



BOARD OF COUNSELOR
EXAMINERS

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

DEPARTMENT: Social Services
DIVISION: Community Behavioral Health
OFFICE: Licensing Boards
PROGRAM: Board of Counselor Examiners
RECORDS OFFICER: Rachel Comes
RM CUSTOMER #: 1171

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

02-001

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the agency. Information may include: vendor information, mailing list, file management, administrative rules, South Dakota Codified Laws, current state purchasing contracts, operations guides, administrative messages from other governmental agencies, and other related information. This record series is maintained for reference purposes.

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 Destroy superseded or obsolete.

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CE-2. ADMINISTRATIVE RULES PROMULGATION FILES:

02-001

This series is arranged by subject matter and contains administrative rules promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comment from the public, transcripts of 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 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 after microfilm has been inspected and verified to meet quality standards.)

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CE-3. ASSOCIATIONS AND ORGANIZATIONS FILES

02-001

This series is arranged alphabetically and contains current correspondence and newsletters from professional associations and organizations to which the Board of Counselor Examiners belongs. Information may include: minutes of the association or organization meetings, conference agendas, participants' names, and examples of other states' legislation. This record series is maintained for reference purposes concerning ideas and policies suggested and used by the association or organization.

RETENTION: Retain 2 years in office, then destroy.

CE-4. AUDIT REPORTS:

02-001

This series contains the Department of Legislative Audit reports concerning the expenditure and administration of state funds. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be taken. The auditing agency also maintains a copy of the report.

RETENTION: Retain 3 years in office, then destroy.

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

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CE-5. BOARD MEMBER FILES:

02-001

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

RETENTION: Retain current in office. Transfer terminated to storage for 3 years. Destroy 3 years after termination provided sufficient data on hours worked and compensation received is 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.

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CE-6. BUDGET FILES:

02-001

This series is arranged chronologically and contains the yearly budget summaries for the agency. Information may include: mission statement, revenues, program performance indicators, amounts budgeted by sub-object, and narrative justifications. This record series is maintained for use 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 and is filed permanently with the Secretary of State.

RETENTION: Retain 3 years in office, then destroy.

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

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CE-7. COMPLAINT FILES:

02-001

This series contains all related correspondence received from either the general public or initiated by the Board of Counselor Examiners concerning problems which have occurred with licensed or unlicensed counselors. Information may include: nature of complaint, related correspondence, investigation of the allegation, conclusion of the hearing, and all other related materials. This record series is used by the Board to determine if a complaint is substantiated and if so, to take corrective action and report to national reporting entities.

RETENTION: Retain unsubstantiated cases 3 years in office, then destroy.

Retain substantiated cases for 4 years in office, then transfer to storage for 2 years. Destroy after 6 years.

(Note: Consider microfilming substantiated cases when volume warrants.)

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CE-8. CONTINUING EDUCATION PROGRAM RECORDS:

02-001

This series is arranged numerically by date of program and contains approved continuing education requests from program sponsors. Information may include: the program request forms and supporting documentation. This record series is used to verify the programs meet the Board's continuing education standards.

RETENTION: Retain 3 years in office, then destroy.

CE-9. CONTRACTS AND AGREEMENTS:

02-001

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

RETENTION: Retain originals (copies of record) current in office. Destroy 6 years after terminated.

Retain reference copies current in office. Destroy 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.)

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CE-10. CORRESPONDENCE, GENERAL:

02-001

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.

CE-11. EXAMINATION FILES:

02-001

This series is arranged chronologically and contains information on license applicants registered to take counselor examinations. Information may include: the registration form with their name, address, and social security number, admission letters, and sigh in sheets. Results are filed in each respective examinee's licensing file.

RETENTION: Retain 2 years in office, then destroy.

CE-12. LEGISLATION FILES:

02-001

This series is arranged chronologically and constitutes the agency's central file of all proposed legislation and legislation from previous years. Information may include: resource materials, bill tracking printouts, copies of House and Senate bills, preliminary bill drafts, and the final drafts of proposed legislation. This record series 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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CE-13. LICENSE FILES, BOARD OF COUNSELOR EXAMINERS:

02-001

This series is arranged alphabetically by last name and documents personal data for licensed counselor examiners. Information may include: original applications, college grade transcripts, references, internship verification, experience verification, renewal applications, and renewal dates. This record series is used to document the licensing and renewal processes of all counselor expiration.

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

CE-14. MINUTES:

02-001

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

RETENTION: Retain 3 years in office, then destroy.

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CE-15. RECEIPT BOOKS:

02-001

This series is most often arranged chronologically and contains forms issued to document the receipt of money. Receipts are pre-numbered and may include: date money was received, amount received, funds and accounts to be credited, the amount to be credited, and signature of the person receiving the money. This record series is maintained 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.

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CE-16. SOUTH DAKOTA FINANCIAL SYSTEM REPORTS:

02-001

These daily, weekly, monthly**, and year-end** reports are used to monitor and reconcile fiscal year receipts and expenditures. Information may include: revenue and journal voucher report*, advance travel-accounts receivable reports, revenue analysis report, state general ledger trial balance*, company general ledger trial balance*, expenditure report*, bank reconciliation report*, employee receivables report*, warrant register report*, projects report*, budget adjustments report, special Bureau of Administration revenue report, agency funds activity report*, company 8000 trial balance by center*, encumbrance balances report*, and special travel expenditure report. The reports are maintained for audit purposes.

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

(Note: The asterisk (*) indicates reports maintained permanently on microfilm or COM by the Bureau of Finance and Management. (**) Many of the June monthly reports serve as the year-end reports.)

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CE-17. VOUCHERS:

02-001

This series may contain copies of travel, non-cash direct, receiving, and journal vouchers. Each voucher includes: purpose of expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. Vouchers are used for reference to determine quantities and descriptions of supplies and services ordered, and for vendor information and for audit purposes. Audit copies of vouchers may also include attachments such as purchase orders, requisitions, invoices, and packing slips.

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