



BOARD OF ADDICTION
AND PREVENTION PROFESSIONALS

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
c/o 500 East Capitol Avenue
Pierre, South Dakota 57501-5070

2020

PROJECT STAFF

Amy Hartman, President Board of Addiction & Prevention Professionals	Dana Hoffer State Records Manager
Kristen Campbell, Records Officer Department of Social Services	Connie Nold Records Management Specialist

The employees of the Board of Addiction and Prevention Professionals 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)	Pat Archer 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



DEPARTMENT OF
EXECUTIVE MANAGEMENT

BUREAU OF
ADMINISTRATION

PBM 01234

RECORDS MANAGEMENT PROGRAM

104 South Garfield; Bldg E
c/o 500 East Capitol Avenue
Pierre, SD 57501-5070
Phone: (605) 773-3589

MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: December 16, 2020

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 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.

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Amy Hartman, acting in my position as the President of the Board of Addiction and Prevention Professionals, 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 Board of Addiction and Prevention Professionals consists of 16 page(s) and contains record series number(s) BAPP-1 (consecutively numbered) through BAPP-30. 

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 Board of Addiction and Prevention Professionals consists of 1 page(s) and contains record series number(s) CBADP-10 and CBADP-13.

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.

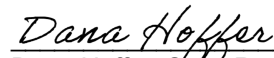


Amy Hartman, President
Board of Addiction and Prevention Professionals

11/17/2020

Date

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



Dana Hoffer, State Records Manager

11/17/2020

Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 10th day of December, 2020, 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 20-012.**



Scott Bollinger, Chairman of the Board

12-10-2020
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.

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

Board of Addiction and Prevention Professionals:

BAPP-1.	ADDICTION COUNSELOR OR PREVENTION SPECIALIST TRAINEE FILES, ACTIVE:	1
BAPP-2.	ADMINISTRATIVE REFERENCE FILES:	1
BAPP-3.	ADMINISTRATIVE RULES AND PROMULGATION FILES:	2
BAPP-4.	ANNUAL REPORTS:.....	2
BAPP-5.	APPLICATION FILES FOR CERTIFICATION OR LICENSURE:..	3
BAPP-6.	APPROVED OR DENIED COURSEWORK FILES:.....	4
BAPP-7.	BOARD APPOINTMENT FILES:.....	4
BAPP-8.	BOARD MEETING AGENDAS AND MINUTES:	5
BAPP-9.	CASH RECEIPT TRANSMITTALS:.....	5
BAPP-10.	CERTIFIED OR LICENSED ADDICTION COUNSELOR AND CERTIFIED PREVENTION SPECIALIST FILES, ACTIVE:	6
BAPP-11.	CERTIFIED OR LICENSED ADDICTION COUNSELOR, AND CERTIFIED PREVENTION SPECIALIST FILES, INACTIVE:	6
BAPP-12.	CERTIFIED OR LICENSED ADDICTION COUNSELOR, CERTIFIED PREVENTION SPECIALIST, AND ADDICTION COUNSELOR TRAINEE OR PREVENTION SPECIALIST TRAINEE FILES, PAST:.....	7
BAPP-13.	COMPLAINT FILES:	8
BAPP-14.	CONTINUING EDUCATION FILE:	8
BAPP-15.	CONTRACTS AND AGREEMENTS:	9
BAPP-16.	CORRESPONDENCE, GENERAL:.....	9
BAPP-17.	FINANCIAL REPORTS:	10
BAPP-18.	INDEPENDENT PRACTICE MATERIALS:	10
BAPP-19.	INTERNATIONAL CERTIFICATION & RECIPROCITY CONSORTIUM (IC&RC) APPLICATIONS AND CERTIFICATES:.....	11
BAPP-20.	INTERNATIONAL CERTIFICATION & RECIPROCITY CONSORTIUM (IC&RC) FILE:	11
BAPP-21.	LIST OF PRACTITIONER'S CERTIFICATE NUMBERS:.....	12
BAPP-22.	LOGS:.....	12
BAPP-23.	PERFORMANCE APPRAISALS:	13
BAPP-24.	POLICY AND PROCEDURES:	13
BAPP-25.	RECIPROCITY APPLICATIONS AND CORRESPONDENCE FILE:	14
BAPP-26.	SUPERVISORY WORKING FILE:	14
BAPP-27.	SURVEYS:	15
BAPP-28.	TESTING MATERIALS:.....	15
BAPP-29.	TIME SHEETS/LEAVE REQUESTS:	16
BAPP-30.	VOUCHERS:	16

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

DEPARTMENT:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

**BAPP-1. ADDICTION COUNSELOR OR PREVENTION SPECIALIST
TRAINEE FILES, ACTIVE:**

20-012

This series is arranged alphabetically by last name and contains information on recognized addiction counselor trainees and prevention specialist trainees who are active in the database. Information may include: applications, transcripts, test scores, correspondence, fees paid, and clinical supervision information. This record series is maintained to document the recognitions and renewals of addiction counselor trainees, and prevention specialist trainees.

RETENTION: Retain active in office. Transfer to “Addiction Counselor or Prevention Specialist Trainee Files, Past”.

BAPP-2. ADMINISTRATIVE REFERENCE FILES:

20-012

This series is arranged chronologically and contains information used in the daily administration of the Board of Addiction and Prevention Professionals (BAPP). Information may include: state statutes, administrative rules, standards manual, code of ethics, fax reports, copier monthly reports, vendor information, phone logs, and any other paperwork or documents related to daily administration. This record series is maintained for reference purposes and to ensure consistency with administrative procedures.

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:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

BAPP-3. ADMINISTRATIVE RULES AND PROMULGATION FILES:

20-012

This series is arranged by subject matter and contains information regarding administrative rules. Information may include: notice of public hearings, affidavits of publication of notices, written comments from the public, hearing transcripts, and formal or final decisions. This record series is maintained to document proper promulgation of administrative rules.

RETENTION: FINAL DECISIONS: Retain permanently in office.

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.)

BAPP-4. ANNUAL REPORTS:

20-012

This series is arranged chronologically and contains copies of annual reports created to summarize operations of the BAPP. Information may include: number of licenses, certifications, renewals, or recognitions issued, audits or compliance reviews, number of ethics violations, and other related information. Copies of these reports are filed with various State and International entities. This record series is maintained for reference purposes, and to review and assess activities and workload from year to year.

RETENTION: Retain 4 years in office, then transfer to State Archives for final disposition.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-5. APPLICATION FILES FOR CERTIFICATION OR LICENSURE:

20-012

This series is arranged alphabetically by applicants' last name and documents the information of individuals applying for certification or licensure. Information may include: original application, work experience verification and documentation, college transcripts, references, supervisor evaluations, job description, examination scores, fees paid, and any other information requested by the board. This record series is maintained to determine eligibility for certification or licensure.

RETENTION: SUCCESSFUL APPLICANTS: Transfer to respective "Certified or Licensed Addiction Counselor and Certified Prevention Specialist Files, Active".

UNSUCCESSFUL APPLICANTS: Transfer to respective Addiction Counselor or Prevention Specialist Trainee Files, Past.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-6. APPROVED OR DENIED COURSEWORK FILES:

20-012

This series is arranged alphabetically by the name of the academic institution offering the coursework and contains a list of all approved or denied coursework for certification or licensure, and any related supporting documents. Information may include: course name and number; college or university where the course is offered; which requirement the course is approved or denied for, number of credit hours, course syllabus, and fees paid. This record series is maintained for reference purposes, to identify coursework that meets or does not meet the specialized education course criteria, and for informational purposes for individuals seeking certification or licensure.

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

BAPP-7. BOARD APPOINTMENT FILES:

20-012

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

RETENTION: Retain 4 years in office after appointed term expires or receipt of resignation letter, then destroy.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-8. BOARD MEETING AGENDAS AND MINUTES:

20-012

This series is arranged chronologically by meeting date and contains copies of agendas and minutes from each board meeting. Information may include: date, time and location of the meeting, committee information, participants present, agenda items, public comment, and actions taken. This record series is maintained for reference concerning actions taken during board meetings.

RETENTION: Retain 5 years in office, then scan paper. Maintain electronically in Electronic Document Management System (EDMS) permanently.

(NOTE: Consider converting electronic images to microfilm.)

BAPP-9. CASH RECEIPT TRANSMITTALS:

20-012

This series is arranged chronologically by date and contains the cash log used to deposit funds into the State Treasury. Information may include: date, transaction description, payor or agency name, accounting codes, memorandums, dollar amounts, and deposit totals. This record series is maintained for reference purposes, to verify appropriate accounts were credited with amounts deposited, and to assist with reconciling accounts.

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

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

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

DEPARTMENT:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

**BAPP-10. CERTIFIED OR LICENSED ADDICTION COUNSELOR AND
CERTIFIED PREVENTION SPECIALIST FILES, ACTIVE:**

20-012

This series is arranged alphabetically by last name and contains information on certified or licensed addiction counselors or certified prevention specialists who are active in the database. Information may include: applications, transcripts, test scores, general correspondence, copies of certificates, copies of identification cards, renewal information, fees paid, and continuing education documentation and audits. This record series is maintained to document renewals of all certified or licensed addiction counselors and certified prevention specialists.

RETENTION: Retain active in office. Transfer to “Certified or Licensed Addiction Counselor or Certified Prevention Specialist Files, Inactive or Past”.

**BAPP-11. CERTIFIED OR LICENSED ADDICTION COUNSELOR, AND
CERTIFIED PREVENTION SPECIALIST FILES, INACTIVE:**

20-012

This series is arranged alphabetically by last name and contains information on counselors and prevention specialists who are on inactive status. Information may include: applications, transcripts, test scores, general correspondence, copies of certificates, copies of identification cards, written request to be placed on inactive status, renewal information, fees paid, continuing education documentation and audits. This record series is maintained to document renewals of certified or licensed addiction counselors and certified prevention specialists on inactive status.

RETENTION: Retain current in office. Transfer to “Certified or Licensed Addiction Counselor and Certified Prevention Specialist Files, Active or Past”.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

**BAPP-12. CERTIFIED OR LICENSED ADDICTION COUNSELOR,
CERTIFIED PREVENTION SPECIALIST, AND ADDICTION
COUNSELOR TRAINEE OR PREVENTION SPECIALIST
TRAINEE FILES, PAST:**

20-012

This series is arranged alphabetically by last name and contains information on counselors, prevention specialists, and trainees. Information may include: applications, transcripts, test scores, correspondence, copies of certificates, copies of identification cards, continuing education documentation and audits, clinical supervisor information, fees paid, and a printout of database records. This record series is maintained to document previous certification, licensure, recognition and renewal of all lapsed certified or licensed addiction counselors, certified prevention specialists, and addiction counselor trainees and prevention specialist trainees.

RETENTION: CERTIFIED OR LICENSED ADDICTION COUNSELOR, OR CERTIFIED PREVENTION SPECIALIST FILES, PAST: Retain for 20 years or for the life of the individual, then destroy.

ADDICTION COUNSELOR TRAINEE, AND PREVENTION SPECIALIST TRAINEE, FILES, PAST: Retain for 4 years, then destroy.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-13. COMPLAINT FILES:

20-012

This series is arranged chronologically by date received and contains correspondence regarding complaints filed by clients, other practitioners, initiated by the board, or the general public against any practitioner recognized by the BAPP. Information may include: nature of the complaint, related correspondence, investigation of the allegations, conclusion, stipulations and agreements, and reports submitted to state, federal or national organizations. This record series is maintained for reference purposes and to document all complaints, substantiated and unsubstantiated.

RETENTION: UNSUBSTANTIATED: Retain 4 years in office, then destroy.

SUBSTANTIATED: Retain for 40 years or for the life of counselor, then destroy.

BAPP-14. CONTINUING EDUCATION FILE:

20-012

This series is arranged chronologically by date of event and contains approved continuing professional education/training requests from program sponsors or attendees. Information may include: request for approval of continuing professional training forms, service provider agreement forms, fees paid if applicable, outline of training activity, topics covered, instructor's qualifications/vitae, and supporting documentation. This record series is maintained to identify trainings that meet the BAPP's continuing professional education/training requirements.

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:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-15. CONTRACTS AND AGREEMENTS:

20-012

This series is arranged alphabetically and contains contracts and agreements between the BAPP 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 current in office. Destroy 6 years after terminated.

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

BAPP-16. CORRESPONDENCE, GENERAL:

20-012

This series is arranged chronologically and contains originals or copies of letters, memorandums, or requests received. Information may include: mailing label requests and data collection requests. This record series is maintained for reference and documentation purposes.

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:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

BAPP-17. FINANCIAL REPORTS:

20-012

This series is arranged chronologically and contains information regarding revenue and expenditures. Information may include: copies of bills, travel vouchers, QuickBooks reports, DSS monthly financial reports, BAPP quarterly financial reports, budget requests, annual budgets, and year-end fiscal reports. This record series is maintained for reference purposes and to assist in determining future expenditures and budgetary needs. The State Treasurer's Office and the State Auditor's Office maintain the originals.

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

BAPP-18. INDEPENDENT PRACTICE MATERIALS:

20-012

This series is arranged alphabetically by last name and contains information on licensed addiction counselors, who meet the Independent Practice requirements. Information may include: counselor's total years (or hours) of qualifying supervised work experience, dates of employment, and clinical supervision. This record series is maintained for reference purposes and to identify who meets the independent practice requirements.

RETENTION: Retain active in office. Transfer to "Licensed Addiction Counselor Files, Inactive or Past".

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

DEPARTMENT:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

**BAPP-19. INTERNATIONAL CERTIFICATION & RECIPROCITY
CONSORTIUM (IC&RC) APPLICATIONS AND
CERTIFICATES:**

20-012

This record series is arranged chronologically and contains Applications for the IC&RC International Certificates, and certificate copies. Information may include: date issued, date expires, and fees paid. This record series is maintained for reference purposes.

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

**BAPP-20. INTERNATIONAL CERTIFICATION & RECIPROCITY
CONSORTIUM (IC&RC) FILE:**

20-012

This series is arranged chronologically and contains information and correspondence with IC&RC. Information may include: changes regarding credential requirements, changes regarding examination procedures or requirements, board member directory, compliance reviews, yearly membership dues report, and any other correspondence between the BAPP and IC&RC. This record series is maintained for reference purposes.

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:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-21. LIST OF PRACTITIONER'S CERTIFICATE NUMBERS:

20-012

This series is arranged by date for each recognition, certification, or licensure issued by the BAPP. Information may include: certificate number, practitioner name, issue date, expiration/renewal date, and individuals chosen for the continuing education audit. This record is maintained for reference purposes.

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

BAPP-22. LOGS:

20-012

This series is arranged chronologically and by credential, and contains various logs created and maintained by staff. Information may include: monthly trainee renewal log; monthly certified addiction counselor; licensed addiction counselor, and certified prevention specialist logs; and ethics complaint logs. Information may include: certificate number, name, issue date, expiration date, fees paid, file number, subject of the complaint, complainant, summary of complaint, action taken, and date closed. This record series is maintained for reference purposes.

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

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-23. PERFORMANCE APPRAISALS:

20-012

This series is arranged chronologically contains the performance appraisals for the BAPP employees. Information may include: checklist denoting areas discussed, supervisor and employee comments, communications between supervisors and employees, and documentation of employee's performance. This record series is maintained for audit purposes pursuant to Equal Opportunity Commission requirement.

RETENTION: Retain 4 years, then destroy.

BAPP-24. POLICY AND PROCEDURES:

20-012

This series is arranged by topic and contains current procedures and policies implemented by the board, DSS, IC&RC and the Testing Company. Information may include: the board's position or interpretation on issues and policies, date of implementation or adoption, and outline of office duties that are of critical importance to the function of daily activities, and how to execute these duties. This record series is maintained for reference purposes and to assist the BAPP in performing day to day office functions.

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:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>BAPP</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>0102</u>

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

BAPP-25. RECIPROCITY APPLICATIONS AND CORRESPONDENCE
FILE:

20-012

This series is arranged by topic and contains information regarding the reciprocity process. Information may include: IC&RC's Application for Reciprocity, credential information, credential verification, BAPP reciprocity information forms, and related correspondence. This record series is maintained for reference purposes.

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

BAPP-26. SUPERVISORY WORKING FILE:

20-012

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

RETENTION: Retain current in office. Destroy superseded or obsolete or if no longer working in department.

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

DEPARTMENT:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

BAPP-27. SURVEYS:

20-012

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

RETENTION: Retain 4 years in office, then destroy.

BAPP-28. TESTING MATERIALS:

20-012

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

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:	Social Services
DIVISION:	Community Behavioral Health
OFFICE:	Licensing Boards
PROGRAM:	BAPP
RECORDS OFFICER:	Kristen Campbell
RM CUSTOMER #:	0102

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

BAPP-29. TIME SHEETS/LEAVE REQUESTS:

20-012

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

RETENTION: Retain 2 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

BAPP-30. VOUCHERS:

20-012

This series is arranged chronically by month and contains copies of vouchers, billing statements, purchase orders, and packing slips. Information may include: purpose of expenditure, amount, account code credited, date, to whom or to what account to remit payment, and authorized signatures. This record series is maintained for reference and financial/fiscal purposes.

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