



CERTIFICATION BOARD FOR  
ALCOHOL & DRUG PROFESSIONALS

RECORDS RETENTION AND  
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF  
EXECUTIVE MANAGEMENT  
  
BUREAU OF  
ADMINISTRATION

PBM 01234

**RECORDS MANAGEMENT PROGRAM**

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Phone: (605) 773-3589

## 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: Licensing Boards  
PROGRAM: CBADP  
RECORDS OFFICER: Rachel Comes  
RM CUSTOMER #: 0102

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**CBADP-1. ADMINISTRATIVE REFERENCE FILES:**

**07-061**

This series contains information used in the daily administration of the Certification Board for Alcohol & Drug Professionals (CBADP). Information may include: administrative rules, standards manual, code of ethics, policies and procedures, fax reports, copier monthly reports, professional license restriction reports, phone log, and any other paperwork related to daily administration. This record series is maintained for reference purposes.

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 Destroy superseded or obsolete.

**CBADP-2. APPLICATION FILE:**

**07-061**

This series is arranged alphabetically by applicants' last name and documents the personal data of individuals applying for certification. Information (if relevant to their level of certification) may include: original application, college grade transcripts, references, internship verification, examination scores, and any other information requested by the Board. This record series is used to determine eligibility for certification.

**RETENTION:** SUCCESSFUL APPLICANTS: Transfer to respective "Counselor & Prevention Specialist Files, Active" or "Student Internship & Trainee Files, Active".

UNSUCCESSFUL APPLICANTS: Transfer to respective Counselor, Prevention Specialist, Trainee, or Student Internship inactive file.

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**CBADP-3. APPROVED COURSEWORK FILE:**

**07-061**

This series contains a listing of all approved coursework for certification and any related supporting documents. Information may include: course name and number; college or university where the course is offered; which requirement the course is approved for; number of credit hours; and course syllabus. This record series is maintained for informational purposes for individuals seeking certification.

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 Destroy superseded or obsolete.

**CBADP-4. BOARD APPOINTMENT FILES:**

**07-061**

This series is arranged chronologically and contains paperwork for current and past board members. Information may include: welcome letters, notice of appointment/re-appointment from the Governor, letters of resignation, appointment terms, miscellaneous correspondence, terms, and service. This record series is maintained for reference.

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

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**CBADP-5. BOARD MEETING MINUTES:**

**07-061**

This series is arranged chronologically by meeting date and contains copies of agendas and minutes from each board meeting. Information may include: committee names, dates of meetings, members present, topics discussed, actions taken, and authorized signatures. This record series is maintained for reference concerning actions taken and reporting purposes.

**RETENTION:** Retain permanently in office.

(Note: Consider microfilming when volume warrants.)

**CBADP-6. COMPLAINT FILES:**

**07-061**

This series is arranged chronologically by date received and contains all related correspondence generated regarding complaints filed by clients, other certified professionals, the Board, or from the general public against any professionals certified or recognized through the CBADP. Information may include: original complaint, related correspondence, investigation of the allegation, conclusion, and all other related material. This record series is maintained to document all complaints, substantiated and unsubstantiated; and used to aid the Board in taking any corrective action deemed necessary.

**RETENTION: UNSUBSTANTIATED:** Retain 3 years in office, then destroy.

**SUBSTANTIATED:** Transfer to respective Counselor, Prevention Specialist, Trainee, or Student Internship file.

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**CBADP-7. CONTINUING EDUCATION FILE:**

**07-061**

This series is arranged chronologically by date of event and contains approved continuing education requests from program sponsors or attendees. Information may include: request for approval of continuing professional training and supporting documentation. This record series is used to verify trainings that meet the CBADP's continuing education standards.

**RETENTION:** Retain 3 years in office, then destroy.

**CBADP-8. CONTRACT AND AGREEMENTS:**

**07-061**

This series is arranged alphabetically and contains contracts and agreements between the CBADP and other parties. Information may include: terms and conditions, effective dates, costs, and funding sources. This record series is maintained for reference and audit purposes.

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

Retain reference copies current in office. Destroy terminated.

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

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**CBADP-9. COUNSELOR, PREVENTION SPECIALIST, TRAINEE, & STUDENT INTERNSHIP FILES, INACTIVE:**

**07-061**

This series is arranged alphabetically by last name and contains information on counselors, prevention specialist, student internship, and trainees who are inactive and have been deleted from the database. Information may include: applications, transcripts, test scores, correspondence, copies of certificates and cards, credential verifications, continuing education audits, and a printout of database records. This record series is maintained to document previous certifications, recognitions and renewals of all inactive counselors, prevention specialists, student internship, and trainees.

**RETENTION:** INACTIVE COUNSELOR & PREVENTION SPECIALIST FILES: Retain for 70 years or for the life of counselor, then destroy.

INACTIVE TRAINEE & STUDENT INTERNSHIP FILES:  
Destroy 3 years after inactive.

(Note: Consider microfilming inactive counselor and prevention specialist files when volume warrants.)

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**CBADP-10. CORRESPONDENCE, FEDERAL:**

**07-061**

This series is arranged chronologically and contains copies of letters and memorandums sent, and the originals of letters and memorandums received from any federal agency. This record series is maintained for reference and for possible use when federal litigations, claims, or audits are pending.

**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.

**CBADP-11. CORRESPONDENCE, GENERAL:**

**07-061**

This series is arranged chronologically and contains copies of letters and memorandums sent, and the originals of letters and memorandums received. This record series is maintained for reference and documentation purposes.

**RETENTION:** Retain 2 years in office, then destroy.

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**CBADP-12. COUNSELOR & PREVENTION SPECIALIST FILES, ACTIVE:**

**07-061**

This series is arranged alphabetically by last name and contains information on certified counselors or prevention specialists who are active in the database. Information may include: applications, transcripts, test scores, correspondence, copies of certificates and cards, credential verifications, and continuing education audits. This record series is maintained to document the certification and renewals of all certified counselors and prevention specialist.

**RETENTION:** Retain active in office. Transfer inactive to “Counselor, Prevention Specialist, Trainee, & Student Internship Files, Inactive”.

**CBADP-13. CPM TRAINING MATERIALS:**

**07-061**

This series contains materials used to train and refresh Case Presentation Method (CPM) evaluators. Information may include: training manuals and videos. This record series is maintained for training purposes.

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

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**CBADP-14. FINANCIAL FILES:**

**07-061**

This series is arranged chronologically and contains information regarding money receipts and payables. Information may include: state cash log, copies of bills, and copies of travel vouchers. Information on the state cash log may include: date received, check number, payer, what funds are for, and amount of check. This record series is maintained for office reference. The State Treasurer's Office and the State Auditor's Office maintain the originals.

**RETENTION:** Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

**CBADP-15. INTERNATIONAL CERTIFICATION & RECIPROCITY  
CONSORTIUM (IC&RC) FILE:**

**07-061**

This series is arranged chronologically and contains information and correspondence with IC&RC. Information may include: board member directory, compliance reviews, yearly membership dues report, and any other correspondence between the CBADP and IC&RC. This record series is maintained for reference purposes and for reciprocity.

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

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**CBADP-16. LOGS:**

**07-061**

This series contains various logs created and maintained by staff. Logs may include: trainee log, student internship log, certified chemical dependency counselor log, prevention specialist log, and ethics complaint log. Information may include: certificate number, name, issue date, expiration date, fees paid, file number, name of the person the complaint is filed against, complainant, summary of complaint, action taken, and date closed. This record series is maintained for reference purposes.

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

**CBADP-17. PERFORMANCE APPRAISALS:**

**07-061**

This series contains the original performance appraisals for the CBADP employees. Information may include: checklist denoting the areas discussed and supervisor and employee comments. Evaluations are required to ensure communication between supervisors and employees and to provide documentation of an employee's performance. This record series is maintained for audit purposes pursuant to Equal Opportunity Commission requirement.

**RETENTION:** Retain 3 years, then destroy.

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**CBADP-18. STUDENT INTERNSHIP & TRAINEE FILES, ACTIVE:**

**07-061**

This series is arranged alphabetically by last name and contains information on recognized chemical dependency counselor trainees, prevention specialist trainees, and student internship who are active in the database. Information may include: applications, transcripts, test scores, correspondence, copies of certificates, and continuing education audits. This record series is maintained to document the recognitions and renewals of all chemical dependency counselor trainees, prevention specialist trainees, and student internship.

**RETENTION:** Retain active in office. Transfer inactive to “Counselor, Prevention Specialist, Trainee, & Student Internship Files, Inactive”.

**CBADP-19. SUPERVISORY WORKING FILE:**

**07-061**

This series is arranged alphabetically by last name and contains current information used in supervision of employees. Information may include: copies of applications for employment, letters of reprimand and commendation, meeting notes, training records, and any information related to the day-to-day supervision of employees. This record series is maintained for reference purposes and for reviewing during employee evaluation process. The Bureau of Personnel maintains the original applications.

**RETENTION:** At your discretion, retain current in office. Destroy superseded or obsolete or if no longer working in department.

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**CBADP-20. SURVEYS:**

**07-061**

This series is arranged numerically by last four digits of social security number and contains surveys completed by certified or recognized professionals at the request of the Board. Information may include: last four digits of social security number, age, gender, status with the CBADP, education information, salary range, ethnicity, and opinions on various aspects of the CBADP. This record series is maintained for reference purposes and guidance to the Board for proposed changes.

**RETENTION:** Retain 3 years in office, then destroy.

**CBADP-21. TESTING MATERIALS:**

**07-061**

This series is arranged chronologically by test date and contains information for each written and oral testing cycle. Information may include: schedules, proctor manual, proctor agreement, test scores, sign in sheet, and all related correspondence and materials. This record series is maintained to document each testing cycle for reference purposes.

**RETENTION:** At your discretion, retain current in office. Destroy superseded or obsolete.

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**CBADP-22. TIME SHEETS/LEAVE REQUESTS:**

**07-061**

This series is arranged chronologically and contains time sheets and corresponding leave requests submitted by employees. Information may include: name, social security number, pay period ending date, dates worked, dates of leave, hours worked, hours of leave taken, type of leave, and employee and supervisor signatures. This record series is maintained to document hours worked and to initiate the payroll process.

**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.