



STATE AUDITOR

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: January 25, 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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(Std Form RM-1 Rev 1/03)**

DEPARTMENT: State Auditor
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OFFICE: Administration
PROGRAM: Admin. Auditor/Deputy
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-1. ADMINISTRATIVE REFERENCE FILES:

90-001

This series is arranged alphabetically and contains information used for convenience of reference in the daily administration of the State Auditor's office. Information may include but is not limited to: working papers, state job listings, reference books, technical journals, operations guides from other states, research materials, and studies; and convenience copies of minutes, correspondence, audit reports, contracts, agreements, budgets, and state purchasing and printing information. This file is used as a central depository for reference materials used to answer questions concerning each topic and for decision making purposes.

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 Destroy superseded or obsolete.

(Note: Cull files at least once each year to avoid a build-up of superseded or obsolete material.)

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AUD-2. ADMINISTRATIVE RULES PROMULGATION FILES:

90-001

This series contains notices of public hearings, affidavits of publication of notices, written comments from the public, and transcripts of hearings. These are also filed with the Code Counsel and Secretary of State. Files have little reference activity once the 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 provides 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 the adoption of rules appearing in the 1974 printed ARSD. Consider maintaining on microfilm instead of paper and destroying paper once microfilm has been inspected and verified to meet quality standards.)

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AUD-3. ANNUAL REPORTS TO THE GOVERNOR:

90-001

This series is generated annually pursuant to SDCL 1-9-1 which requires the State Auditor to make an annual report to the Governor fully disclosing the records of the State Auditor. Information includes: balance of each fund at the end of the preceding fiscal year; all receipts, transfers, and expenditures; warrants redeemed and outstanding; and the balance in each fund at the close of the fiscal year reported. Copies are available for distribution to the Legislature upon request.

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

(NOTE: File copies of the publication with the State Library pursuant to SDCL 14-1A-3 and Administrative Rule 24:30:07:06; and one copy with State Archives.)

AUD-4. ATTORNEY GENERAL OPINIONS:

90-001

This series contains official opinions handed down by the State Attorney General concerning questions pertaining to the agency. The opinions are used for occasional reference and as support for administrative decisions made and actions taken.

RETENTION: Retain 3 years in office, then destroy.

(NOTE: All Attorney General's Official Opinions are printed in the Biennial Report of the Attorney General.)

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AUD-5. AUDIT REPORTS (STATE FUNDS):

90-001

This series is arranged chronologically and contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of the state's funds. Information includes: cover letter; statement of assets, revenues and expenditures; changes of fund cash balances; observations; and recommendations. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented. The auditing agency also maintains a copy of the report.

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

(NOTE: Legislative Audit maintains reports permanently in office on microfilm.)

AUD-6. AUDIT REPORTS, COUNTIES:

90-001

This series is arranged chronologically and contains copies of audit reports submitted by counties that receive US Forestry Department funds in accordance with PL 94-588. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented, and maintained to document that audits have been filed to comply with federal statutes.

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

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AUD-7. BUDGET FILES, APPROVED ANNUAL OPERATING BUDGET:

90-001

This series is arranged chronologically and contains the yearly budget summaries for the office. Information may include: mission statement, revenues, program performance indicators, amounts budgeted by sub-object, and narrative justifications. The information is used throughout the year in monitoring program activities and for preparing future budget requests. The budget (Appropriations Bill) approved by the Legislature and signed by the Governor becomes law and is filed permanently with the Secretary of State.

RETENTION: Retain 3 years in office, then destroy.

AUD-8. BUDGET REQUESTS:

90-001

This series is arranged chronologically and contains the budget requests from the various programs throughout the department. Information includes: department hierarchy, dollar amount requested, justifications for increased request amounts, performance indicators, mission statements, goals and objectives, and revenue projections. The information is used to formulate the newest budget request for the program and for reference to determine budget amounts from previous years.

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

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AUD-9. CASH RECEIPT JOURNALS:

90-001

This monthly journal series is arranged alphabetically by program and numerically by receipt number, and is used to record checks deposited in the State Treasury. Information in the journal includes: received from, receipt number, amount, and coding for fund posting. It is used for reference to monitor total revenues and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-10. CASH RECEIPT TRANSMITTALS:

90-001

This series is arranged chronologically and contains the standard forms used to deposit funds in the State Treasury. Information includes: date, agency name, agency number, accounting codes, memorandums, amounts, total deposits, and authorized signatures. The information is maintained to document and credit each account with the amounts deposited. The State Treasurer's office maintains the originals.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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AUD-11. CHART OF ACCOUNTS:

90-001

This series is generated yearly by the Bureau of Finance and Management and lists all sub-object codes. Information includes: section, sub-section, coding structure, code number, account name, and description of the use. The information is used for reference when coding vouchers, requisitions, and payroll/personnel forms.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-12. CORRESPONDENCE, GENERAL:

90-001

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

RETENTION: Retain 2 years in office, then destroy.

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AUD-13. CORRESPONDENCE, STATE AUDITOR:

90-001

This series is arranged chronologically and contains both copies of letters and memorandums sent and the originals of letters and memorandums received by the State Auditor. The information is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Subject to screening by the State Archivist prior to disposal.)

AUD-14. DEATH CERTIFICATES:

90-001

This series contains copies of state employee death certificates used to authorize payment of wages and benefits to survivors. Information includes: file number, name, date of death, cause of death, date of birth, race, age, county of death, city or location, hospital or institution, marital status, social security number, occupation, attending physician signature or coroner signature, parents' names, whether veteran, autopsy, burial or cremation, where buried, Register of Deeds signature, date, and signature of funeral director.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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AUD-15. DEPRECIATION FILES:

90-001

This annual cumulative report contains depreciation information on equipment owned by the division. Information includes: equipment name, purchase price, life expectancy, annual depreciation, and balance. The information is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-16. FINANCIAL STATEMENTS (STATE AUDITOR'S OFFICE):

90-001

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

RETENTION: Retain 1 year in office, the transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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AUD-17. GRIEVANCE FILES:

90-001

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

RETENTION: Retain current in office. Transfer closed to RM storage for 2 years. Destroy 2 years after closed provided no litigation is pending.

AUD-18. INVENTORY, CAPITAL ASSETS:

90-001

This series is arranged chronologically and contains information regarding the agency's assets. Information may include: a copy of the Central Annual Inventory printout, file maintenance forms which reflect changes in the inventory, inventory procedural manuals, and surplus property received and transferred forms. The information is maintained for property management and accountability purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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

(NOTE: Consider receiving Central Annual Inventory on computer output microfiche (COM) instead of paper and maintaining fiche in office the entire 4 years prior to disposal.)

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AUD-19. JOB ANNOUNCEMENTS:

90-001

This series is arranged chronologically by date of announcement and contains standard Bureau of Personnel job announcements. Information includes: job title, salary range, list of job duties, listing of experience, listing of education, and comments. The information is used to inform agency personnel of job openings throughout the state.

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

AUD-20. LEGISLATION FILES:

90-001

This series is arranged chronologically and constitutes the agency's central file of all proposed legislation and legislation from previous years. Information includes: resource materials, bill tracking printouts, copies of House and Senate bills, preliminary bill drafts, and the final drafts of proposed legislation. The information is used for bill drafting, submission, and tracking during the legislative session.

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

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AUD-21. MINUTES, STATE BOARD OF EQUALIZATION:

90-001

This series is arranged chronologically and contains official minutes of the State Board of Equalization filed in the State Auditor's office pursuant to SDCL 10-11-46. Information includes: organization name, dates of meetings, members in attendance, topics discussed, actions taken, and authorized signatures. The information is required to be maintained by the State Auditor for public inspection at all times. The Department of Revenue maintains these minutes permanently.

RETENTION: Retain permanently in office.

(NOTE: File one copy with the State Archivist. Consider microfilming for vital records protection.)

AUD-22. POLICIES AND PROCEDURES FILES:

90-001

This series is arranged alphabetically by procedural name and contains policy and procedure manuals. Information may include but is not limited to: Bureau of Personnel policies, Bureau of Finance and Management policies, communication policies, office policies and procedures, new employee orientation policies, and other miscellaneous policies and procedures. The information is used to insure compliance with current policies and procedures governing the administration and operation of the department.

RETENTION: Retain current in office. Transfer superseded to RM storage for 4 years. Destroy 4 years after superseded.

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AUD-23. POSITION DESCRIPTION FILES:

90-001

This series is arranged numerically by position number and contains copies of the standard Bureau of Personnel position descriptions for all approved positions at the agency. Information includes: position number, position name, description of duties, list of education requirements, list of work experience, and the nature of the position. The files are useful in determining a position title by comparing the duties of a vacant position with those listed in these descriptions.

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

AUD-24. PUBLICITY FILES:

90-001

This series is arranged chronologically and contains information regarding publicity initiated by office personnel or written about the State Auditor's office. Information may include but is not limited to: newspaper clippings, newspaper advertisements, feature stories, press releases, radio and television scripts, audio tapes, television videos, photographs, related correspondence, and other related materials. This information is maintained to document unsolicited publicity received by the office, to document news articles and press releases written by office personnel, and for reference when developing future news releases.

RETENTION: Retain 5 years in office, then destroy.

(NOTE: Subject to screening by the State Archivist prior to disposal.)

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(Std Form RM-1 Rev 1/03)**

DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Admin. Auditor/Deputy
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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AUD-25. PURCHASE ORDERS, LOCAL:

90-001

This series is arranged numerically and contains copies of all local purchase orders issued by the office. Information may include but is not limited to: purchase order number, date, vendor code, contract number, agency budgetary accounting codes, number of items ordered, stock numbers, descriptions, unit cost, and total cost. The information is used for reference concerning all supplies and materials ordered, to determine delivery dates, for reordering, and for billing purposes.

RETENTION: Retain 1 year in office, destroy.

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DIVISION: State Auditor
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PROGRAM: Admin. Auditor/Deputy
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RM CUSTOMER #: 0028

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AUD-26. RECORDS MANAGEMENT FILES:

90-001

This series contains the completed forms used to track inactive records which have been sent to Records Management (RM) Storage, the department's "Records Retention and Destruction Schedule" (RRDS), and the "Records Management Reference Manual." Forms in this series are arranged chronologically and may include standard records transfer receipt forms (RM-02) and records destruction authorization forms (RM-03). The information is maintained to track records sent to Records Management storage, to document the time each records series must be legally maintained, and to document authorization granted to Records Management for destruction of obsolete records. The Records Management Program maintains a permanent file of records stored, destroyed, microfilmed, or transferred to the State Archives.

RETENTION: Retain RM-02 forms current in office. Destroy superseded or obsolete.

Retain RM-03 forms 3 years in office, then destroy.

Retain manuals current in office. Destroy superseded or obsolete.

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DEPARTMENT: State Auditor
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AUD-27. REQUISITIONS:

90-001

This series contains a copy of the formal requests to order supplies or equipment. The original is submitted to the State Purchasing and Printing Program in Pierre, which results in a Purchase Order being prepared and submitted to a vendor. Information includes: requesting agency, fund coding, authorized signatures, description of items or services, cost amounts, vendor name, quantity, and date of requisition. The information is used for reconciliation purposes. The audit copies are attached to the "Vouchers, Internal" and maintained for four years.

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

AUD-28. RULES AND REGULATIONS:

90-001

This series is arranged alphabetically by agency name and contains copies of rules and regulations pertaining to each. Rules may include: Bureau of Personnel, Bureau of Finance and Management, procedural manual, communication procedures, and other miscellaneous rules. The information is used to insure compliance with current rules and regulations governing the administration and operation of the department.

RETENTION: Retain current in office. Transfer superseded to RM storage for 4 years. Destroy 4 years after superseded.

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RECORDS OFFICER: Steven J. Barnett
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AUD-29. SPECIAL PROJECT FILES:

90-001

This series is arranged alphabetically by topic and documents the ongoing activities of special projects. Information may include but is not limited to: background information, research data, correspondence, personal notes, budget information, projections, copies of contracts, copies of bid proposals; and preliminary, interim, and final reports. The information is maintained for reference, to document special projects activities, and for reporting purposes.

RETENTION: Retain 2 years after project completion in office, then destroy.

(NOTE: Subject to screening by the State Archivist prior to disposal.)

AUD-30. STATE TELEPHONE NETWORK USAGE REPORTS:

90-001

This computer printout series is generated monthly and contains the summary of telephone usage within the agency. Information includes: telephone line number and an itemized list of calls by date, time, telephone number called, length of call, cost, city called, and total cost by number. The information is used for telephone billing verifications and to monitor for possible abuse of services.

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

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AUD-31. SURVEYS AND QUESTIONNAIRES:

90-001

This series is arranged alphabetically by title and contains copies of surveys and questionnaires completed by this division. The information is maintained for reference to information provided by the State Auditor to inquiring agencies.

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

AUD-32. TRAVEL REQUESTS, INTERNAL:

90-001

This series contains copies of both in-state and out-of-state travel requests for State Auditor's employees. Information may include: origin, destination, leave date, return date, leave time, return time, agency code, mode of travel, number of rider(s), estimated miles, driver's name, telephone number, return trip number, vehicle license number, date of entry, and travel coordinator's name. Out-of-state travel requests also include: estimated transportation costs, estimated meal costs, estimated lodging costs, any fee schedules, and miscellaneous fees. All employees who travel on State business prepare and submit these forms for approval prior to their departure. The forms are used for travel coordination purposes and for paying travel expenses upon return. The Authorizations and Audits Program maintains the original out-of-state travel request with the original voucher for four years.

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

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DEPARTMENT: State Auditor
DIVISION: State Auditor
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RECORDS OFFICER: Steven J. Barnett
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RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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AUD-33. VOUCHERS, INTERNAL:

99-002

This series may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Each voucher may include: purpose of expenditure, amount, account credited, date, to whom or to what account funds were transferred, authorized signatures, and copies of purchase orders and requisitions (if applicable). This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

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

STATE OF SOUTH DAKOTA
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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Authorizations and Audits
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-34. TRAVEL AUTHORIZATIONS, OUT-OF-STATE:

90-001

This series is arranged alphabetically by department and contains blanket authorizations granted by department secretaries for certain of their employees to travel out-of-state. Information includes: effective dates, names of persons who have blanket authorization for out-of-state travel, and signature of the department secretary. The information is maintained to verify travel authorization has been received prior to making payments for out-of-state travel.

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

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Contract Auditor
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-36. CONTRACTS, CONSULTING:

90-001

This series contains copies of contracts and agreements filed with the State Auditor's office pursuant to SDCL 1-24A-1 which requires all state agencies to file copies of all consultant contracts with the State Auditor five days after the contract is entered into. Information includes: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. The information is maintained for reference purposes and to comply with legal requirements for insuring its receipt by the State Auditor's office.

RETENTION: Retain current in office. Transfer terminated to RM storage for 1 year. Destroy 1 year after terminated.

(NOTE: SDCL 1-24A-1 requires that a copy of all consultant contracts be filed with the State Auditor within five days after such contract is entered into and finally approved by the contracting parties. All consultant contracts should be filed with the Office of State Auditor prior to the work being performed. Cull files at least once a year to avoid a build-up of superseded or obsolete material.)

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Contract Auditor
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-37. FORGERY FILES:

90-001

This series is arranged chronologically and contains information used to comply with SDCL 23A-42-3 regarding forgeries when warrants are cashed by someone other than the payee. Information may include but is not limited to: State Auditor's notification sent to the State Treasurer, related correspondence, copy of the money order issued by the bank to the State Treasurer, copy of the original warrant sent to the State Treasurer, payee, amount, date, affidavit of forgery from the payee, and copy of notice of forgery sent to the Attorney General. The information is maintained to document forgery proceedings, for audit, and for litigation purposes.

RETENTION: Retain current in office. Transfer closed to RM storage for 7 years after discovery. Destroy 7 years after discovery provided no litigation is pending.

AUD-38. LOCAL BANKING ACCOUNT AUTHORIZATION FILES:

90-001

This series is arranged chronologically and documents permission granted by the State Auditor and the State Treasurer for the state agencies to maintain a local banking accounts. Information includes: date, account name, account number, type of account, yearly dollar volume, signatures of individuals authorized to write checks on the account, and approving signatures of the State Auditor and the State Treasurer. The files are maintained for audit purposes to document the authorization granted agencies to maintain a local banking accounts.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DIVISION: State Auditor
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AUD-39. WARRANT REGISTERS, SOUTH DAKOTA CEMENT PLANT:

90-001

This series is arranged chronologically and contains copies of monthly warrant registers from the South Dakota Cement Plant which are filed pursuant to SDCL 5-17-31 and contain lists of warrants issued by the South Dakota Cement Plant. Information includes: warrant number, payee name, batch, transaction date, voucher number, warrant amount, and beginning and ending balances. This information is maintained for reference purposes and to comply with legal requirements for insuring its receipt by the State Auditor's office.

RETENTION: Retain 1 year in office, then destroy.

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DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-40. ACCOUNTS PAYABLE RECONCILIATION FILE PROCESSING:

90-001

This Bureau of Finance and Management daily BA68UR35 or BA68JS35 computer output microfiche (COM) series is arranged numerically and by payment code and lists payments and amounts processed. Information includes: payment code, number of warrants, and related warrant amounts. This information is maintained to reconcile payments in accounts payable. The Bureau of Finance and Management also maintains this information for two years.

RETENTION: Retain 2 years in office, then destroy.

AUD-41. AUDIT REPORTS (STATE AUDITOR'S OFFICE):

90-001

This series is arranged chronologically and contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of this agency's funds. Information includes: cover letter; statement of assets, revenues and expenditures; changes of fund cash balances; observations; and recommendations. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented. The auditing agency also maintains a copy of the report.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

(NOTE: Legislative Audit maintains reports permanently in office on microfilm.)

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OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-42. AVAILABLE FUNDS REPORTS:

90-001

These Bureau of Finance and Management weekly and monthly computer output microfiche (COM) series are arranged numerically by center and contain information on appropriation balances. Reports in this job stream include: BA69UP69 (formerly BA59UP69 or BA59JM69) available funds report by activity; BA69UP6B (formerly BA59UP6B or BA59JM6B) available funds report by program; and BA69UP6A (formerly BA59UP6A or BA59JM6A) available funds report by department. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains the monthly reports permanently as an historic record of the state's financial activity.

RETENTION: Retain 2 years in office. Destroy after 2 years provided 1 year has passed since an independent post-audit report has been received.

AUD-43. BATCH INVOICE ENTRY EXCEPTIONS:

90-001

This Bureau of Finance and Management cyclical BA68UR09 or BA68JS09 computer output microfiche (COM) series contains information regarding batch invoice exceptions caused by duplicate control group numbers, invalid vendor number, etc. Information includes: control group number, invoice and vendor numbers, company, account, center, amount, and miscellaneous invoice information. This information is maintained to document batch accounts payable entries and exceptions. The Bureau of Finance and Management also maintains these reports for two years.

RETENTION: Retain 2 years in office, then destroy.

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RM CUSTOMER #: 0028

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AUD-44. BATCH MAINTENANCE TRANSACTIONS:

90-001

These cyclical BA68NMSW and BA68UR91 computer printout and computer output microfiche (COM) series contain information regarding replacements and correction adjustments to outside outstanding warrants. Information includes: date, record type code, bank account warrant, transaction date, amount of check, bank approval code, payee, and error message. The information is maintained to document batch entries and exceptions to the outside outstanding warrants.

RETENTION: Retain 4 years in office. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
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RM CUSTOMER #: 0028

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AUD-45. BUDGET TRANSFERS:

90-001

This paper and microfilm series is arranged numerically and contains budget transfers (also known as Appropriation Transfer Vouchers) from all agencies used to transfer budget amounts or appropriation authority from one area to another. Information includes: date, application area, document identification, payee, payer, original account, transfer account, amount, description, and authorized signatures. The information is maintained for reference purposes to document budget transfers and authorized appropriation transfers. The Bureau of Finance and Management maintains them as "Appropriation Transfer Vouchers" on microfilm for twenty-five years. Budget transfers are microfilmed and maintained with "Journal Vouchers."

RETENTION: Retain paper current in office, then microfilm. Maintain film permanently.

(NOTE: Paper may be destroyed once microfilm has been inspected and verified to meet standards.)

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PROGRAM:	<u>Fiscal Examination</u>
RECORDS OFFICER:	<u>Steven J. Barnett</u>
RM CUSTOMER #:	<u>0028</u>

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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AUD-46. BUDGETARY CONTROL EXTRACT:

90-001

This Bureau of Finance and Management weekly BA69UR45 or BA69JS45 computer output microfiche (COM) series has four sections: unfinished document, budgetary control extract, document file purge, and transaction file purge. The unfinished document report is arranged alphanumerically by document and contains all information related to unfinished budgetary control documents. The budgetary control extract report is arranged alphanumerically by source system and company and contains records and amounts extracted from budgetary control. The document file purge is arranged by document identification number and contains documents and related lines purged from budgetary control. The transaction file purge is arranged by source system, company, and document. The unfinished document report is maintained as a record of unfinished documents. The extract report is used to reconcile records and transactions extracted from budgetary control. The document file purge and transaction file purge are used to reconcile records purged from budgetary control. The Bureau of Finance and Management also maintains these reports for two years.

RETENTION: Retain 2 years in office, then destroy.

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AUD-47. CASH RECONCILIATION FILES (WESTERN BANK TAPES):

90-001

These Western Bank tapes are arranged chronologically and contain daily cash reconciliation records used to reconcile bank account information. Information may include: bank statement with a numeric list of cancelled warrant numbers, deposits, general ledger number, general ledger balance, bank account number, bank balance, outstanding warrants and deposits, and other reconciliation amounts and explanations. The information is used to reconcile checking accounts with bank balances, for reference, and for audit purposes. Cancelled warrants are maintained separately and permanently on microfilm.

RETENTION: Retain current in office, then transfer to RM storage for 4 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-48. CORRESPONDENCE, FEDERAL:

90-001

This series is arranged chronologically and contains both copies and originals of letters and memorandums sent to and received from any federal agency. The information is maintained for reference and for possible use when federal litigation, claims, or audits are pending.

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

When litigation, claim, or audit is pending maintain for an additional 3 years, then destroy.

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AUD-49. CHART OF ACCOUNTS:

90-001

This series is generated yearly by the Bureau of Finance and Management and lists all sub-object codes. Information includes: section, sub-section, coding structure, code number, account name, and description of the use. The information is used for reference to account codes found on vouchers, requisitions, payroll/personnel forms, and for general ledger posting purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-50. DAILY ACCOUNTING SYSTEM REPORT (BA55UR01 OR BA55JS01):

90-001

This Bureau of Finance and Management daily BA55UR01 or BA55JS01 computer output microfiche (COM) series is arranged numerically by center or company and contains accounting system management reports. Reports in this job stream include: state trial balance; BOA revenue; revenue and journal voucher report; budget adjustments; journal voucher by document; overdrawn list; invested; cash by company; bank reconciliation; and payroll recap. These reports are maintained to provide interim information on accounting system transactions and balances. The Bureau of Finance and Management also maintains these reports for one year.

RETENTION: Retain 1 year in office, then destroy.

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DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-51. DAILY ACCOUNTING SYSTEM REPORT (BA55UR05 OR BA55JS05):

90-001

This Bureau of Finance and Management daily BA55UR05 or BA55JS05 (formerly BA55UR04 or BA55JS04) computer output microfiche (COM) series is arranged numerically by center or warrant number and contains accounting system management reports. Reports in this job stream include: warrant register by center; warrant register by warrant number; warrant imprest transfers; outstanding warrant list; and cancelled payments. These reports are maintained to provide interim information on accounting system transactions and balances. The Bureau of Finance and Management also maintains these reports for one year.

RETENTION: Retain 1 year in office, then destroy.

AUD-52. FINANCIAL STATEMENTS (STATE FUNDS):

90-001

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

RETENTION: Retain 1 year in office, the transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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RM CUSTOMER #: 0028

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AUD-63. JOURNAL VOUCHERS:

99-002

This paper series is arranged numerically and contains journal vouchers from all agencies. Each voucher may include: purpose of expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. This record series is used 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 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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RM CUSTOMER #: 0028

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AUD-53. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR60 OR BA55JS60):

90-001

This Bureau of Finance and Management monthly BA55UR60 or BA55JS60 computer output microfiche (COM) series is arranged numerically by center or company and contains accounting system management reports. Reports in this job stream include: state trial balance; trial balance by company; expenditure report; revenue and journal voucher report; BOA revenue; agency funds activity; and company 8000 trial balance by center. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains this report permanently as an historic record of the state's financial activity.

RETENTION: Retain 2 years in office. Destroy after 2 years provided 1 year has passed since an independent post-audit report has been received.

AUD-54. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR62 OR BA55JS62):

90-001

This Bureau of Finance and Management monthly BA55UR62 or BA55JS62 computer output microfiche (COM) series is arranged numerically by center or document number and contains accounting system management reports. Reports in this job stream include: bank reconciliation; employee receivables; and accounts payable balances. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains this report permanently as an historic record of the state's financial activity.

RETENTION: Retain 2 years in office, then destroy.

STATE OF SOUTH DAKOTA
 RECORDS RETENTION &
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DEPARTMENT: State Auditor
 DIVISION: State Auditor
 OFFICE: Administration
 PROGRAM: Fiscal Examination
 RECORDS OFFICER: Steven J. Barnett
 RM CUSTOMER #: 0028

RECORD		R.D.B.
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AUD-55. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR63 OR BA55JS63):

90-001

This Bureau of Finance and Management monthly BA55UR63 or BA55JS63 computer output microfiche (COM) series is arranged numerically by center or company and contains accounting system management reports. Reports in this job stream include: encumbrance detail report; projects; encumbrance balances; aged invoice; and open requisitions. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains this report permanently as an historic record of the state's financial activity.

RETENTION: Retain 2 years in office, then destroy.

AUD-56. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR64 OR BA55JS64):

90-001

This Bureau of Finance and Management monthly BA55UR64 or BA55JS64 computer output microfiche (COM) series is arranged numerically by center or warrant number and contains accounting system management reports. Reports in this job stream include: revenue summary; cash centers; warrant registers (by center and by warrant number); object/sub-object by program; special travel report; object/sub-object by department; and cancelled warrants. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains this report permanently as an historic record of the state's financial activity.

RETENTION: Retain 4 years in office. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

<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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AUD-57. MONTHLY ACCOUNTING SYSTEM REPORT (BA550182):

90-001

This Bureau of Finance and Management monthly BA550182 computer output microfiche (COM) series is arranged numerically by center and contains the accounts payable balances. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains this report permanently as an historic record of the state's financial activity. See also BA55UR62 or BA55JS62.

RETENTION: Retain 2 years in office, then destroy.

AUD-58. ON-LINE INVOICE ENTRY BY OPERATOR (BA68UR15 OR BA68JS15):

90-001

This Bureau of Finance and Management daily BA68UR15 or BA68JS15 computer output microfiche (COM) series is arranged numerically by operator code and contains total number of documents and total amount entered by each operator. Information includes: operator code, terminal, date, time, control number, vendor number, invoice number, and payment amount. This information is used by data encoders to reconcile on-line invoice entries. The Bureau of Finance and Management also maintains this report for two years.

RETENTION: Retain 1 year in office, then destroy.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

RECORD **R.D.B.**
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AUD-59. PURCHASING FILES RELOAD (BA63UR05 OR BA63JS05):

90-001

This Bureau of Finance and Management weekly or as required BA63UR05 or BA63JS05 computer output microfiche (COM) series is arranged alphanumerically by file number and contains record counts of accounting system file reloads. This information is maintained for reconciling file record counts and to insure the integrity of accounting system files. The Bureau of Finance and Management also maintains this report for one year.

RETENTION: Retain 1 year in office, then destroy.

AUD-60. RECONCILIATION UPDATE (BA68UR30,28,29 OR BA68JS30,28,29):

90-001

These Bureau of Finance and Management cyclical BA68UR30 or BA68JS30, BA68UR28 or BA68JS28, and BA68UR29 or BA68JS29, computer output microfiche (COM) series are arranged by bank account payment code and payment reference number and contain lists of all transactions added or updated to the accounts payable system. Information includes: bank account, bank account payment number, payment reference number, vendor name, payment type, payment date, payment amount, clear date, clear amount, and payment status. This information is used to reconcile payment transaction additions or updates to the accounts payable system. The Bureau of Finance and Management also maintains this report for two years.

RETENTION: Retain 2 years in office, then destroy provided an independent post-audit report has been received.

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DEPARTMENT:	<u>State Auditor</u>
DIVISION:	<u>State Auditor</u>
OFFICE:	<u>Administration</u>
PROGRAM:	<u>Fiscal Examination</u>
RECORDS OFFICER:	<u>Steven J. Barnett</u>
RM CUSTOMER #:	<u>0028</u>

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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AUD-61. REPLACEMENT WARRANT APPLICATION AFFIDAVITS:

90-001

This series is arranged numerically and contains applications for replacement warrants. The forms are divided into sections including: application, affidavit, sureties, acknowledgement of sureties, and state auditor's section. Information includes: signatures, notary public seals, and other related information. The information is maintained to document the application for replacement warrants and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-62. STOP PAYMENT FILES:

90-001

This series is arranged chronologically and contains stop payment notices received from any state agency or bank. Banks send stop payment notices when warrants have stale dates (more than 180 days). Information includes: agency identification, account number, bank name, date of notice, payee, warrant number, amount, warrant date, agency number, reason, stop payment date, and instructions to rescind or replace. The information is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
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RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-103. VOUCHERS:

00-003

This series may contain copies of travel, direct, receiving, and journal vouchers; and purchasing card billings and receipts. Information may include: purpose of expenditure, amount, account code credited, date, to whom or to what account funds were transferred, and authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies or services ordered, for vendor information, and for audit purposes. Audit copies of vouchers may also include attachments such as purchase orders, requisitions, invoices, packing slips, and receipts.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-64. WARRANT FILES:

90-001

These daily computer tape and biweekly computer printout series are arranged numerically and contain listings of all computer generated warrants issued by the State Auditor's office. Information includes: BAP (type of warrant) code, payer and employee option, vendor number, invoice identification, audit control number, company number, center number, preprinted number and IPS warrant number (they should both match), issue date, payee name and address, authorized signature of the State Auditor, amount of check (words and figures), and bank account number. This information is maintained for reconciling with State Treasurer's accounts and bank accounts and for audit purposes.

RETENTION: Retain current in office, then transfer to RM storage for 4 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DIVISION: State Auditor
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RECORDS OFFICER: Steven J. Barnett
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AUD-65. WARRANT REGISTERS:

90-001

This mainframe computer program and biweekly computer printout series is divided by agency and arranged numerically by warrant number and contains lists of warrants issued for each agency. Information includes: warrant number, program (agency), invoice number, invoice date, voucher number, auditor control number, effective date, vendor number, group number (itemized vendor identification), vendor name, gross amount, and net amount. This information is maintained for reconciling to the MSA accounting records and bank statements. The computer printouts are distributed to the individual agencies for voucher reconciliation purposes.

RETENTION: Retain current in office, then transfer to RM storage for 4 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-66. WARRANT WRITER (MSA):

90-001

This Bureau of Finance and Management cyclical BA68UR20 or BA68JS20 computer output microfiche (COM) series is arranged numerically by warrant number and contains information regarding grand totals for warrant to be written. Information includes: total number of checks, total number of void checks, and total amount of checks. This information is maintained to reconcile input to the "South Dakota Warrant Writer" BA68UR23 or BA68JS23. The Bureau of Finance and Management also maintains this report for two years.

RETENTION: Retain 2 years in office, then destroy.

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DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-67. WARRANTS/CHECKS - PAID, CANCELLED, AND REPLACEMENTS:

96-001

This paper and roll microfilm series is arranged chronologically and numerically by warrant number and contains copies of paid, cancelled, and replacement warrants issued by the State Auditor's office. Information includes: date, computer printout of the bank tape with the total amount of warrants for each day, and dual sided copies of each warrant. Each warrant includes: BAP (type of warrant) code, payer and employee option, vendor number, invoice identification, auditor control number, company number, center number, preprinted number and IPS warrant number (they should both match), issue date, payee name and address, state auditor authorized signature, amount of the check in words and figures, and bank account number. The information is maintained for documentation of payment or nonpayment, for reconciling to the State Treasurer's office accounts and bank accounts, for handwriting analysis in the event of a suspected forgery, for audit purposes, and as an historic record of the state's financial activity.

RETENTION: Microfilm immediately and maintain paper for 2 years, destroy paper for 2 years. Retain the microfilm for 15 years. Destroy film after 15 years.

(NOTE: Microfilm is maintained for fifteen years pursuant to SDCL 4-10-8.)

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-68. WEEKLY ACCOUNTING SYSTEM REPORT (BA55UR40 OR
BA55JS40):

90-001

This Bureau of Finance and Management weekly BA55UR40 or BA55JS40 computer output microfiche (COM) series is arranged numerically by center, by company, or by purchase order number and contains accounting system management reports. Reports in this job stream include: open purchase orders by purchase order number; open purchase orders by center; general fund revenue analysis; encumbrance balances; and aged invoice. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management also maintains this report for four years.

RETENTION: Retain 2 years in office. Destroy after 2 years provided 1 year has passed since an independent post-audit report has been received.

**STATE OF SOUTH DAKOTA
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AUTHORIZATION FORM
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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Fiscal Examination
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

RECORD **R.D.B.**
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AUD-69. WIRE TRANSFERS:

90-001

This series is arranged numerically by audit control number and contains original computer generated journal voucher wire transfers regarding funds wired from the State Treasury to other bank accounts.

Wire transfers are made by the State Treasurer's office. Information includes: application area; document identification; effective date (transfer date); amount; company, account and center coding; authorized agency signature, Auditor's office and the State Treasurer's office; State Treasurer's bank confirmation debt slip, with the payee, amount, time of transfer, authorized bank officer's initials, and bank account number drawn from. The information is maintained to document information used to initiate wire transfers to be made by the State Treasurer and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Old Age & Survivors Insurance
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

RECORD **R.D.B.**
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AUD-70. ACCUMULATED EARNINGS AND TAX REPORTS:

90-001

This monthly computer printout and computer output microfiche (COM) series is divided by agency and program and contains the end of the month accumulated earnings and tax reports for state employees paid through the central payroll. Information includes: center number, effective date, run date, page number; and for each employee the report lists employee name, social security number, gross pay, FIT wages, FIT withheld, earned income tax credit, O.A.S.I. wages, O.A.S.I. withheld, and net pay. The paper records are maintained for federal tax reporting, for reconciling with IRS W-2 forms, and for audit purposes. The COM is maintained to provide a permanent record of wages and benefits paid by the state. The original COM is maintained permanently at Records Management Storage.

RETENTION: Retain monthly paper computer printouts 3 months in office, then destroy.

Retain June and December monthly paper computer printouts 3 1/2 years in office, then destroy provided 1 year has passed since an independent post-audit report has been received.

Retain COM permanently in office.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Old Age & Survivors Insurance
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-71. CORRESPONDENCE, FEDERAL:

90-001

This series is arranged chronologically and contains both copies and originals of letters and memorandums sent to and received from any federal agency. The information is maintained for reference and for possible use when federal litigation, claims, or audits are pending.

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

When litigation, claim, or audit is pending maintain for an additional 3 years, then destroy.

AUD-72. IRS FORM 1099:

90-001

This series is arranged chronologically and contains a copy of each Internal Revenue Service (IRS) Form 1099 submitted to persons to whom the state has paid more than \$600 per year for services. Information includes: name, social security or business identification number, and amount paid. The information is maintained to document which notices were sent. The recipients then send their copy to the IRS along with their yearly Federal Income Tax Returns to document yearly income.

RETENTION: Retain 4 years in office, then destroy.

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OFFICE: Administration
PROGRAM: Old Age & Survivors Insurance
RECORDS OFFICER: Steven J. Barnett
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AUD-73. IRS W-2 FORMS:

90-001

This series is arranged alphabetically by name of employee and contains original undeliverable W-2's and yearly copies of the Wage and Tax Statements IRS W-2 forms sent to employees and the Internal Revenue Service. Information includes: employer's name, identification number, total wages earned for the year, and total taxes withheld for the reporting year. The employees send their copies of these forms to the IRS along with their yearly Federal Income Tax Returns to document yearly income. The information is maintained in this office for reference to verify information for the IRS regarding employees earnings. Summary information is also maintained permanently on the "Accumulated Earnings and Tax Reports."

RETENTION: Retain copies 4 years in office, then destroy.

Retain undeliverable originals 4 years after returned by the post office, then destroy.

AUD-74. PAYROLL REGISTERS:

90-001

This series contains totals pages from the biweekly central and college payroll registers with information used to file federal tax reports for regular payroll, regular corrections, longevity pay, and merit pay. Information may include but is not limited to: name, social security number, agency, current wage information, and accumulated wage information. The information is maintained as source documentation for federal tax reporting and for audit purposes. The Payroll Program maintains this information permanently on computer output microfiche.

RETENTION: Retain 1 year in office, then destroy.

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DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Old Age & Survivors Insurance
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-75. RETIREMENT ACCOUNTING RECORDS:

90-001

This series is arranged chronologically and contains retirement accounting records regarding federal income tax withheld from retirement systems and annuity accounts. Information includes: account name, reporting period, report date, and total federal income tax withheld. The information is maintained for reference and for audit purposes. The Department of Labor, Division of Retirement and Insurance maintains the information on microfilm for 100 years.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-76. TAX REPORTS, EMPLOYMENT (FEDERAL AND STATE):

90-001

These reports, divided by title, are arranged chronologically and contain the audit copies of reports payments of quarterly and annual federal and state employment taxes. Reports include: IRS form 941, Department of Labor unemployment, O.A.S.I. (social security), F.I.T. (federal withholding), E.I.C. (earned income credit), and various other state and federal employment reports. The information is maintained for reference and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
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RECORDS OFFICER: Steven J. Barnett
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AUD-77. VOUCHERS, COLLEGE PAYROLLS:

90-001

This monthly series is arranged alphabetically and contains vouchers from the agencies which generate their own payroll indicating the amounts to be deposited for O.A.S.I., F.I.T., and E.I.C. "College payroll" vouchers are received from the six state universities, the School for the Deaf, the School for the Visually Handicapped, and the Board of Regents. Information includes: institution name, date of the report, reporting period, type of payment, and total to be deposited. The information is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-78. VOUCHERS, JOURNAL:

90-001

This series is arranged alphabetically and contains journal vouchers from agencies which generate their own payroll or any agency that makes corrections to a previously run payroll indicating the amounts they deposited to retirement systems and the IRS for O.A.S.I., F.I.T., and E.I.C. funds withheld from college payrolls. Information includes: college name, date of the report, reporting period, type of payment, and total to be deposited. The information is maintained for audit purposes. All other journal vouchers are maintained in the Fiscal Examination Program permanently on microfilm.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Payroll
RECORDS OFFICER: Steven J. Barnett
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AUD-79. AFFIRMATIVE ACTION PLANS:

90-001

This series is arranged chronologically and contains the plan developed by the agency for affirmative action. Information may include: correspondence, committee meeting notes, drafts of plans, and finalized plan of action. The information is used to monitor compliance with existing affirmative action plans and to develop new affirmative action plans as needed.

RETENTION: Retain in office 2 years after superseded, then destroy provided no litigation is pending.

AUD-80. APPLICATIONS, UNSUCCESSFUL:

90-001

This series is arranged alphabetically by applicants' names and may contain copies of resumes, credentials, and standard Bureau of Personnel job application forms from individuals who have applied for employment with the agency. Information includes: name of applicant, address, education, training, and experience. The files are maintained as a source of information when filling vacant positions within the agency. Applications for individuals who are successful in securing employment are transferred to their respective "Personnel Files."

RETENTION: Retain 1 year in office, then destroy.

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AUD-81. EMPLOYER'S FIRST REPORT OF INJURY:

90-001

See "Workers Compensation Files."

AUD-82. EQUAL EMPLOYMENT OPPORTUNITY SLIPS:

90-001

These 2" X 11" slips are the perforated portion of the standard Bureau of Personnel application. Information includes: name, social security number, title applied for, class code, sex, age, and race. These slips are detached from the standard application forms and are used to verify that there are no discriminatory practices in hiring individuals. They are also maintained for equal employment opportunity audits.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided no litigation is pending.

AUD-83. IRS W-4 FORMS:

90-001

This series is arranged alphabetically by name of employee and contains central payroll Employee's Withholding Allowance Certificates IRS W-4 forms signed by state employees regarding the number of dependents claimed. Information includes: employee's name, social security number, address, number of exemptions claimed, and signatures. The Payroll Program uses these records to determine the amount of income tax to withhold from payroll checks.

RETENTION: Retain current in office. Transfer superseded or obsolete to RM storage for 4 years. Destroy 4 years after superseded or obsolete.

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AUD-84. IRS W-4 FORMS LISTING REPORTS, COLLEGE PAYROLLS:

90-001

This computer printout series is generated monthly and provides a summary of the information found on the Employee's Withholding Allowance Certificates IRS W-4 forms for agencies which generate their own payroll. "College payrolls" include the six state colleges (universities), the School for the Deaf, the School for the Visually Handicapped, and the Board of Regents. Information includes: name, social security number, marital status, number of exemptions claimed, and additional moneys withheld. This series is used for reference purposes to verify employment for garnishments and tax levies.

RETENTION: Retain 2 months in office, then destroy.

AUD-85. LEAVE BALANCE PRINTOUTS:

90-001

This biweekly computer printout and computer output microfiche (COM) series contains central payroll information for each agency. Information includes: agency name, employee names, social security numbers, number of hours of leave earned, hours of leave used, and the balance of leave hours still available for use. The computer printout is distributed to the individual agency. The COM is maintained for audit purposes and to provide a permanent record of wages and benefits paid by the state. The original COM is maintained permanently at Records Management Storage.

RETENTION: Retain COM permanently in office.

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RECORDS RETENTION &
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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Payroll
RECORDS OFFICER: Steven J. Barnett
RM CUSTOMER #: 0028

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AUD-86. LEAVE BALANCE PRINTOUTS, INTERNAL:

90-001

This biweekly computer report contains department employee names, social security numbers, number of hours of leave earned, hours of leave used, and the balance of leave hours still available for use. It is used for reference to determine if an employee can be granted leave permission for the number of hours he/she has requested.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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

AUD-87. LEAVE REQUESTS:

90-001

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

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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AUD-88. PAYROLL AUTHORIZATION DETAIL REPORT:

90-001

This biweekly computer printout and computer output microfiche (COM) series contains combined payroll authorization information for every agency within the central payroll system. Information includes: agency name, employee names, social security numbers, number of hours paid, annual leave hours, sick leave hours, term vacation, term sick leave, overtime, leave balances, rate of pay, and employee type. The information is maintained for audit purposes and to provide a permanent record of wages and benefits paid by the state. The original COM is maintained permanently at Records Management Storage.

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

Retain COM permanently in office.

AUD-89. PAYROLL AUTHORIZATION FILES, ALL STATE AGENCIES:

90-001

This series is arranged chronologically and contains a record used to document permission granted the State Auditor to release the central payroll for all state agencies. Authorizations are received from the Bureau of Personnel and each agency. Information includes: employee name, social security number, hours worked, and hours of leave taken. The information is maintained to document permission received to pay wages to state employees and for audit purposes.

RETENTION: Retain current in office, then transfer to RM storage for 3 years. Destroy after 3 years provided 1 year has passed since an independent post-audit report has been received.

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AUD-90. PAYROLL AUTHORIZATION FILES, INTERNAL:

90-001

This series is arranged chronologically and contains a record of the State Auditor's internal biweekly payroll. Information includes: employee name, social security number, hours worked, and gross pay. The information is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-91. PAYROLL DISTRIBUTION REGISTER:

90-001

This biweekly computer printout and computer output microfiche (COM) series contains payroll distributions for every agency within the central payroll system. Information includes: agency name, employee 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 deductions, workman's compensation deductions, and total deductions. The information is maintained for audit purposes and to provide a permanent record of wages and benefits paid by the state. Each office is sent a paper copy of its payroll register. The original COM is maintained permanently at Records Management Storage.

RETENTION: Retain paper 2 months in office, then destroy.

Retain COM permanently in office.

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AUD-92. PAYROLL DISTRIBUTION REGISTER, INTERNAL:

90-001

This biweekly computer printout contains Auditor's office payroll distributions. Information includes: agency name, employee 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 deductions, workman's compensation deductions, and total deductions. The information is maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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

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AUD-93. PAYROLL REGISTERS:

90-001

This biweekly computer printout and computer output microfiche (COM) series is divided by the type of payroll and contains information regarding the regular payroll, regular corrections, longevity pay, and merit pay. Information may include but is not limited to: name, social security number, agency, current wage information, and accumulated wage information. The registers are maintained for audit purposes and to provide a permanent record of wages and benefits paid by the state. Each office is sent a paper copy of its payroll register. The original COM is maintained permanently at Records Management Storage.

RETENTION: Retain paper 2 months in office, then destroy.

Retain COM permanently in office.

AUD-94. PAYROLL REGISTER, INTERNAL:

90-001

This biweekly computer printout contains Auditor's office information regarding the regular payroll, regular corrections, longevity pay, and merit pay. Information may include but is not limited to: name, social security number, agency, current wage information, and accumulated wage information. The registers are maintained for audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

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

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PROGRAM:	<u>Payroll</u>
RECORDS OFFICER:	<u>Steven J. Barnett</u>
RM CUSTOMER #:	<u>0028</u>

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AUD-95. PAYROLL/PERSONNEL ACTION FORMS (PA 32s):

90-001

This pink standard Bureau of Personnel form is arranged chronologically and contains the information used to initiate and adjust changes in salaries, classifications, position numbers, and other information. Information includes: social security number, date, address, effective date, base pay, position number, hire date, and any changes in data. This information is used to document any changes requested on the data base and to insure accuracy of changes. The Bureau of Personnel in Pierre maintains the original and the department's copy of the record is filed in the respective "Personnel Files."

RETENTION: Retain 1 year in office, then destroy.

AUD-96. PERFORMANCE COMMUNICATION DOCUMENTS:

90-001

This series is arranged alphabetically by name of employee and contains the standard performance appraisal with an itemized statement of standards and responsibilities for each employee. Information may include: principal accountabilities, standards of each accountability, performance ratings, performance indexes, comments, and ratings received. Performance Communication Documents are required by administrative rule and are used for justifying merit increases in pay, for commending deserving employees, and as documentation supporting the dismissal of Career Service Employees for unsatisfactory job performance. These files are maintained for audit purposes.

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

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AUD-97. PERSONNEL FILES:

90-001

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

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

(NOTE: Consider maintaining in office on updatable microfilm jackets instead of paper.)

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AUD-98. RECEIPT BOOKS:

90-001

This series contains forms issued to document fees received for wage attachments and garnishments. Receipts are prenumbered and include: date money was received, amount received, and signature of the person receiving the money. The information is maintained for audit purposes.

RETENTION: Retain full book 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-98.1. 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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RECORDS OFFICER:	<u>Steven J. Barnett</u>
RM CUSTOMER #:	<u>0028</u>

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AUD-99. TIME SHEETS:

90-001

This series is arranged chronologically and contains completed time sheets submitted by program employees. Information includes: name, social security number, pay period ending date, days worked, days off, hours worked, hours off, total hours for the period, and signature of employee. They initiate the payroll process and document hours worked by program employees.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided 1 year has passed since an independent post-audit report has been received.

AUD-100. VOLUNTARY DEDUCTION REPORTS:

90-001

This biweekly computer printout and computer output microfiche (COM) series is divided by deduction type and contains information regarding state employee central payroll deductions. Information includes: type of deduction, employee health insurance, employee life insurance, cancer insurance, outside health insurance, outside life insurance, deferred compensation, annuities, Labor Department Retirement, flexible benefit plan, direct deposit institution lists, United Way, employee's organization dues, legal attachment printouts (child support), and bonds. The information is maintained for audit purposes and to provide a permanent record of deductions withheld from wages of state employees. The original COM is maintained permanently at Records Management Storage.

RETENTION: Retain paper 2 months in office, then destroy.

Retain COM permanently in office.

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AUD-101. WAGE ASSIGNMENTS, ATTACHMENTS, TAX LEVIES & GARNISHMENTS:

90-001

This series is arranged alphabetically and contains a record of wage assignments, attachments, tax levies, and garnishments relating to wages paid through the central payroll. The notices may be received from court systems or the Internal Revenue Service (Official Notice of Levy or Garnishment IRS Form 668A or equivalent). Information includes: signed affidavits, summons, correspondence, change slips, copies of vouchers which list the split of payroll, and releases. The information is maintained to document notices received from various entities, to verify that funds are disbursed in accordance with the notices, and for state and federal audit purposes.

RETENTION: Retain current in office. Transfer to RM storage for 4 years after satisfaction. Destroy 4 years after satisfaction.

AUD-102. WORKERS COMPENSATION FILES, EMP'S FIRST REPORT OF INJURY:

90-001

This series is arranged chronologically by incident date and contains copies of the standard "Employer's First Report of Injury Forms." Information includes: employer information, employee information, information relating to the on-the-job injury, and doctor reports. This series is maintained for reference to reports filed by employees. The originals are maintained by the Department of Labor, Division of Labor and Management.

RETENTION: Retain 1 year in office after claim settled, then transfer to RM storage for 3 years. Destroy 4 years after claim settled provided that no litigation is pending.

(NOTE: The State Division of Labor and Management maintains these files on microfilm for 15 years.)