



BOARD OF TECHNICAL
PROFESSIONS

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 13, 2012

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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OFFICE: Boards and Commissions
PROGRAM Board of Technical Professions

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

DEPARTMENT: Labor and Regulation
DIVISION: Secretary
OFFICE: Boards and Commissions
PROGRAM: Board of Technical Professions
RECORDS OFFICER: Monica Harding
RM CUSTOMER #: 1191

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

07-034

This series may be arranged by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: personnel reports, budget, equipment, inventory, legislation, organization/association, and property management information; reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; general correspondence and any other related information. This record series is maintained for reference purposes.

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 Destroy superseded or obsolete.

(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)

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BTP-2. ADMINISTRATIVE RULE PROMULGATION FILES:

07-034

This series is arranged chronologically and contains administrative rule promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comments from the public, transcripts from the hearings, and final decisions. Files have little reference activity once the hearing has been held unless someone requests a copy of the transcript. This record series is maintained for documenting the proper promulgation of administrative rules pursuant to SDCL 1-26.

RETENTION: FINAL DECISIONS: Retain permanently in office.

ALL OTHER DOCUMENTATION: 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 the chapter." There is no time frame included for these records. Since SDCL 1-26-6.8 provided that "No rule is enforceable in the Courts unless properly adopted," the record must be maintained at least until a curative statute has been adopted by the Legislature similar to SDCL1-26A-2, which cures all defects in the adoption of the rules appearing in the 1974 printed ARSD.)

(Consider maintaining on microfilm instead of paper and destroying the paper after the microfilm has been inspected and verified to meet quality standards.)

(NOTE: Previous record series number was TPR-01.)

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BTP-3. APPLICATIONS:

07-034

This paper and database series is arranged alphabetically and contains applications to be reviewed by the Board and applications of individuals who appear for examination. Information may include: application, references, experience verifications, college verifications, and verifications from other states. This record series is used for mailing notices and for reporting purposes.

RETENTION: PAPER: Retain in office until encoding has been verified to be accurate and complete, then destroy.

DATABASE: Retain 1 year, then encode into database for 49 years. Destroy after 50 years.

(NOTE: Destroy paper after encoding has been verified to be accurate)

(NOTE: Previous record series number was TPR-02.)

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BTP-4. AUDIT REPORTS:

07-034

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

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

(NOTE: Previous record series number was TPR-06.)

BTP-5. BANK STATEMENTS:

07-034

This series is arranged chronologically and contains records sent from individual banks for reconciliation purposes. Information may include: date of statements, actual cancelled checks, deposit records, and bank balances. This record series is used to reconcile checking accounts with bank balances, for reference, documentation, 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, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was TPR-07.)

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BTP-6. BOARD MEMBER FILES:

07-034

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

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

(NOTE: Previous record series number was TPR-08.)

BTP-7. CASH RECEIPT TRANSMITTALS:

07-034

This series is arranged chronologically and contains the standard forms used to document payments received and deposited with the State Treasury. Information may include: agency name and code, agency receipt number, date, fund, sub-fund, revenue source, description, and amount. These are forwarded to the State Treasurer. This record series is maintained for reference and audit purposes.

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

(NOTE: Previous record series number was TPR-10.)

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BTP-8. COMPLAINT FILES:

07-034

This series is arranged chronologically and contains all related correspondence received from either the general public or initiated by the Board of Technical Professions concerning problems which have occurred with engineers, land surveyors, or architects, land architects, and petroleum assessors or remediators. Information may include: nature of complaint, signature of party filing the complaint, related correspondence, investigation of the allegation, conclusion of the investigation, and related materials. This record series is used by the Board to determine if a complaint is substantiated, and if so, to take corrective action. If complaints are substantiated this information is placed in each respective "Registrant Database".

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

SUBSTANTIATED: Retain until case is closed, then transfer to respective "Registrant Database", and encode into computer and keep indefinitely.

(NOTE: Previous record series number was TPR-11.)

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BTP-9. CONTRACT AND AGREEMENT FILES:

07-034

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

RETENTION: Retain current in office. Destroy 6 years after terminated.

Retain reference copies current in office. Destroy terminated.

(Note: SDCL 1-24-1 requires that a copy of all consultant contracts be filed with the State Auditor.)

(NOTE: Previous record series number was TPR-12.)

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BTP-10.	<u>ENGINEER-IN-TRAINING AND LAND SURVEYING INTERN CARD FILES:</u>	
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07-034

This 5" X 8" series is arranged alphabetically and contains personal information about engineers in training and land surveyors in training. Information may include: name, address, college attended, degree awarded, graduation date, examination grade, enrollment date, fee paid, receipt number, and signatures of college official. This record series is used to document the enrollment of all engineers-in-training and land surveyors in training.

RETENTION: Retain 1 year in office, then encode into database and maintain database for 49 years. Destroy after 50 years.

(Note: Destroy paper after encoding has been verified to be accurate and complete.)

(NOTE: Previous record series number was TPR-14.)

BTP-11.	<u>MINUTES, BOARD OF TECHNICAL PROFESSIONS:</u>	
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07-034

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

RETENTION: Retain 5 years in office, then encode into computer and maintain permanently.

(Note: Paper is subject to archival screening prior to disposal.)

(NOTE: Previous record series number was TPR-18.)

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BTP-12. NEWSLETTER FILES:

07-034

This series contains the masters of newsletters published by the Board of Technical Professions. Information may include: date, topics discussed, and informational materials. Multiple copies were printed and distributed to all in-state and out-of-state registrants to pass on items of news worthiness, and to report on changes in engineering and architectural rules and regulations.

RETENTION: Retain masters 1 year in office, then destroy.

Encode one copy of the newsletter into computer and maintain permanently.

(Note: File thirteen copies of the published newsletter with the State Library pursuant to SDCL 14-1A-3, and two copies with State Archives.)

(NOTE: Previous record series number was TPR-19.)

BTP-13. RECEIPT FILES:

07-034

This computer series is arranged chronologically and documents all receipts of money. Information may include: date issued, received of, address, amount, form of payment, purpose, and received by signature. This record series is maintained for audit purposes.

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

(NOTE: Previous record series number was TPR-22.)

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BTP-14. RECORDS MANAGEMENT FILES

07-034

This series contains the completed forms used to track inactive records that have been sent to Records Management (RM) Storage; and the department's "Records Retention and Destruction Schedule" (RRDS). Information may include: standard records transfer receipt forms, microfilm project registration forms; and microfilm and box destruction authorization forms. This record series is maintained for tracking records sent to Records Management storage, to document the time each record series must be legally maintained, and to document authorization granted to RM for destruction of obsolete records.

RETENTION: RECORD DESTRUCTION AUTHORIZATION FORMS: Retain 3 years in office, then destroy.

ALL OTHER INFORMATION: Retain current in office. Destroy superseded or obsolete.

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BTP-15. REGISTRANT DATABASE:

07-034

This database series is arranged numerically by license number and is used to register all licenses issued by the Board of Technical Professions. Information is obtained from Registrant Files, and Engineer-in-Training and Land Survey Intern Card Files. Information may include: licensee name, license number, personal information, whether individual was licensed by comity or by exam, continuing education hours, license renewal date, receipt of fees paid by licensee (amount and date received), name of employer or business, and any disciplinary action taken against the licensee. This record series is used for quick reference and updating licensee records.

RETENTION: Retain 50 years, then destroy provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(Note: The records of deceased licensees can be deleted 10 years after their death.)

(NOTE: Previous record series number was TPR-23.)

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BTP-16. REGISTRANT FILES:

07-034

This series is arranged alphabetically and documents those engineers, architects, land surveyors, business firms, landscape architects, petroleum assessors, and petroleum remediators registered by the Board. Information may include: applications, college verifications, experience verifications, verification in other states, correspondence, registration numbers, fees paid, receipt number, and Board action taken for Class 2 registration by comity (reciprocity). Class 3 registrations also includes dates of examinations and scores. This record series is used to document the registration and renewal processes of all registrants.

RETENTION: Retain 3 years in office after expiration, then destroy.

(Note: All information is encoded into the Board's licensing database.)

(NOTE: Previous record series number was TPR-24.)

BTP-17. REGISTRANT FILES, HISTORICAL CLASS THREE:

07-034

This series is arranged alphabetically and contains information on class three registrants (those individuals who took their original registration examination in South Dakota.) Information may include: applications, college verifications, experience verifications, correspondence, examinations, examination scores, registration numbers issued, renewal applications, fees paid, receipt numbers, and Board action taken. This record series is maintained for historical purposes.

RETENTION: Retain 50 years in office, then destroy.

(Note: Consider microfilming when volume warrants.)

(NOTE: Previous record series number was TPR-25.)

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BTP-18. 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.