



OFFICE
OF
STATE ENGINEER

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Administration
Records Management Program
104 S Garfield Avenue; Building E
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Pierre, South Dakota 57501-5070

2022

PROJECT STAFF

Scott Bollinger, Commissioner
Bureau of Administration

The employees of the Office of State Engineer who contributed their time to explain the purpose and review the content of each record.

Rick Augusztin, Records Officer
Bureau of Administration

Dana Hoffer
State Records Manager

STATE RECORD DESTRUCTION BOARD

Scott Bollinger, Commissioner
Bureau of Administration
(Chairman)

Jenny Jorgenson
Office of the Attorney General

Chelle Somsen, State Archivist
Department of Education

Jenna Latham
Office of the State Auditor

Russell Olson, State Auditor General
Legislative Audit

Dana Hoffer
State Records Manager



MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

SUBJECT: **Records Retention and Destruction Schedule Manual**

DATE: December 13, 2022

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.”

Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.

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 and supporting documents; warrants; personnel and payroll records; client/case files; capital asset inventories; cash receipts; and duplicate copies of state publications.

The State Archivist has 30 days to certify that the records have no permanent value and may be destroyed, or to make arrangements for the transfer of records to state 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.

PETITION FOR AUTHORITY TO DESTROY RECORDS

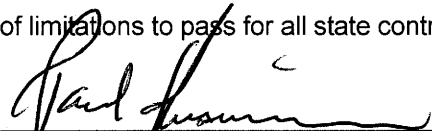
I, Paul Kinsman (name), acting in my position as Commissioner of the Bureau of Administration (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Office of State Engineer (department) consists of 4 pages and contains record series number(s) OSE-1 (consecutively re-numbered) through OSE-6.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Office of State Engineer (department) consists of 5 pages and contains record series number(s) OSE-3, OSE-4, OSE-5, OSE-6, OSE-8, OSE-9, and OSE-12.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Paul Kinsman, Commissioner of Bureau of Administration

11-14-14

Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.



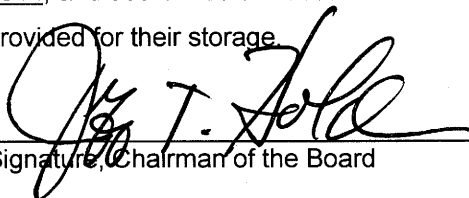
Dana Hoffer, State Records Manager

12/1/2014

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 10th day of December, 2014, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.



Signature, Chairman of the Board

12-10-2014

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Jeff T. Holden (name), acting in my position as Commissioner of the Bureau of Administration (title), requests that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19, and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Office of State Engineer (department) consists of 1 page and contains record series number(s) OSE-3.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Jeff T. Holden, Commissioner of Bureau of Administration

11-4-16

Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.



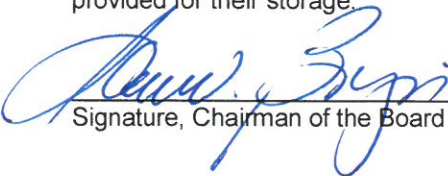
Dana Hoffer, State Records Manager

12-1-2016

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 20th day of December, 2016, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.



Signature, Chairman of the Board

12-20-16

Date

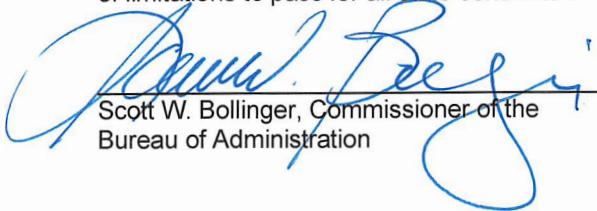
PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Scott W. Bollinger, acting in my position as the Commissioner of the Bureau of Administration, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Office of the State Engineer consists of 2 page(s) and contains record series number(s) OSE-1 and OSE-3.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Scott W. Bollinger, Commissioner of the
Bureau of Administration

10/31/2022

Date

The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.



Dana Hoffer, State Records Manager

11/1/22

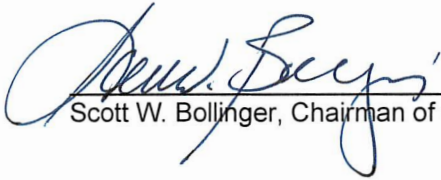
Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 12th day of December, 2022 and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 22-010.**



Scott W. Bollinger, Chairman of the Board

12-12-2022
Date

South Dakota Codified Laws:

1-27-1. Public records open to inspection and copying. Except as otherwise expressly provided by statute, all citizens of this state, and all other persons interested in the examination of the public records, as defined in § 1-27-1.1, are hereby fully empowered and authorized to examine such public record, and make memoranda and abstracts there from during the hours the respective offices are open for the ordinary transaction of business and, unless federal copyright law otherwise provides, obtain copies of public records in accordance with this chapter.

Each government entity or elected or appointed government official shall, during normal business hours, make available to the public for inspection and copying in the manner set forth in this chapter all public records held by that entity or official.

1-27-1.1. Public records defined. Unless any other statute, ordinance, or rule expressly provides that particular information or records may not be made public, public records include all records and documents, regardless of physical form, of or belonging to this state, any county, municipality, political subdivision, or tax-supported district in this state, or any agency, branch, department, board, bureau, commission, council, subunit, or committee of any of the foregoing. Data which is a public record in its original form remains a public record when maintained in any other form. For the purposes of §§ 1-27-1 to 1-27-1.15, inclusive, a tax-supported district includes any business improvement district created pursuant to chapter 9-55.

1-27-9. Records management programs--Definition of terms. Terms used in §§ 1-27-9 to 1-27-18, inclusive, mean:

(2) "Record," a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in §§ 1-27-9 to 1-27-18, inclusive.

1-27-11. Board to supervise destruction of records--State records manager as ex officio member--Permission required for destruction. There is hereby created a board consisting of the commissioner of administration, state auditor, attorney general, auditor-general, and state archivist to supervise and authorize the destruction of records. The state records manager shall also serve as an ex officio member in an advisory capacity only. No record may be destroyed or otherwise disposed of by any agency of the state unless it is determined by majority vote of the board that the record has no further administrative, legal, fiscal, research, or historical value.

1-27-15. Destruction of non-record materials. Any non-record material not included within the definition of records as contained in § 1-27-9 may be destroyed at any time by the agency in possession of such materials without the prior approval of the commissioner of administration.

Notes, Record Handling, & Definitions:

Notes:

- Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.

Record Handling:

- EDMS = Electronic Document Management System (used to manage the creation, storage, capture, distribution, retention, and retrieval of documents within a centralized repository).
- Unless this records retention and destruction schedule specifies otherwise, retain scanned paper for 3 business days after a system-level backup of the records has occurred, then destroy provided all images have been verified to be accurate and complete.
- BIT's system-level backups occur daily.
- Consider converting long-term/permanent retention electronic images to microfilm.
- Records retention rules apply to all records, regardless of the media on which they reside.
- If records are being retained only in electronic format, the record must remain accessible for the entire retention requirement.
- Records, regardless the format, relevant to pending or reasonable anticipated litigation must be preserved even if this manual allows for its destruction.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT: Executive Management
DIVISION: Bureau of Administration
OFFICE: Office of the State Engineer
PROGRAM: _____
RECORDS OFFICER: Rick Augusztin
RM CUSTOMER #: 0035

<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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OSE-1. ADMINISTRATIVE REFERENCE FILE:

22-010

This electronic 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: budget, equipment, inventory, legislation, organization/association, and property management information; monthly reports; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and any other related information. This record series is maintained for reference purposes.

RETENTION: Retain current. Destroy superseded or obsolete.

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

OSE-2. CONTRACTS, SUPPLEMENTAL POWER USAGE:

14-003

This series contains original contract and agreements between the program and various utility companies to provide supplemental electric power at the various agencies. Information may include: terms and conditions of the contract, effective dates, cost, and funding source. This record series is maintained for reference and documentation purposes.

RETENTION: Retain originals current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated.

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

DEPARTMENT: Executive Management
DIVISION: Bureau of Administration
OFFICE: Office of the State Engineer
PROGRAM: _____
RECORDS OFFICER: Rick Augusztin
RM CUSTOMER #: 0035

<u>RECORD SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B. AUTHORITY NUMBER</u>
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OSE-3. OSE PROJECT FILES:

22-010

This paper and/or electronic series is arranged numerically by project number and contains the Office of State Engineer (OSE) project files. Project files may include: original construction, renovations/remodels, updates, and asbestos projects. Information may include: project plans and specifications; shop drawings; record/measured/as-built drawings; project master work files; preliminary plans; project correspondence; testing information; contracts and supporting documentation; vouchers; Request for Proposal (RFP); Request for Information (RFI); Leadership in Energy and Environmental Design (LEED) certification; payment requests; reports; and any documents associated with litigation on the project. This record series is maintained to oversee all projects undertaken.

RETENTION: CONTRACTS AND BID DOCUMENTS; COST RECORDS; PLANS (#1 FINAL) AND SPECIFICATION BOOK; RECORD/MEASURED/AS-BUILT DRAWINGS; LEED BUILDING CERTIFICATES; AND OPERATIONS & MAINTENANCE MANUALS: Retain electronically in an Electronic Document Management System (EDMS) for the life of the structure. Destroy or transfer to new owner when the State of South Dakota demolishes or otherwise disposes of the structure.

RECORD/MEASURED/AS-BUILT DRAWINGS: Retain a physical copy for the life of the structure. Destroy or transfer to new owner when the State of South Dakota demolishes or otherwise disposes of the structure.

SHOP DRAWINGS; PRELIMINARY DRAWINGS; PROCESS DRAWINGS; SCHEMATIC/DESIGN PHASE DRAWINGS AND DOCUMENTS; CORRESPONDENCE; AND OTHER RELATED MATERIALS: Retain a physical copy in office or electronic images/files in an Electronic Document Management System (EDMS) for 10 years. Destroy 10 years after the project has closed provided no pending litigation.

(Note: Review and purge files on a yearly basis to avoid build-up of superseded material.)

(Note: Electronic images are subject to screening by State Archives prior to disposal.)

(Note: Prior to 2014, the Office of the State Engineer maintained Project Files and Plans on microfilm. Consider converting electronic images to microfilm when volume warrants.)

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

DEPARTMENT: Executive Management
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<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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OSE-4. RECORDS MANAGEMENT FILES:

14-003

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.

OSE-5. SPECIFICATIONS, GENERAL:

14-003

This series contains resource material used by the engineers. Information includes: master specifications used for reference when drawing up individual project specifications, and standards as required by the State Fire Marshal and other regulatory agencies. They are used for reference when planning new construction.

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

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

DEPARTMENT: Executive Management
DIVISION: Bureau of Administration
OFFICE: Office of the State Engineer
PROGRAM: _____
RECORDS OFFICER: Rick Augustin
RM CUSTOMER #: 0035

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

OSE-6. SURPLUS PROPERTY FILES:

14-003

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.