documentation of office policy.

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

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LBR-197. PERFORMANCE COMPARISON LOG:

83-002

This series is maintained to document production rate and accuracy level of encoders. Information may include: name, list of reports that balance, list of reports that do not balance, and weekly summary. Information is used for encoder retraining and performance evaluations.

RETENTION: Retain 1 year in office after final review, then destroy.

LBR-198. POSTAGE DUE BILLS:

83-002

This series contains daily slips received from the United States Postal Services reporting date, and amount deducted. Information is used to determine balance of credit available for postage.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Retirement System
PROGRAM: Accounting
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-199. PURCHASE SERVICE PRINTOUT:

83-002

This computer report contains: names of new member, social security number, amount of purchase cost, amount paid-to-date, and balance due. Information is used to document the payment of back services purchased by new members to the system.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider receiving future reports on computer output microfiche (COM) instead of paper.)

LBR-200. PURGED MEMBERSHIP RECORDS:

96-008

This series is arranged numerically by terminal digit order (TDO) number and contains past employees whose retirement contributions have been refunded and are no longer receiving benefits from the system and have been removed from the South Dakota Retirement System. Information includes: members life history with the system.

RETENTION: Retain 50 years in office on microfilm, then destroy.

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

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RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-201. RECONCILIATION, MONTHLY REPORTS:

83-002

This ring binder series is maintained by fund number. It includes the beginning balance, monthly activity, and ending balance. It serves as a way to check the accuracy of the "Budgetary Accounting Reports" and actual expenditure and receipt documents within the Division.

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

(Note: Consider discontinuing this practice. Records must be retained until 1 year after an independent post audit report has been received.)

LBR-202. REFUND PROOF LISTING PRINTOUT:

83-002

This weekly computer report is arranged numerically by social security number, and includes other information such as: member name, funding code, total contribution, total interest, and total amount to be refunded. The report provides a master copy of all refund transactions.

RETENTION: Retain in office on microfilm for 100 years, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

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LBR-203. REFUNDS PRINTOUT MANDATORY:

83-002

Information in this computer report includes: social security number, name, agency number, termination date, refund date, total contributions, and amount refunded. The report is used to provide a list of all non-vested former employees who must be refunded their retirement contributions plus interest. The report not only identifies the individuals and amounts to be refunded, but also is used as proof that payments were actually made.

RETENTION: Retain in office on microfilm for 100 years, then destroy.

(Note: Consider receiving on computer output microfiche (COM) instead of paper.)

LBR-204. RETIREMENT CONTRIBUTION REPORT LOGBOOK:

83-002

This book series is used to record the receipt of retirement contribution payments from South Dakota municipalities. Information includes: date received, name of political sub-division, an itemized listing of names and respective contribution amounts, and grand total. This information is also available on the "Monthly Retirement Contribution Report" printout.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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(Std Form RM-1 Rev 1/03)

DEPARTMENT: Labor
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OFFICE: So. Dak. Retirement System
PROGRAM: Accounting
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-205A. SRP VOUCHERS:

96-008

This series is arranged chronologically by fiscal year and contains the Supplemental Retirement Program (SRP) vouchers. Information includes the daily transactions through SRP. The information is maintained for administrative purposes.

RETENTION: Retain 2 years in office, then microfilm. Maintain film for 8 years in office. Destroy after 10 years.

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

LBR-205B. 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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DEPARTMENT: Labor
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OFFICE: So. Dak. Retirement System
PROGRAM: Accounting
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-205. VOUCHERS:

83-002

This series may contain: travel, non-cash, direct, receiving, and journal vouchers. Each voucher includes: the reason for which money was expended, the amount, the fund expended from, date, who the funds went to or what account they were transferred to, and the authorized signatures. They are used to reconcile with the "Budgetary Accounting Reports", for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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AUTHORIZATION FORM
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DEPARTMENT: Labor
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OFFICE: So. Dak. Retirement System
PROGRAM: Data Processing
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-206. BALANCE TOTALS PRINTOUT, DAILY:

83-002

This series consists of a computer report arranged chronologically by day and alphabetically by employee name. It lists the type of transaction and the total dollar amount for each period. The data encoders use this report to compare information on it with the actual input documents. It allows them the opportunity to discover errors and make any needed corrections.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-207. COMPUTER CARD PROGRAM FILE:

83-002

This series consists of the original key punch cards filed alphabetically by program name. The cards exist for all special programs developed for use within the Division.

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

LBR-208. CORRESPONDENCE:

83-002

This series may contain both copies of letters and memorandums sent, and the originals of letters and memorandums received. It is used for documentation and occasional reference.

RETENTION: Retain 2 years in office, then destroy.

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OFFICE: So. Dak. Retirement System
PROGRAM: Data Processing
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-209. JOB CONTROL LANGUAGE LISTING:

83-002

This series contains the first page(s) of output for the programs run by the Division. Information on the reports includes: input file names, output file names, filed of information to be used, and a listing of errors (if any). Information is used to track errors and document dates of corrections.

RETENTION: Retain 6 months in office, then destroy.

LBR-210. MANUALS:

83-002

This ring binder series contains manuals such as: J.C.L., Mark IV System, and Cobol debugging. Information is used for designing new programs, or working with existing programs.

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

LBR-211. PROGRAM LIBRARY PRINTOUT:

83-002

This computer report lists the type of programs that are used, and the form of output. Information includes the actual program language, and a listing of the commands. The file is used for possible inquiries concerning program formatting changes.

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

(Note: Consider maintaining on computer output microfiche (COM) instead of paper.)

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OFFICE: So. Dak. Retirement System
PROGRAM: Data Processing
RECORDS OFFICER: 0031
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LBR-212. RETIREMENT CONTRIBUTION REPORTS, (EMPLOYER UNIT): **96-008**

This monthly computer printout series is generated to be used for updating by encoding information into the State retirement contribution system. Information includes: social security number, name, employee type, earnings, and contributions

RETENTION: Retain in office on microfilm for 100 years, then destroy.

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

LBR-213. SALARY AND TERMINATION SURVEYS: **83-002**

This annual computer report provides a breakdown by political subdivision of salary increases and local government employee terminations. Information includes: work force group, system number, date of birth, age, average salary, and percent of increase. The report is used by programmers to verify contribution deductions go up commensurate with salary increases and that contributions cease for those who have terminated their employment. Information on the report is compared with the "Retirement Contribution Reports, (Employer Units)" to determine accuracy.

RETENTION: Retain 1 year in office, then destroy.

LBR-214. SET-UP INFO., RETIREMENT CONTRIBUTION SYSTEM: **83-002**

The information in this series was used to set up and document the development and testing of the State retirement contribution system. It was used during the period of 1974-75, at which time the system was being developed and implemented. It has no further value to the Division.

RETENTION: Immediate disposal.

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LBR-215. SYSTEM DOCUMENTATION BOOKS:

83-002

This ring binder series is arranged numerically by job stream number. Information includes: job title, type of report, run instructions, and description of the purpose of output. The information in this series documents the systems created for the Division of Retirement and Insurance.

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

(Note: Consider microfilming for backup and security purposes.)

LBR-216. TAPE LISTING:

83-002

This weekly computer report provides a listing of all computer tapes that Central Data Processing maintains. The report is used to determine what tapes the Division has archived. Information includes: tape number, tape name, creation date, and destruction date.

RETENTION: Retain 1 week in office, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

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DEPARTMENT: Labor
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OFFICE: So. Dak. Retirement System
PROGRAM: Investments
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-217. CASH RECEIPT TRANSMITTAL (INVESTMENT VOUCHERS):

96-008

The standard forms in this file document payments received and deposited with the State Treasury. Information includes: agency name, agency 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 2 years in office, then microfilm. Maintain film for 18 years in office. Destroy after 20 years.

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

LBR-218. INVESTMENT REPORT, YEAR END:

83-002

This report is compiled each year to summarize all of the investments made during that year, and investment performances. Information may include yearly summaries of: sales, purchases, reconciliations, and deposits. The reports provide information for the Investment Council, they are used in audits, and they provide a source of information that can be referenced by interested parties.

RETENTION: Retain 4 years in office, then microfilm and retain film 96 years in office. Destroy after 100 years.

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RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-218A. INVESTMENT PORTFOLIOS/(NAME OF PORTFOLIO):

96-008

This series is arranged chronologically by fiscal year and contains investment transactions which occurred during the fiscal year. Information includes: transactions made throughout the year and reconciliations. The information is maintained for administrative reference to type of investments made in the previous year.

RETENTION: Retain 2 years in office, then microfilm. Maintain film for 18 years in office. Destroy after 20 years.

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

LBR-219. MINUTES, INVESTMENT COUNCIL:

83-002

This ring binder series contains a copy of the minutes taken at Investment Council Meetings. The minutes in this series are used by the Investment Analyst for reference concerning Council actions. The original minutes are filed in the Sioux Falls Investments Council Office.

RETENTION: Retain 10 years in office, then destroy.

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LBR-220. SECURITY TRANSACTION FILE:

83-002

This series is maintained alphabetically by security name and is used to keep track of purchases and sales of securities. It provides documentation of all transactions. Information may include: trade slip, broker's information, and banker's statements. Files are also used for audit purposes.

RETENTION: Retain 4 years in office, then microfilm and retain film 96 years in office. Destroy after 100 years.

LBR-221. TRANSACTION JOURNAL BOOKS:

83-002

This ring binder series is divided into 'in-house' portfolio and 'private firm' portfolio. Information is used to provide a record of transactions, to reconcile accounts, and for audits. Journal information includes: cash ledger report, purchase and sales report, and bank statement of holdings.

RETENTION: Retain 4 years in office, then microfilm and retain film 96 years in office. Destroy after 100 years.

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

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LBR-222. TRANSACTION LOG, DAILY:

83-002

This ring binder series is used to keep a daily log of all information encoded into the 'securities transaction system'. It contains the same information that is on the computer such as: par value, assets symbol, asset type, transaction type, trade date, cost or proceeds, and commissions.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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PROGRAM: Administration
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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LBR-223. CASH RECEIPT TRANSMITTALS:

83-002

These standard forms document payments received and deposited with the State Treasury. They include information such as: 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 the receipts deposited. A copy is kept for reference and audit.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-224. CONCILIATION WORKSHEETS:

83-002

This series is maintained to provide documentation of premium payments received. Information includes: sub-division names, amounts paid for various types of insurance, and total amounts.

RETENTION: Retain 1 year in office, then destroy.

LBR-225. CORRESPONDENCE:

83-002

This series may contain both copies of letters and memorandums sent, and the originals of letters and memorandums received. The file is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

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LBR-226. INSURANCE CODE CHANGES PRINTOUT:

83-002

This bi-weekly computer report is generated to provide a listing of changes in life insurance coverage. It is also used to verify that the change was made. Information includes: agency code, insured's name, social security number, and change(s) made.

RETENTION: Retain 1 year in office, then destroy.

LBR-227. INSURANCE LISTING, HEALTH AND LIFE REPORT:

83-002

This bi-weekly computer report is arranged numerically by agency. It is used to reconcile amounts owed with amounts paid. Information includes: employee name, social security number, payment type, sex, marital status, hire date, termination date, and amount of deduction. The series may also include the "Edit Error Listing" printout which singles out and lists all discrepancies between the amount owed and the amount actually received.

RETENTION: Retain 10 years in office on microfilm, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

LBR-228. INSURANCE MAINTENANCE FILE:

83-002

This series is maintained to keep worksheets and other input documents used to make changes and corrections on the "Insurance Listing, Health and Life" printout. A copy of the Central Data Processing job request ticket may also be found in this series.

RETENTION: Retain 1 year in office, then destroy.

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Retain job request tickets 1 day in office, then destroy.

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LBR-229. PAYROLL DISTRIBUTION REGISTER:

83-002

This bi-weekly computer report is generated by agency number. It contains such information as: name, social security number, hours, regular pay, gross pay, O.A.S.I. deductions, State retirement deductions, other retirement deductions, maintenance deductions, health insurance deductions, unemployment compensation deduction, workman's compensation deduction, and total deductions. Insurance deductions on this report are checked against the figures on the "Insurance Listing, Health and Life" printout.

RETENTION: Retain 2 months in office, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

LBR-230. POLITICAL SUB-DIVISION BILLING REPORT:

83-002

This monthly computer report is used to bill the various subdivisions for insurance services provided by the State. Entries on this report are checked upon receipt of payment from various local government entities.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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LBR-231. PREMIUM STATEMENTS:

83-002

Information in this folder series includes: report number, insurance type, bill in coverage, and the premium due for each period. The statements are sent out by the insurance company detailing the various insurance coverages and the amounts due on each period.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-232. RECEIPTS:

83-002

This series may contain both folders and books. Information includes: date of payment, payee name, amount, type of insurance paid for, and total receipts. The receipts are maintained to keep an acknowledgement and document the receipt of money for reconciliation and audit purposes.

RETENTION: Retain 4 years in office, then microfilm and retain film 96 years in office. Destroy after 100 years.

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LBR-233. TERMINATED GROUP LISTING REPORT:

83-002

This bi-weekly computer report is used to provide a listing of terminated employees that need to be informed that they can convert to a private insurance plan separate from the State system. Information includes: name, social security number, date of birth, address, coverage paid to date, and amount and types of coverage. Terminated employee names from this report are also provided to the insurance company as proof of eligibility to participate in a private plan for former government employees.

RETENTION: Retain 1 year in office, then destroy.

LBR-234. VOUCHER LOGS:

83-002

This series is maintained to provide information concerning which vouchers have been paid, and which vouchers are still outstanding. Information includes: voucher number, amount, payee, and date.

RETENTION: Retain full log 2 years in office, then transfer to RM storage for 2 years. Destroy after 4 years provided audited.

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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

DEPARTMENT: Labor
 DIVISION: Retirement and Insurance
 OFFICE: S.D. Public Employees Insur.
 PROGRAM: Administration
 RECORDS OFFICER: 0031
 RM CUSTOMER #: Lisa Vander Maten

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

LBR-235. VOUCHERS:

83-002

This series may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Each voucher includes: the reason for which money was expended, the amount, the fund expended from, date, who the funds went to or what account they were transferred to, and the authorized signatures. They are used to reconcile with the "Budgetary Accounting Reports", for reference to determine quantities and descriptions of supplies and services ordered, for vendors' information, and for audit purposes.

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

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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

LBR-236. ANNUITY BALANCE SHEET:

83-002

This ring binder series is used to balance each annuity fund on a monthly basis. It includes: name, social security number, code, monthly amount, previous amount, and total charges.

RETENTION: Retain 1 year in office, then destroy.

LBR-237. ANNUITY, END OF YEAR LISTING:

83-002

This yearly computer report recaps the monthly reports which provide a listing of all retirement benefits paid to date. Information includes: member name, social security number, membership number, total contributions paid by the member, total monthly amounts of benefits received by the member, year-to-date amounts received by the member, and life-to-date amounts received by the member. Information from this report is also used to provide the Internal Revenue Service with tax information.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

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

LBR-238. ANNUITY IMPROVEMENT PRINTOUT:

83-002

This annual computer report is generated to provide a listing of increases in retirement benefits paid to each member. Information includes: social security number, member name, start date of benefits, old base pay, new pay for new fiscal year, and amount of interest.

RETENTION: Retain 4 years in office, then destroy.

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

LBR-239. ANNUITY WARRANT REGISTER:

83-002

This monthly computer report is arranged numerically by warrant number. Information includes: warrant number, fund coding, gross amount, deductions, net pay, date paid, social security number, and payee name. It is used to have a record of all retirement benefits paid to members.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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LBR-240. BANKER'S LIFE INSURANCE FILE:

83-002

This ring binder series contains such information as: member's name, certificate number, and summary of account with Bankers Life Insurance Company. This series is maintained to document the actions of one political sub-division prior to joining the State system. Information in this series is used to determine the contributions paid by each member in the old system which have been credited to the State system.

RETENTION: Retain in office 1 year, then destroy.

LBR-241. CONTRIBUTION LISTING REPORT:

83-002

This annual computer printout is arranged numerically by social security number. Information includes: social security number, name, contributions paid by the member's life-to-date, contributions paid by member by quarter, and grand totals of service credited to each member. The information on the reports is used to answer members' requests concerning amounts paid into the fund, and to reconstruct a lost or misplaced file.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

LBR-242. DISABILITY ADVISORY COMMITTEE ACTION LOG:

83-002

This ring binder series is maintained to provide a quick reference of all actions of the Disability Advisory Committee. Information may include, but is not limited to: date, member name, social security number, and action taken by the Committee.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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LBR-243. DISABILITY APPLICATION CHECKLIST:

83-002

This ring binder series is maintained to insure all steps of the disability review are properly and completely taken. The list is also used as a quick reference to determine which applications still need review, and which applications have been completed. Information includes: name, social security number, political sub-division, steps necessary to be completed, and status of application.

RETENTION: Retain current in office. Destroy when action completed.

LBR-244. DISABILITY INVESTIGATION LOG:

83-002

This series is used to record the request for, and receipt of medical information regarding investigations for disability applications. Information may include: name, social security number, address, date information was requested, and date information was received.

RETENTION: Retain current in office. Destroy when action completed.

LBR-245. ERROR LISTING REPORT:

83-002

This quarterly computer report lists encoding errors made on the master retirement contribution system. Fields of information include: social security number, member name, agency number, and computer fields requiring correction.

RETENTION: Retain 1 year in office, then destroy.

(Note: Consider receiving on computer output microfiche (COM) instead of paper.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-246. RECONCILIATION WORKSHEET:

83-002

This series is maintained to document monthly reconciliations of the "Retirement Warrant Register" printout with the "Paid Warrant Listing" printout. Information includes: month, name, social security number, system totals, and any discrepancies.

RETENTION: Retain 1 year in office, then destroy.

LBR-247. ZERO LISTING PRINTOUT:

83-002

This monthly computer report is generated to list all annuity codes which are greater than four. This code indicates a change in annuity payments will occur in the near future. Information includes social security number, and name.

RETENTION: Retain 1 year in office, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits/Record Center
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-248. ACTUARIALS, TEACHERS AND MUNICIPAL WORKERS:

83-002

This book series dates pre-1974. Information was used for determining retirement benefits for members who had retired on a private retirement plan which later years had been converted to the State system. Information includes: membership number, retirement number, name, social security number, date of birth, service credit, final salary, options selected, and actuarial report. This was a one time series that was compiled during the conversion in 1974.

RETENTION: Retain 100 years in office, then destroy.

(Note: Consider microfilming existing paper files and retaining film 100 years in office, then destroy.)

LBR-249. CONTRIBUTION LISTING PRINTOUT:

83-002

This computer report series is generated bi-weekly to provide such information as: name, social security number, types of contributions, amounts of contributions, and the total contributions for the period. Information is used to determine employee salary, and the amount each has contributed to the system. Reports are used for figuring retirement benefits.

RETENTION: Retain 100 years in office on microfilm, then destroy.

(Note: Consider receiving on computer output microfiche (COM) instead of paper.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits/Record Center
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-250. CONTRIBUTOR'S FILE:

83-002

This series is arranged numerically by the last two numbers of the social security numbers of the participating members. Information includes: member application, correspondence, verification of salary, number of years of service, contribution postings, estimates for retirement, annuity benefits, disability applications, medical records, medical reviews, medical review decisions, birth certificates, marriage certificates, death certificates, and related insurance records. Files are used to document and administer the various membership programs within the Division of Retirement and Insurance including: retirement, health insurance, life insurance, and workman's compensation.

RETENTION: Retain in office for 100 years after account closes, then destroy.

(Note: Consider converting active paper files either to updatable microfilm jackets or a computer assisted retrieval of roll film system for increased handling efficiency and improved space utilization.)

LBR-251. CORRESPONDENCE:

83-002

This series may contain both copies of letters and memorandums sent, and originals of letters and memorandums received concerning benefit matters. Files are used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits/Record Center
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-252. DISABILITY INTERVIEW REEVALUATION LOG:

83-002

Information in this ring binder series is arranged chronologically by month and includes: name, address, date of interviews, medical history, and final recommendation. Since all individuals receiving disability payments must be reevaluated at least once each year, this log serves as a 'tickler' file used to determine reevaluation dates. All information is available in the "Contributor's File".

RETENTION: Retain active in office. Destroy inactive.

LBR-253. PAYROLL DOLLAR AND PERSONAL UPDATES:

83-002

This computer report is generated bi-weekly and provides: employee name, agency coding, social security number, and data as changed or added to the retirement files. Any changes or modifications that occur on the State Auditor's 'Central Payroll' report are detected and show up on this printout. The changed information is used to keep the master retirement contribution system up-to-date.

RETENTION: Retain 1 year in office, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Benefits/Record Center
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

RECORD		R.D.B.
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LBR-254. POLITICAL SUB-DIVISION FILES:

83-002

This series is arranged alphabetically by cities, schools, counties, colleges, and boards. It is maintained to document the conversions of private retirement systems to the State system. Information includes: contact log, actuarial studies, and correspondence issued and received. Files also are used to document the notification of new laws, rules, and regulations which may affect the sub-divisions.

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

LBR-255. TRANSCRIPTS, APPEALS:

83-002

This series may contain the original verbatim transcripts of appeals hearings that concern disability cases as heard and decided by the Board of Trustees. Information may include: claimant name, date, the actual transcript of the hearings, certification of the transcript, and final decision. Copies of this information may also be found in the Board of Trustees' Office.

RETENTION: Retain active in office. Microfilm and retain 'closed' for 100 years, then destroy.

(Note: Consider filing 'closed' with respective "Contributor's File" and maintaining on microfilm for 100 years after account closes, then destroy.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Internal Audits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-256. AUDIT REPORTS, INTERNAL:

83-002

This series contains Division of Retirement and Insurance internal audit reports concerning the expenditure, receipt, and administration of funds. Computer reports documenting expenditures and receipts also may be filed in this series. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented.

RETENTION: Retain 2 years in office, then destroy provided audited.

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

LBR-257. AUDIT RUNS REPORT:

83-002

This monthly computer report is used by the internal auditors to check statistics related to the members in the system. Information is arranged chronologically by type of run, and includes: name, social security number, contributions, interest accrued, and current status. Information for these runs is pulled from the master retirement contribution system database.

RETENTION: Retain 2 years in office, then destroy provided audited.

(Note: Records must be retained until 1 year after an independent post audit report has been received.)

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

DEPARTMENT: Labor
DIVISION: Retirement and Insurance
OFFICE: So. Dak. Compensation Plan
PROGRAM: Internal Audits
RECORDS OFFICER: 0031
RM CUSTOMER #: Lisa Vander Maten

<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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LBR-258. CONTRIBUTOR CARD FILE:

83-002

This 3" X 5" card series is maintained to provide information such as: name of contributor, social security number, any name change, if living or deceased, and whether member is currently receiving benefits. The series is arranged numerically by social security number and alphabetically by name. It provides a quick reference and also an index to the "Contributor's File" which is arranged numerically by social security number.

RETENTION: Retain 100 years in office after membership terminates, then destroy.

(Note: Consider replacing card system with electronic data processing.)

LBR-259. CORRESPONDENCE:

83-002

This series may contain both copies of letters and memorandums sent, and originals of letters and memorandums received. It is used for occasional reference and documentation.

RETENTION: Retain 3 years in office, then destroy.

LBR-260. MINUTES, BOARD OF TRUSTEES:

83-002

This series is maintained to keep a copy of prepared minutes of the Board of Trustees. The internal auditor uses this information to review the Board actions concerning fiscal matters. Original minutes are filed in the Board of Trustees' Office within the Division.

RETENTION: Retain 3 years in office, then destroy.