



DEPARTMENT OF CORRECTIONS

ADMINISTRATION OFFICE

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Administration
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2021

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The employees of the Department of Corrections who contributed their time to explain the purpose and review the content of each record.

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: July 14, 2021

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.

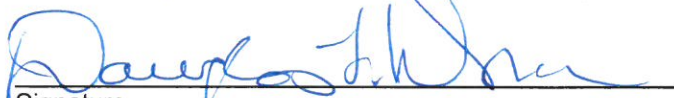
PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Doug Weber (name), acting in my position as Interim Secretary of the Department of Corrections (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 Department of Corrections (department) consists of 117 pages and contains record series numbers DOC-1 (consecutively numbered) DOC-81; ADULT-1 (consecutively numbered) ADULT-87; JCA-1 (consecutively numbered) JCA-14; PS-1 (consecutively numbered) PS-35; PI-1 (consecutively numbered) PI-14; and STAR-1 (consecutively numbered) STAR-78.

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.


Signature

12/8/04
Date


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


Signature, State Records Manager

12-9-04
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 17th day of December, 2004, 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

12-17-04
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Mike Leidholt, acting in my position as Secretary of the Department of Corrections, 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 Department of Corrections consists of 1 page(s) and contains record series number(s) DOC-39.

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.

Mike Leidholt

Mike Leidholt (May 13, 2021 17:52 CDT)

Mike Leidholt, Secretary of the Department
of Corrections

05/13/2021

Date

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

Dana Hoffer

Dana Hoffer, State Records Manager

5/14/2021

Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 14th day of July, 2021 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 21-003.**



Scott W. Bollinger, Chairman of the Board

7-14-2021
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:

- 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.
- Pursuant to Executive Reorganization Order No. 2011-01, Appraiser Certification under the Division of the Secretary was transferred to the Department of Labor and Regulation effective April 12, 2011. Record series numbers DRR-13 thru DRR-26 have been removed from this manual.

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.

TABLE OF CONTENTS

DEPARTMENT: Department of Corrections

DIVISION: Office of Secretary

OFFICE: Administration Office

PROGRAM: Finance and Administration

DOC-1. ADMINISTRATIVE REFERENCE FILES:.....	1
DOC-2. ADMINISTRATIVE REMEDY PROCESS, SECRETARY DOC:	1
DOC-3. ADMINISTRATIVE RULES PROMULGATION FILES:	2
DOC-4. AGENDAS:.....	3
DOC-5. ANNUAL REPORTS:	3
DOC-6. ASSOCIATION AND ORGANIZATION FILES:.....	3
DOC-7. ATTORNEY GENERAL OPINIONS:.....	4
DOC-8. AUDIT REPORTS:	4
DOC-9. BAD DEBT/COLLECTIONS:	5
DOC-10. BOILER INSPECTION REPORTS:.....	6
DOC-11. BUDGET FILES:.....	6
DOC-12. BUDGET REQUESTS:	7
DOC-13. BUILDING AND LAND SURVEY:	7
DOC-14. CASE MANAGEMENT FILE:.....	7
DOC-15. CASH RECEIPTS:	8
DOC-16. CIVIL RIGHTS INFORMATION:	8
DOC-17. COMMUTATIONS:.....	9
DOC-18. CONTRACTS AND AGREEMENTS:.....	9
DOC-19. CONVEYANCE OF CONVICTS:.....	10
DOC-20. CORRESPONDENCE, FEDERAL:	10
DOC-21. CORRESPONDENCE, GENERAL:	10
DOC-22. CORRESPONDENCE, GOVERNOR'S:.....	11
DOC-23. CORRESPONDENCE, INMATES:	11
DOC-24. CREDIT CARD REPORTS:	11
DOC-25. CRIMINAL JUSTICE STUDIES:	12
DOC-26. CURRICULUM COMMITTEE:	12
DOC-27. DATA SYSTEM CODEBOOKS/MANUALS:	13
DOC-28. DEPARTMENTAL POLICIES AND PROCEDURES:.....	13
DOC-29. DESCRIPTION, JOBS:	13
DOC-30. DISCHARGE CERTIFICATES:	14
DOC-31. EDUCATION AND TRAINING FILE:	14
DOC-32. E-MAIL RECORDS:.....	14
DOC-33. GOVERNOR'S BUDGET BOOKS:.....	15

TABLE OF CONTENTS

DOC-34.	GOVERNOR'S MONTHLY REPORTS:	15
DOC-35.	GRANT FILES:	16
DOC-36.	GRIEVANCES:.....	16
DOC-37.	GRIEVANCES, EMPLOYEES:	16
DOC-38.	HEARING LIST:	17
DOC-39.	INMATE BANKING RECORDS:	17
DOC-40.	INSPECTOR GENERAL REPORTS:	17
DOC-41.	INTERSTATE COMPACT GENERAL FILES:	18
DOC-42.	INVENTORY, CAPITAL ASSETS:.....	18
DOC-43.	JUVENILE CORRECTIONS MONITOR:	19
DOC-44.	JUVENILE FILES:	20
DOC-45.	JUVENILE/YOUTH REFERENCE MATERIAL:.....	20
DOC-46.	LEAVE BALANCE PRINTOUTS:.....	21
DOC-47.	LEAVE REQUESTS:	21
DOC-48.	LEGAL ACTION FILES:.....	21
DOC-49.	LEGISLATION FILES:.....	22
DOC-50.	LETTERS OF INTENT:	22
DOC-51.	MAINTENANCE AND REPAIR RECORDS:	23
DOC-52.	MINUTES, COMMISSION:	23
DOC-53.	MINUTES, SD BOARD OF CHARITIES AND CORRECTIONS:	23
DOC-54.	MONTHLY AGENCY REPORTS:	24
DOC-55.	MONTHLY STATISTICAL REPORTS:	24
DOC-56.	NEWSLETTERS:	24
DOC-57.	PAROLE FILES:	24
DOC-58.	PERFORMANCE APPRAISALS:.....	25
DOC-59.	PERSONNEL FILES:	25
DOC-60.	PERSONNEL/PAYROLL REPORTS:	25
DOC-61.	PHOTOGRAPH FILE:	26
DOC-62.	PHYSICAL PLANT FACILITY STUDY:	26
DOC-63.	POLICIES AND PROCEDURES:	26
DOC-64.	PRESENTATION MATERIALS:	27
DOC-65.	PRINTING REQUESTS:	27
DOC-66.	PROJECT FILES:	28
DOC-67.	REORGANIZATION FILE:	28
DOC-68.	REQUESTS FOR INFORMATION:.....	28
DOC-69.	REQUESTS FOR PROPOSALS:	29
DOC-70.	REQUISITIONS:.....	29
DOC-71.	RULES AND REGULATIONS:.....	30
DOC-71.1.	SURPLUS PROPERTY FILES:	30
DOC-72.	SURVEYS:.....	31
DOC-73.	SWIFT BIRD DEVELOPMENT PROJECT:	31
DOC-74.	TAPES AND RECORDINGS:.....	31
DOC-75.	TELEPHONE MESSAGE RECORDS:	32
DOC-76.	TRAVEL REQUESTS:	32
DOC-77.	VOUCHER LOGS:.....	33

TABLE OF CONTENTS

DOC-78.	VOUCHERS:.....	33
DOC-79.	VICTIM'S COMPENSATION CLAIM FILES:.....	34
DOC-80.	WORKGROUPS:	34
DOC-81.	WORK RELEASE FILES:.....	35

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

<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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DOC-1. ADMINISTRATIVE REFERENCE FILES:

04-008

This series contains information used in the daily administration of the agency. Information may include: vendor information, mailing lists, file management, administrative rules, South Dakota Codified Law, current state purchasing contracts, operation guides, administrative messages from other governmental agencies, rules and regulations concerning personnel, affirmative action plans, salary schedules, classification and compensations, evaluation training guides, rating guide, and other related material. This record series is maintained for reference purposes.

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

DOC-2. ADMINISTRATIVE REMEDY PROCESS, SECRETARY DOC:

04-008

This series is arranged alphabetically and contains inmate appeals and complaints through the department's administrative remedy process. When attempts at informal resolutions are not successful, a process affording inmates a formal review of appeals and complaints is available. Information may include: inmate's name, number, original write-up, and any supporting documentation. This record series is maintained for reference purpose.

RETENTION: Retain in office until 5 years after the inmate is discharged from DOC custody, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: The Department of Corrections Secretary will respond to inmates Administrative Remedies within 30 days of receipt in accordance with policy and procedures.)

(Note: Consider microfilming when volume warrants.)

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

DOC-3. ADMINISTRATIVE RULES PROMULGATION FILES:

04-008

This series 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. The files have very 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 an administrative rule pursuant to SDCL 1-26.

RETENTION: FINAL DECISIONS: Retain permanently in office.

ALL OTHER DOCUMENTATION: Retain in office for as long as the 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 adoption of rules appearing in the 1974 printed ARSD.)

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

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------------------------------------	---	--

DOC-4. AGENDAS:

04-008

This series contains agendas for the meetings of the Administrators and the Correction Commission and is used by the Secretary for reference. The agendas have personal notations on the directions and assignments issued during the meeting.

RETENTION: Retain 3 years in office, then destroy.

DOC-5. ANNUAL REPORTS:

04-008

This record series no longer exists. Any existing Annual Reports should be sent to State Archives to be retained permanently.

DOC-6. ASSOCIATION AND ORGANIZATION FILES:

04-008

This series contains current correspondence and newsletters from professional associations and organizations to which the department belongs. Information may include: minutes of the association or organization meetings, conference agendas, participants' names, and examples of other states' legislation. Associations may include: the Associations of state Correctional Administrators, the American Correctional Association, the Central States Correctional Association, and the South Dakota Correctional Association. This record series is maintained for reference purposes concerning ideas and policies suggested and used by the association or organization.

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

DOC-7. ATTORNEY GENERAL OPINIONS:

04-008

This series contains the official opinions handed down by the State Attorney General concerning questions pertaining to the agency. This record series is maintained for occasional reference and a support for administrative decisions made and actions taken.

RETENTION: Retain 3 years in office, then destroy.

(Note: All Attorney General's Official Opinions are printed in the Biennial Report of the Attorney General and most are also available on the Attorney General's website.)

DOC-8. AUDIT REPORTS:

04-008

This series contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of state funds. This record series is maintained for identifying problem areas and discrepancies so that corrective measures can be taken. The auditing agency also maintains a copy of the report.

RETENTION: Retain 1 year in office, then destroy.

(Note: Legislative Audit maintains the original audit reports permanently.)

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------------------------------------	---	--

DOC-9. BAD DEBT/COLLECTIONS:

04-008

This series is arranged alphabetically by name of juvenile and contains information about court ordered parental support. Information may include: juvenile's name, court order, parent's name and address, copies of letters sent to parents, and a copy of the transfer to collections. This record series is maintained until all court ordered expenses due from the respondent have been satisfied, juvenile is 21 years of age, or discharged from the Department of Corrections.

RETENTION: SATISFIED: Retain until paid-in-full and discharged from the Department of Corrections, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

UNSATISFIED: Microfilm when volume warrants.

(Note: RM will encode the original film into our vault for 10 years. The film will be reviewed every 10 years to determine the appropriateness of the retention.)

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		<u>NUMBER</u>

DOC-10. BOILER INSPECTION REPORTS:

04-008

This series is arranged chronologically by inspection date and contains the yearly boiler report as issued by the Department of Public Safety for facilities owned by DOC. Information may include: date of inspection, inspector's name, and inspector's remarks. This record series is maintained to keep a certified account of all inspections and their results. It contains a copy of the report of inspection and the certificate issued. The Department of Public Safety maintains boiler inspection reports for two years.

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

(Note: Certificates shall be posted under glass in the room containing the boiler inspected. If the boiler is not located within the building, the certificate shall be posted in a location convenient to the boiler inspected, or in any place where it will be accessible to interested parties.)

DOC-11. BUDGET FILES:

04-008

This series is arranged chronologically and contains the yearly budget summaries of the agency. Information may include: budget request, 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 Legislature and signed by the Governor and is filed permanently with the Secretary of State.

RETENTION: Retain 3 years in office, then destroy.

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

DOC-12. BUDGET REQUESTS:

04-008

This record series is no longer maintained separate. Budget requests are part of **DOC-11. Budget Files:**

DOC-13. BUILDING AND LAND SURVEY:

04-008

This series contains all sketched floor plans and some photographs of buildings at the institutions administered under the Department of Corrections. This record series is used for quick reference when comments or requests are made by the individual facilities for improvements.

RETENTION: Retain in office for the life of the structure, then transfer to State Archives for screening and final disposition.

DOC-14. CASE MANAGEMENT FILE:

04-008

This record series is no longer maintained separate. The Case Management File is part of **DOC-44. Juvenile Files:**

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DOC-15. CASH RECEIPTS:

04-008

This series contains the standard forms used to deposit funds into the State Treasury and an electronic chronological log of DOC's cash receipts. Information may include: date, agency name, agency number, accounting codes, memorandums, amounts, total deposits, and authorized signatures. Information in the log may include: date, receipt number, monies from, and dollar amount. This record series is maintained for documenting and crediting each account with the amounts deposited, and for reference purposes.

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.

DOC-16. CIVIL RIGHTS INFORMATION:

04-008

This series contains various information concerned with civil rights. Information may include: offender's complaints filed with US Department of Justice (DOJ). This record series is used to find information concerning civil rights for individuals in the various institutions administered by the Department.

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

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DOC-17. COMMUTATIONS:

04-008

This series arranged alphabetically and contains inmate commutations. Commutations are given at the Governor's discretion to inmates that meet certain criteria. Information may include: the entire request, supporting information, and responses. This records series is maintained for reference and possible litigation purposes.

RETENTION: Retain in office until the inmate is discharged from DOC custody, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Copies are sent to the Secretary of State, Clerk of Courts, Board of Pardons and Paroles, and two copies are to D.C.I. (one is forwarded to the F.B.I.).

DOC-18. CONTRACTS AND AGREEMENTS:

04-008

This series contains reference copies of contracts in which the agency may have an interest. It also contains the agency's copy 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 source. 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 Consulting contract are filed with the State Auditor.)

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-19. CONVEYANCE OF CONVICTS:

04-008

This record series is no longer maintained by the Administration Office. Each adult institution maintains its own transportation of criminal records.

DOC-20. CORRESPONDENCE, FEDERAL:

04-008

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

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.

When litigation, claim, or audit is complete maintain for an additional 3 years.

DOC-21. CORRESPONDENCE, GENERAL:

04-008

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

RETENTION: Retain 2 years in office, then destroy.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittini Skipper
RM CUSTOMER #: 0292

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

DOC-22. CORRESPONDENCE, GOVERNOR'S:

04-008

This series is arranged alphabetically, then chronologically and contains copies of letters written by the Department of Corrections for the Governor. The Governor's Office receives the original and maintains a copy.

RETENTION: Retain 1 year in office, then destroy.

DOC-23. CORRESPONDENCE, INMATES:

04-008

This series is arranged alphabetically by inmate name and contains letters received from inmates regarding various topics. Topics may include: length of sentence, classification appeals, and disciplinary appearances. This record series is used for occasional reference and documentation.

RETENTION: Retain 1 year in office, then destroy.

DOC-24. CREDIT CARD REPORTS:

04-008

This series is arranged chronologically by month and contains monthly computer printouts, which are used to monitor fiscal year receipts and expenditures. Information may include: name of credit card user, spending analysis, and spending according to company name. 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 and audit findings involving the records have been resolved and final action has been taken.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-25. CRIMINAL JUSTICE STUDIES:

04-008

This series contains various criminal justice studies. Information may include: historical studies of prison populations, programs, and expansion needs. This record series is maintained for reference and planning purposes.

RETENTION: Retain permanently.

(Note: Consider microfilming when volume warrants.)

DOC-26. CURRICULUM COMMITTEE:

04-008

This series arranged chronologically and contains curriculum committee information. The committee is made up of representatives from adult corrections, which develops and approves educational and curriculum processes for the DOC's adult institutions. Information may include: pertinent reading materials relating to the group, minutes from group meetings, and other materials essential to the groups advancement toward their goal. The curriculum committee is designed to serve as a working group, representing and coordinating with DOC staff, adult institutional heads, and state and federal educational entities to provide quality, coordinated, and fiscally responsible educational and programming activities for adult inmates committed to the DOC.

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

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

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-27. DATA SYSTEM CODEBOOKS/MANUALS:

04-008

This series is arranged chronologically and contains data system codebooks/manuals. Information may include: codes, descriptions, instructions, and other information related to the data system. This record series is used 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 material.)

DOC-28. DEPARTMENTAL POLICIES AND PROCEDURES:

04-008

This series contains departmental polices and procedures; and facility operation memorandums (OMs). Information may include: rough drafts, research materials, and file copies of policies and procedures; and OMs for the Department of Corrections. This record series is maintained for reference to determine the proper course of action to take in certain situations.

RETENTION: Retain current in office. Transfer superseded or obsolete to storage for 5 years. Destroy 5 years after superseded or obsolete.

DOC-29. DESCRIPTION, JOBS:

04-008

This record series is no longer maintained by the Department of Corrections. The Bureau of Personnel advertises for job openings.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittini Skipper
RM CUSTOMER #: 0292

<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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DOC-30. DISCHARGE CERTIFICATES:

04-008

This series is arranged alphabetically, then chronologically contains copies of inmates discharge certificates. Information may include: name of inmate, date of discharge, dated by the Secretary of the Department of Corrections, and sentence ID number. The inmate receives the original certificate to restore voting and citizenship rights. A copy of the certificate is sent to the Clerk of Courts in the sentencing county.

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

(Note: Destroy paper after the microfilm has been inspected and verified to meet quality standards.)

DOC-31. EDUCATION AND TRAINING FILE:

04-008

This record series is no longer maintained by the Department of Corrections. Training records are maintained by the Bureau of Personnel.

DOC-32. E-MAIL RECORDS:

04-008

This series contains e-mails sent or received by this agency.

RETENTION: Retain in office until the record status is determined, but no more than 15 days, then delete. If the e-mail message is an official record made or received pursuant to law or in connection with the transaction of official business, the retention period should be covered by an existing record series. It is permissible to print record e-mails and file them with like paper records.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittini Skipper
RM CUSTOMER #: 0292

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

DOC-33. GOVERNOR'S BUDGET BOOKS:

04-008

This series contains copies of the Bureau of Finance and Management published "Budget Book" for each fiscal year. This record series is maintained to reference for approved budget information for all programs administered by the Department.

RETENTION: Retain 2 years in office, then destroy.

DOC-34. GOVERNOR'S MONTHLY REPORTS:

04-008

This series contains monthly reports sent to the Governor summarizing reports of agency and agency programs. Information may include: highlight activities of agency programs, and personnel updates. This records series is maintained for administrative, reporting, and reference purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years.

(Note: The Governor's Office maintains reports permanently in office.)

(Note: The electronic versions of the reports are also maintained on DOC's "M" drive for 4 years.)

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-35. GRANT FILES:

04-008

This series is arranged alphabetically by grant name and contains information concerning the administration of funded grants. Information may include: grant application, working papers, grant documentation, and monitoring and accounting records. This records series is used for administering current grants, for reference when requesting new grants, and for audit purposes.

RETENTION: Retain current in office. Transfer terminated to storage for 4 years. Destroy 4 years after terminated provide all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-36. GRIEVANCES:

04-008

This record series is no longer maintained. Grievances were replaced by Administrative Remedy Process, Secretary DOC.

DOC-37. GRIEVANCES, EMPLOYEES:

04-008

This record series is no longer maintained. Employee grievances are maintained by the Bureau of Personnel.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-38. HEARING LIST:

04-008

This series contains the documentation used to track hearings. Information may include: scheduled date, completion date, type of hearing (i.e. primary, adult, juvenile), name of person involved, and the outcome or disposition. This record series is a convenience file for quick reference.

RETENTION: Retain 1 year in office, then destroy.

DOC-39. INMATE BANKING RECORDS:

21-003

This daily generated series is arranged numerically by inmate number and check number and contains the inmate banking records. Information may include: inmate name, inmate identification number, beginning balance, transactions for the day, ending balance, and check stubs. This record series is used for reference to inform each inmate of their ending balance and for reconciliation purposes.

RETENTION: MONTHLY REPORTS/OTHER INFORMATION: Retain electronically for 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

CHECK STUBS: Retain 30 days in office, then destroy.

(Note: Check stub details is available in the Offender Management System.)

DOC-40. INSPECTOR GENERAL REPORTS:

04-008

This record series no longer exists. The Inspector General's position was eliminated.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittini Skipper
RM CUSTOMER #: 0292

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

DOC-41. INTERSTATE COMPACT GENERAL FILES:

04-008

This series contains interstate compact files. Information may include: correspondence between two states setting up the terms of the interstate compact agreement, correspondence dealing with appointment of interstate compact manual, and copies of the minutes of the meetings of the Interstate Compact Board. Notifications from other states that paroles are now residing in South Dakota are also filed here. This record series is maintained for reference purposes.

RETENTION: Retain current in office. Cull each year and destroy superseded or obsolete material.

DOC-42. INVENTORY, CAPITAL ASSETS:

04-008

This series is arranged chronologically and contains information regarding the agency's assets. Information may include: a copy of the Central Annual Inventory Printout, file maintenance forms that reflect changes in the inventory, inventory procedural manuals, and surplus property received and transferred forms. The information is maintained for property management and accountability purposes.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-43. JUVENILE CORRECTIONS MONITOR:

04-008

This series is arranged chronologically by the date received from the juvenile corrections monitor and contains allegations of abuse or neglect submitted by students at the STAR Academy. Information may include: juvenile's name, complaint, interview information of juvenile and/or other interviews of persons involved (staff or other juvenile), any findings of abuse, any recommendations from juvenile corrections monitor, and the responses to the recommendations from the institution. This record series is maintained for reference and protection from litigation.

RETENTION: Retain permanently.

(Note: Consider microfilming when volume warrants.)

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-44. JUVENILE FILES:

04-008

This series is arranged alphabetically by juvenile's name and contains accounts receivable information for each juvenile committed to the Department of Corrections. Information may include: juvenile's name; ID number; parent's name and address; court orders; statement of parental support; DSS 910 forms; T19 applications; social security; placement history case notes; educational correspondence; court ordered parental support; medical, dental, optical, and psychological expense incurred by the juvenile in the Department of Corrections care; and any other pertinent data necessary for admission to Correctional Facilities. The information is kept until the juvenile reaches the age of 21 years of age, parental support and/or medical, dental, optical, and psychological expenses are paid-in-fill, and when the juvenile is discharged from the Department of Corrections. This record series is maintained for collection and audit purposes.

RETENTION: Retain active in office. Transfer inactive to storage for 4 years. Destroy 4 years after inactive provided all litigation, claim, and audit findings involving the records have been resolved and final action has been taken.

DOC-45. JUVENILE/YOUTH REFERENCE MATERIAL:

04-008

This series contains information on the care of youth, and information about grant programs available for youth care. Information may include: grant proposals, guidelines, availability of money, annual reports from other juvenile justice agencies, and juvenile justice research. This record series is used to better the care of juveniles in facilities, to better assist them in rehabilitation, and to provide information to the public concerning youth care.

RETENTION: Retain current in office. Cull files each year and destroy superseded or obsolete material.

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

DEPARTMENT: Department of Corrections
 DIVISION: Office of Secretary
 OFFICE: Administration Office
 PROGRAM: Finance & Administration
 RECORDS OFFICER: Brittni Skipper
 RM CUSTOMER #: 0292

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

DOC-46. LEAVE BALANCE PRINTOUTS:

04-008

This record series is no longer maintained. Leave Balance Printouts are maintained by the Bureau of Personnel on TKS.

DOC-47. LEAVE REQUESTS:

04-008

This record series is no longer maintained. Leave Requests are maintained by the Bureau of Personnel on TKS.

DOC-48. LEGAL ACTION FILES:

04-008

This series contains a copy of both past and current (inmate and juvenile) court cases concerning legal action taken against any of the facilities, juvenile services, or parole services administered by the Department of Corrections. Information may include: summons, complaints, court orders, court decisions, and correspondence with counsel. This record series is used to follow case from initiation through settlement and to have reference record of past proceedings.

RETENTION: Retain active cases in office. Transfer closed cases to storage for 6 years. Destroy 6 years after closure.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-49. LEGISLATION FILES:

04-008

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 material, bill tracking printouts, copies of House and Senate bills, preliminary bill drafts, and final drafts of proposed legislation. This record series is used for bill drafting, submission, and tracking during legislative session.

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

DOC-50. LETTERS OF INTENT:

04-008

This series contains the letters of received from the Legislatures Appropriation Committee advising the department what the legislature has approved in the budget request and what has not been approved for funding. The letters also indicate special desires of the legislature regarding future budget requests or special request for changed administration or operating procedures for newly authorized budget funds.

RETENTION: Retain 3 years in office, then destroy.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittini Skipper
RM CUSTOMER #: 0292

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

DOC-51. MAINTENANCE AND REPAIR RECORDS:

04-008

This series contains information dealing with the construction, correspondence, and accounting papers of all maintenance and repairs performed on facilities operated by the department. This record series is used to control purposes such as knowing what is requiring repairs, the cost of repairs, what might need replacing, and future budgeting for repairs and maintenance.

RETENTION: Retain 1 year in office after project completion, the transfer to storage for 4 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-52. MINUTES, COMMISSION:

04-008

This series is arranged chronologically by date of commission meeting and contains minutes from the various commission meetings. Information may include: date, members present, and topics discussed. Copies are sent to the secretary to keep informed of commission actions and are used for reporting purposes.

RETENTION: Retain 10 years in office, then transfer to State Archives for permanent retention.

(Note: Consider maintaining a microfilm copy of the complete set in office.)

DOC-53. MINUTES, SD BOARD OF CHARITIES AND CORRECTIONS:

04-008

This record series no longer exists. SD Board of Charities and Corrections has been dissipated. Any existing Minutes should be sent to State Archives to be retained permanently.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-54. MONTHLY AGENCY REPORTS:

04-008

This series contains the information concerning the population statistics of inmates and employees at each of the Departments' facilities. Information may include: the inmate population and demographics of each facility, the number of employees and demographics at each facility, and the number inmates admitted and released. This record series is used for reference purposes.

RETENTION: Retain 1 year in office, then destroy.

DOC-55. MONTHLY STATISTICAL REPORTS:

04-008

This series contains the monthly reports received from the various field agents concerning their activities. Information may include: agent's name, number, number of contacts, time spent with each contact, type of supervision each contact required, and demographics of each client. This record series is used by the office to monitor agent's performance and for drawing up the yearly activity report.

RETENTION: Retain 1 year in office, then destroy.

DOC-56. NEWSLETTERS:

04-008

This record series no longer exists. Any existing newsletters should be sent to State Archives for screening.

DOC-57. PAROLE FILES:

04-008

This record series is no longer maintained by the Administration Office. Parole Files are maintained by Parole Services.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittini Skipper
RM CUSTOMER #: 0292

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

DOC-58. PERFORMANCE APPRAISALS:

04-008

These documents are most often arranged chronologically within the personnel file of every state employee. Information is maintained by the Bureau of Personnel and may include: checklist denoting the areas discussed and supervisor and employee comments and signatures. 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 requirements.

RETENTION: AGENCY MANAGER: At your discretion, retain 6 months, then destroy by shredding.

(Note: Transfer original performance appraisal to the Bureau of Personnel.)

DOC-59. PERSONNEL FILES:

04-008

This record series is no longer maintained by the Department of Corrections. The Bureau of Personnel maintains the personnel files.

DOC-60. PERSONNEL/PAYROLL REPORTS:

04-008

This record series is no longer maintained by the Department of Corrections. Each employee receives pay stubs via e-mail and the information can also be accessed on Lawson's Self-Evident Applications.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-61. PHOTOGRAPH FILE:

04-008

This series contains the pictures of all buildings and grounds of all institutions under the administration of the Department of Corrections. The photos are used for reference when authorizing building renovations requests and for historical purposes.

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

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

DOC-62. PHYSICAL PLANT FACILITY STUDY:

04-008

This record series no longer exists. DOC no longer does physical plant facility studies.

DOC-63. POLICIES AND PROCEDURES:

04-008

This record series is no longer maintained by DOC. Policies and procedures from other agencies are available on-line.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-64. PRESENTATION MATERIALS:

04-008

This series is arranged chronologically and contains presentation materials. Information may include: budget information, legislative information, corrections workgroup information, and review process. 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 material.)

DOC-65. PRINTING REQUESTS:

04-008

This series contains a copy of the printing requisition sent to Central Duplicating to order copying/and or printing. Information may include: name of person requesting the printing, telephone number, quantity needed, paper choice, ink choice, and other specifics of the printing job.

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: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-66. PROJECT FILES:

04-008

This series contains various projects done by the department. The active and ongoing project may include: raids policy, parole/inter-shelter involved, inmate handbook, interstate compact, programming sex offenders, private sector prison industries, and reorganization of the Department of Corrections. Some of the completed projects are in-house arrests and sentencing procedures. This records series is maintained for reference purposes.

RETENTION: Purge files and retain 2 years in office after completed. Transfer completed files to storage for 3 years. Destroy 5 years after completion.

DOC-67. REORGANIZATION FILE:

04-008

This record series is no longer maintained separate. The Reorganization Files are now part of **DOC-66. Project Files:**

DOC-68. REQUESTS FOR INFORMATION:

04-008

This series contains the requests for information concerning the Department of Corrections and it's facilities. Information may include: original request, a copy of the reply, and a note of the type of information sent out. This record series is maintained to have a record of all requests made to the department.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT: Department of Corrections
DIVISION: Office of Secretary
OFFICE: Administration Office
PROGRAM: Finance & Administration
RECORDS OFFICER: Brittni Skipper
RM CUSTOMER #: 0292

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

DOC-69. REQUESTS FOR PROPOSALS:

04-008

This series contains the specifications for studies or services requested by the Department of Corrections. Request specifications for studies on planning projects, developmental programs, grant possibilities, and actual completed studies that have been performed. This records series is used for audit and reference purposes.

RETENTION: Retain 1 year in office, then transfer to storage of 4 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOC-70. REQUISITIONS:

04-008

This series contains a copy of the formal request to order supplies or equipment. The original is submitted to the Office of Procurement Management in Pierre, which results in a purchase order being prepared and submitted to the vendor. Information may include: requesting agency, fund coding, authorized signatures, description of items or services, cost amounts, vendor name, quantity, and date of requisition. This records series is maintained for reconciliation purposes.

RETENTION: Retain previous year and current year in office. Destroy superseded or obsolete.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
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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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DOC-71. RULES AND REGULATIONS:

04-008

This series is arranged alphabetically by agency name and contains copies rules and regulations pertaining to each. Rules and regulations may include administrative rules promulgated by other departments that have bearing on the daily operation of this agency (i.e. Bureau of Personnel, Bureau of Administration, and Bureau of Finance and Management). This record series is maintained for ensuring compliance with current rules and regulations governing the administration and operation of the department.

RETENTION: Retain current in office. Transfer superseded or obsolete to storage for 4 years. Destroy 4 years after superseded.

DOC-71.1. 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.

STATE OF SOUTH DAKOTA
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DESTRUCTION SCHEDULE
AUTHORIZATION FORM
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RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOC-72. SURVEYS:

04-008

This series contains information gathered from surveys used to compile various reports. Types of information collected will be on race and offences committed by inmates in the state correctional facilities. This information is often requested by government agencies.

RETENTION: Retain 2 years in office, then destroy.

DOC-73. SWIFT BIRD DEVELOPMENT PROJECT:

04-008

This record series no longer exists. All Swift Bird Development Project information should have been sent to State Archives for screening and final disposition.

DOC-74. TAPES AND RECORDINGS:

04-008

This series is arranged alphabetically by inmate's last name and contains tapes and recordings with inmates. Information may include: hearings conducted for withholding good time, unconvicted sex offender review hearings, and other hearings that may be subject to litigation. This record series is maintained for reference and litigation purposes.

RETENTION: Retain 3 years in office after the inmate has been discharged from DOC custody, then destroy provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
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PROGRAM: Finance & Administration
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RM CUSTOMER #: 0292

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

DOC-75. TELEPHONE MESSAGE RECORDS:

04-008

This series is comprised of messages left telephonically, whether recorded on paper, voice mail, or sent via e-mail.

RETENTION: Retain current in office until action is taken, then destroy or delete.

DOC-76. TRAVEL REQUESTS:

04-008

This series contains of both in-state and out-of-state travel requests. Information may include: origin, destination, leave and return dates, leave and return times, agency code, mode of travel, number of rider(s), estimated miles, driver's name, telephone number, return trip number, vehicle license number, date of entry, and travel coordinator's name. Out-of-state travel request also include: estimated transportation cost, estimated meal cost, estimated lodging cost, and fee schedules, and miscellaneous fees. All employees who travel on state business prepare and submit these forms for approval prior to their departure. The record series is used for travel expense upon return.

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

(Note: The State Auditor's Office maintains the originals.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
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RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOC-77. VOUCHER LOGS:

04-008

This electronic log contains information recorded on all vouchers issued by the department. Information may include: date, log number, voucher number, agency issuing the voucher, budgetary coding, and the amount of voucher. This record series is maintained for reference purposes.

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

DOC-78. VOUCHERS:

04-008

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

RETENTION: FINANCE OFFICER: 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.

ALL OTHER PROGRAMS: Retain 3 months in office, then destroy.

STATE OF SOUTH DAKOTA
 RECORDS RETENTION &
 DESTRUCTION SCHEDULE
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SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

DOC-79. VICTIM'S COMPENSATION CLAIM FILES:

04-008

This record series no longer exists. The program was transferred to the Department of Social Services.

DOC-80. WORKGROUPS:

04-008

This series is arranged chronologically and contains workgroup information that deals with issues pertaining to programming within institutions, overcrowding, and/or other issues related to the Department of Corrections. Information may include: meeting minutes, related materials, membership, goal/objectives, progress reports, member's names and addresses, and other related information deemed necessary requirements of the group. This record series used for reference and audit purposes. The workgroups are often appointed by the Governor's Office or other leading officials such as the Secretary of the Department of Corrections.

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

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

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

DOC-81. WORK RELEASE FILES:

04-008

This series is arranged alphabetically and contains the Director of Community Services work release files. Information may include: inmate's name, locations, work release schedules, pay stubs, employer's information, documentation of compliance with executive order (126608), assignment of check, work release rules and regulations, and inmate financial worksheet. This record series is maintained for reference purpose.

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.