



BOARD OF
SOCIAL WORK 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: Social Work Examiners Board
RECORDS OFFICER: Rachel Comes
RM CUSTOMER #: 1198

RECORD		R.D.B.
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SW-1. ADMINISTRATIVE REFERENCE MATERIAL:

03-008

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the Board by the Executive Secretary. Information may include: correspondence, vendor information, mailing lists, file management, administrative rules, codified laws, license ledgers, and other information of interest or benefit to the Executive Secretary or staff. This record series is maintained for reference, decision making, and to maintain consistency with administrative policies.

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 Destroy superseded or obsolete.

(NOTE: Cull files at least once a year to avoid build-up of superseded or obsolete material.)

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SW-2. ADMINISTRATIVE RULES PROMULGATION FILES:

03-008

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 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 after microfilm has been inspected and verified to meet quality standards.)

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SW-3. AGENDAS, BOARD MEETINGS:

03-008

This series is arranged chronologically by meeting date and contains agenda items to be discussed at the next Board meeting. Information may include: date, time and location of the meeting, items under old business, items under new business, financial information, and any licensure related issues. This record series is used to determine the course of the board meetings.

RETENTION: Retain current in office. Destroy any superseded or obsolete agendas once the meeting minutes have been approved.

SW-4. ANNUAL REPORTS:

03-008

This series is arranged chronologically and contains the originals of all annual reports written by the Board to summarize its activities for the previous year. Information may include: number of licenses issued, number of inspections conducted (if applicable), number of violations noted, man hours, time reports, and other related information. A copy of this report is filed with the South Dakota Department of Commerce and Regulation annually. This record series is used for reference to compare activities from year to year.

RETENTION: Retain 5 years in office, then transfer to State Archives.

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SW-5. APPLICATION FILES:

03-008

This series is arranged alphabetically by applicants' last name and documents the personal data of individuals applying for licensure. Information (if relevant to their level of licensure) 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 licensure.

RETENTION: SUCCESSFUL APPLICANTS: Transfer to the Licensee Files to be retained 5 years in office after expiration, then microfilm and maintain film for 70 years or for the life of the licensee.

UNSUCCESSFUL APPLICANTS: Transfer to the Applicant Files, Deficient to be retained 5 years in office, then destroy.

(NOTE: Within 5 years of application date, Deficient Files may become Licensee Files if the applicant has provided all necessary documentation, has met all licensure requirements, and has been approved by the Board.)

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SW-6. APPLICANT FILES, DEFICIENT:

03-008

This series is arranged alphabetically and documents personal data of individuals applying for licensure and is a deficient application file. Information (if relevant to their level of licensure) may include: original application, college grade transcripts, references, internship verification, experience verification, and any other information requested by the Board. Applicant has five years to attain licensure approval from the Board before this file is destroyed, then the applicant must start the entire application process over again.

RETENTION: Retain 5 years in office, then destroy.

(NOTE: Within 5 years of application date, Deficient Files may become Licensee Files if the applicant has provided all necessary documentation, has met all licensure requirements, and has been approved by the Board.)

SW-7. ASSOCIATION FILES:

03-008

This series is arranged alphabetically and contains the current correspondence and newsletters from professional associations to which the Social Work Examiners Board belongs. Information may include: minutes of association meetings, conference agendas, and expense reports. This record series is used for reference purposes concerning ideas and policies suggested and used by these associations.

RETENTION: Retain 1 year in office, then destroy.

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SW-8. ATTORNEY GENERAL OPINIONS:

03-008

This series contains official opinions handed down by the State Attorney General's Office concerning questions pertaining to the Social Work Examiners Board. This record series is used for occasional reference and as support for the administrative decisions made and actions taken.

RETENTION: Retain 3 years in office, then destroy.

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

SW-9. BOARD APPOINTMENT FILES:

03-008

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

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

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SW-10. BUDGETARY ACCOUNTING/MSA REPORTS:

03-008

These daily, weekly, monthly, and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures for the Board. Reports may include: Daily and/or Monthly Revenue and Journal Voucher Reports, Daily Transaction Progress Reports, Accounts Receivable Reports, General Ledger Reports, Warrant or Payment Registers, Monthly Expenditure Reports, and Annual Budget Reports. This record series is maintained for audit purposes.

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.

SW-11. CASH RECEIPT TRANSMITTALS:

03-008

This series is arranged chronologically and contains the standard forms used to deposit funds into the State Treasury. Information may include: date, agency name, agency number, accounting codes, memorandums, dollar amounts, total deposits, and authorized signatures. This record series is maintained for documenting and crediting each account with the amount deposited.

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.

(NOTE: The State Treasurer's Office maintains the originals.)

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SW-12. COMPLAINT FILES:

03-008

This series is arranged alphabetically by licensee name and contains all related correspondence either received from the general public or initiated by the Board concerning problems which have occurred with social workers, social work associates, certified social workers, and certified social workers engaged in private independent practice (PIP). Information may include: nature of complaint, related correspondence, investigation of the allegation, conclusion of the investigation, final determination, stipulations and agreements, and other related material. This record series is used by the Board to determine if a complaint is substantiated and, if so, to take corrective action against the licensee. If a complaint is substantiated, a copy of the final determination is placed into the respective "Licensee File, Active."

RETENTION: UNSUBSTANTIATED: Retain 5 years in office after final determination, then destroy.

(NOTE: If like complaint exists within this 5 years, then retain like complaints for 10 years, then destroy.)

SUBSTANTIATED: Retain 5 years in office, place a copy of the final determination into the respective "Licensee File, Active," then microfilm all related documentation and maintain film for 70 years or for the life of the licensee.

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SW-13. COMPLAINT, NON-JURISDICTIONAL:

03-008

This series is arranged alphabetically by name of the person or facility named in the complaint and contains correspondence regarding allegations about persons or facilities not licensed by the Board, not licensed by the Board at the time of allegation, or other matters the Board cannot take any remedial action to investigate or rectify. Information may include: name of complainant, date and circumstances surrounding alleged activity, and related correspondence between the complainant and the Board. This record series is used to document consumer complaints or allegations about individuals or issues over which the Board has no jurisdiction.

RETENTION: Retain 3 years in office, then destroy.

SW-14. CONTINUING EDUCATION PROVIDER FILES:

03-008

This series is arranged chronologically by date of class and contains documentation regarding approved continuing education courses, classes, or programs. Information may include: the approval request form, date of program, curriculum, and supporting documentation. This record series is used to verify that continuing education courses meet the Board's standards.

RETENTION: Retain 2 years in office, then destroy.

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SW-15. CONTRACTS AND AGREEMENTS:

03-008

This series is arranged chronologically, then by name of contractor and contains reference copies of contracts and agreements in which the Board may have an interest. It also contains the Board's copy of contracts and agreements between the Board 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 (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 consulting contracts be filed with the State Auditor.)

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SW-16. CORRESPONDENCE, GENERAL:

03-008

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

RETENTION: Retain 2 years in office, then destroy.

SW-17. LEGISLATION FILES:

03-008

This series is arranged chronologically and constitutes the Social Work Examiners Board's central file of all proposed legislation and legislation from previous years. Information may include: resource material, correspondence, Bill Tracking Printouts, copies of House and Senate bills, national legislation, 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 2 years in office, then destroy.

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SW-18. LICENSEE FILES, ACTIVE:

03-008

This series is arranged alphabetically by last name of licensee and documents personal data for licensed social workers, social work associates, certified social workers, and certified social workers engaged in private independent practice (PIP). Information may include (if relevant to their level of licensure): original application, college grade transcripts, examination scores and related information, references, internship verification, verification of experience, requests for name changes, most current renewal application, and renewal date. This record series is used to document the licensure and renewal process of all Social Workers.

RETENTION: Retain 5 years in office after expiration, then microfilm and maintain film for 70 years or for the life of the licensee.

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SW-19. LICENSEE FILES, INACTIVE:

03-008

This series is arranged alphabetically by last name of licensee and documents personal data for licensed but inactive social workers, social work associates, certified social workers, and certified social workers engaged in private independent practice (PIP). Information may include (if relevant to their level of licensure): original application, college grade transcripts, examination scores and related information, references, internship verification, verification of experience, requests for name changes, most current renewal application, and renewal date. This record series is used to document the licensure and renewal process of all Social Workers.

RETENTION: Retain 5 years in office after expiration, then microfilm and maintain film for 70 years or for the life of the licensee.

(NOTE: Whenever an Active Licensee does not renew within the timeframe prescribed by law, the Active Licensee file becomes an Inactive Licensee file, until such time the licensee either reactivates his license or allows his license to expire completely.)

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SW-20. LICENSE NUMBER LISTS:

03-008

This database series is arranged alphabetically by last name of licensee for each license type issued by the Social Work Examiners Board. Information may include: license number, licensee name and address, level of licensure, and expiration/renewal date. This record series is used for licensure verification.

RETENTION: Retain current information. Delete superseded or obsolete.

SW-21. MINUTES, SOCIAL WORK EXAMINERS BOARD:

03-008

This series is arranged chronologically and contains the official minutes of the Social Work Examiners Board meetings. Information may include: date of meeting, members present, topics discussed, and actions taken. This record series is used for occasional reference and to document action taken by the Board.

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

SW-22. POLICIES AND PROCEDURES:

03-008

This series is arranged by topic and contains the current procedures or policies implemented by the Board. Information may include the Board's position or interpretation of issues and policies and date of implementation or adoption. This record series is used to determine the proper course of action to take in certain situations.

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

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SW-23. SOCIAL WORK ASSOCIATE VALIDATION FILES:

03-008

This series is arranged chronologically by year, then alphabetically and contains validation of supervision forms submitted annually by social work associates. Information may include: name of associate, information regarding supervisor, and length and frequency of supervision. This record series is maintained to verify supervision of social work associates and the professional competence of the licensee.

RETENTION: Retain 5 years in office, then destroy.

SW-24. SURVEYS:

03-008

This series is arranged chronologically and contains surveys conducted by membership associations throughout the country. Information may include: date survey was conducted, issues, legislation, licensure numbers, degrees, application process, and any relative information obtained via survey from sources and licensees. This record series is used mainly for reference purposes and may be used to develop new policies or legislation to address various national issues.

RETENTION: Retain 3 years in office, then destroy.

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SW-25. VOUCHERS AND PAYROLL INFORMATION:

03-008

This series is arranged chronologically and may contain copies of travel, non-cash, direct, receiving, and journal vouchers and Board payroll information. Each voucher may include: nature of expense, fund expended from, date, who the funds went to or what account they were transferred to, and authorized signatures. Board member payroll information may include: name, social security number, time worked, and authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, for Board member payroll information, and for audit purposes.

RETENTION: Retain 2 year 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.