



PLUMBING COMMISSION

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF
EXECUTIVE MANAGEMENT

**BUREAU OF
ADMINISTRATION**

PMB 01234

RECORDS MANAGEMENT PROGRAM
104 S Garfield Avenue
c/o 500 East Capitol Avenue
Pierre, SD 57501-5070
Phone: (605) 773-3589
Fax: (605) 773-5955

MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: January 13, 2012

In 1967, the South Dakota Legislature established the Records Management Program and the Records Destruction Board. In the same act, the Legislature required every State agency to develop a records retention and destruction schedule and declared that “No record shall be destroyed or otherwise disposed of by any agency of the State unless it is determined by majority vote of such board (Records Destruction Board) that the record has no further administrative, legal, fiscal, research or historical value.”

According to Administrative Rule 24:52:11:01, any State government agency planning to destroy agency records shall notify the State Archivist 30 days before the date of the proposed destruction. The request shall include the name or title of the records, inclusive dates, information content of the records, and quantity. This rule applies to all records, including those granted exclusive or continuous disposal authorization by the Records Destruction Board, with the following exceptions: vouchers 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, Pamela S. Roberts (name), acting in my position as Secretary of the Department of Labor (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 Plumbing Commission (department) consists of 16 pages and contains record series number(s) PC-1 (consecutively re-numbered) through PC-26.

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 Plumbing Commission (department) record series numbers(s) PL-4, PL-5, PL-7 through PL-9, PL-11, PL-15, PL-18 through PL-21, PL-27, PL-29, PL-30, PL-32 through PL-34, and PL-39 through PL-41.

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.



Pamela S. Roberts, Secretary of the Department of Labor

8-8-07

Date

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



Dana Hoffer, State Records Manager

8/20/2007

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 22nd day of August, 2007, 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

8-22-07

Date

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OFFICE: Boards and Commissions
PROGRAM Plumbing Commission

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| RECORDS OFFICER: | <u>Dawson Huber</u> |
| RM CUSTOMER #: | <u>0279</u> |

| RECORD | | R.D.B. |
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PC-1. ADMINISTRATIVE REFERENCE FILES:

07-037

This series may be arranged by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, personnel reports, equipment, inventory, legislation, organization/association, and property management information; reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; general correspondence and any other related information. 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 materials.)

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PC-2. ADMINISTRATIVE RULE, PROMULGATION FILES:

07-037

This series contains notices of public hearings, affidavits of publication of notice, written comments from the public, and transcripts from the hearing. Files have little reference activity once their hearing has been held unless someone requests a copy of the transcript. This record series serves to document the proper promulgation of administrative rules pursuant to SDCL 1-26.

RETENTION: 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 this chapter". There is no time frame included for the 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 rules appearing in the 1974 printed ARSD. Consider maintaining on microfilm instead of paper.)

(NOTE: Previous record series number was PL-01.)

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PC-3. AGENDAS:

07-037

This series is arranged chronologically, and contains the agenda for each meeting of the Plumbing Commission. This record series is used for reference concerning directions and assignments issued by the Commission during the meetings.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was PL-02.)

PC-4. APPLICATION FOR EXAMINATION FILES:

07-037

This series is arranged alphabetically, and contains applications not approved, and applications of individuals who failed to appear for examination. Information includes: correspondence from the commission, notices for those who failed to appear for examination, and letters of refusal notifying individuals that they do not qualify. This information is used for mailing notices and for reporting purposes.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was PL-03.)

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PC-5. AUDIT REPORTS:

07-037

This series is arranged chronologically, and contains Department of Legislative Audit reports, and private audit reports concerning the expenditure and administration of funds. Information may include: cover letters, statement of assets, revenues and expenditures, change of fund cash balances, observations and recommendations. This record series is used to identify problem areas and discrepancies so that corrective measures may be implemented. The auditing agency also maintains a copy of the audit report.

RETENTION: Retain 3 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: Legislative Audit maintains the original audit report.)

(NOTE: Previous record series number was PL-06.)

PC-6. CITATION FILES:

07-037

This series is filed alphabetically by inspector's name, and contains documentation of all violations of the South Dakota Plumbing Code and attempts to remedy them. Information may include: correspondence, copy of plumber's application to plumb, court documents, minutes, court transcripts, and testimony statements. This record series is used to document reasons for the Plumbing Commission's disciplinary action.

RETENTION: Retain resolved in office for 1 year, then transfer to storage for 5 years. Destroy 5 years after resolved.

(NOTE: Previous record series number was PL-10.)

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PC-7. CODE BOOK REGISTER:

07-037

This ring binder is arranged alphabetically by plumber's name, and documents the sale of code books by city. Information may include: name, address, date, amount of money received, and receipt number. This record series is used for audit purposes, and to mail updates to everyone who has purchased a code book.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was PL-12.)

PC-8. COMMISSION MEMBER FILES:

07-037

This series is arranged alphabetically, and contains information regarding individual Commission members. Information includes: letter of appointment, term, and expiration date. This record series is maintained to document member appointments to the Plumbing Commission and any related information pertaining to each.

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

(NOTE: Previous record series number was PL-13.)

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PC-9. COMPLAINT FILES:

07-037

This series is arranged numerically by license number, and contains information regarding complaints filed against any license holder. Information may include: written or verbal complaints, correspondence, investigation reports, inspector's comments, and any resulting actions taken. This record series is used for statistical purposes, to verify complaints, and take necessary action.

RETENTION: Retain unsubstantiated 1 year in office, then transfer to storage for 2 years. Destroy after 3 years provided no litigation is pending.

Transfer substantiated to the respective "License Files", and maintain for 4 years after last license expiration, then destroy provided no litigation is pending.

(NOTE: Previous record series number was PL-14.)

PC-10. EXAMINATION FAILURES:

07-037

This series is arranged chronologically, and contains Plumbing Commission examination dates and a list of the names of examinees who failed the examination. Information may include: application, examinees name, identification number, notification of failure, the date of the next possible reexamination date, and the actual failed examination. This record series is used for reporting purposes, and to generate a mailing list to notify applicants of future examination dates.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was PL-17.)

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PC-11. EXAMINATION SCHEDULES:

07-037

This series is arranged chronologically, and contains Plumbing Commission examination dates, and lists of examinees. Information may include: application, applicant's name, address, date of exam, type of exam, applicant's examination identification number, pass/fail status, and the grade. This record series is used to verify that tests have been successfully completed prior to licensure, and for reporting purposes.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was PL-16.)

PC-12. INSPECTION REPORTS:

07-037

This computer disk and paper series is arranged chronologically and contains inspection reports completed by inspectors on each job they inspect. The information on the inspection report is encoded to the computer and saved on a disk. Information may include: date of inspection, owners name, contractors name, street address, city, county, building type, and list of discrepancies. This record series is maintained for reference purposes.

RETENTION: DATA: Retain 4 years, then delete.

PAPER: Destroy after the information has been saved to a disk.

(Note: Two disks for each county will be used. One disk is the working copy and the second is used for back-up.)

(NOTE: Previous record series number was PL-42.)

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PC-13. LICENSE FILES, APPRENTICE:

07-037

This series is arranged numerically, and documents apprentice plumbers, sewer and water contractors, sewer and water installers, water conditioning contractors, and appliance contractors and installers. Information may include: applications, correspondence, examinations, license renewals, receipts, verification of experience, out-of-state examination verifications, and copies of hearings. This record series is used to document the licensing and renewal process of all apprentice plumbers.

RETENTION: LICENSE RENEWALS AND RECEIPTS: Retain 1 year in office, then destroy.

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

(NOTE: Previous record series number was PL-22.)

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PC-14. LICENSE FILES, CONTRACTORS:

07-037

This series is arranged numerically, and documents those contractor plumbers, sewer and water contractors, sewer and water installers, water conditioning contractors, appliance contractors and installers that are licensed by the Commission. Information may include: applications, correspondence, examinations, license renewals, receipts, verification of experience, out-of-state examinations, verification, and copies of hearings. This record series is used to document the licensing and renewal process of all plumbing contractors.

RETENTION: LICENSE RENEWALS AND RECEIPTS: Retain 1 year in office, then destroy.

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

(NOTE: Previous record series number was PL-23.)

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PC-15. LICENSE FILES, JOURNEYMEN:

07-037

This series is arranged numerically, and documents those journeymen plumbers, sewer and water contractors, sewer and water installers, water conditioning contractors, appliance contractors and installers that are licensed by the Commission. Information may include: applications, correspondence, examinations, license renewals, receipts, verification of experience, out-of-state examination verifications, and copies of hearings. This record series is used to document licensing and renewal processes of all plumbing journeymen.

RETENTION: LICENSE RENEWALS AND RECEIPTS: Retain 1 year in office, then destroy.

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

(NOTE: Previous record series number was PL-24.)

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PC-16. LICENSE LISTINGS BY CITY:

07-037

This ring binder series is arranged alphabetically, and contains a list of license holders broken down by city. Information includes: city name, license type, licensee's name within each category, address, and employer name. This information is used to answer telephone inquiries concerning available plumbers in each city.

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

(NOTE: Previous record series number was PL-26.)

PC-17. LICENSE REGISTER:

07-037

This series is arranged alphabetically and provides a quick reference of license holders in any plumbing field. Information may include: name, address, business name, town, and type of license held. This record series summarizes information found in the license holder files.

RETENTION: Retain active in office. Retain inactive in office for 5 years. Destroy 5 years after inactive.

(NOTE: Previous record series number was PL-25.)

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PC-18. MINUTES, PLUMBING COMMISSION:

07-037

This series is arranged chronologically, and contains the official minutes of the Plumbing Commission meetings. Information may include: copies of agendas, dates of meetings, members present, topics discussed, actions taken, approving signatures, copies of the monthly budget reports, application records, and inspection reports. This record series is used for reference and documentation purposes concerning actions taken by the Commission.

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

(NOTE: Transfer microfilmed paper records to State Archives for final disposition.)

(NOTE: Previous record series number was PL-28.)

PC-19. PERMITS, TEMPORARY JOURNEYMEN/CONTRACTORS:

07-037

This series is arranged chronologically, and contains information on temporary permits to properly qualified individuals. Information may include: name, address, permit type, permit number assigned, date issued, and expiration date. This record series is maintained to document the temporary permit issued allowing plumbers to work until proper licenses are secured.

RETENTION: Retain 1 year in office, then destroy.

(NOTE: Previous record series number was PL-31.)

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PC-20. PLUMBING EXAMINATIONS:

07-037

This series is arranged numerically by identification number and contains completed plumbing examinations. Information may include: identification number, date of examination, final grades, applicant's signature, and exam questions. This record series is used for reference to answer inquiries from applicants.

RETENTION: Retain 30 days after the exam date, then destroy by shredding.

(Note: Exam scores are transferred to the appropriate License Files.)

(NOTE: Previous record series number was PL-43.)

PC-21. PLUMBING INSTALLATION CERTIFICATES:

07-037

This series is arranged numerically and contains information regarding contractor name, owner name, job location, and list of plumbing fixtures installed at the project. This record series is used for reference to determine homeowner and contractor information.

RETENTION: Retain 5 years in office, then transfer to storage for 3 years. Destroy after 3 years.

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

PC-22. PRODUCT REVIEW FILES:

07-037

This series is arranged alphabetically by name, and contains product information supplied by manufacturers. Information may include: correspondence, product photographs, product specifications, test results, and material approval certificates. This record series is used for review purposes to ensure that all new plumbing products will meet the State Plumbing Code, and to document permission granted to sell and use products in South Dakota. The information is occasionally used in revising the South Dakota Plumbing Code handbook

RETENTION: Retain 3 years in office, then destroy.

(NOTE: Previous record series number was PL-35.)

PC-23. RECEIPTS:

07-037

This series is arranged chronologically, and is used to document the receipt of money. Information includes: date issued, received of, address, amount, form of payment, purpose, and received by signature. They are used 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.

(NOTE: Previous record series number was PL-36.)

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

| | |
|------------------|-------------------------------|
| DEPARTMENT: | <u>Labor and Regulation</u> |
| DIVISION: | <u>Secretary</u> |
| OFFICE: | <u>Boards and Commissions</u> |
| PROGRAM: | <u>Plumbing Commission</u> |
| RECORDS OFFICER: | <u>Dawson Huber</u> |
| RM CUSTOMER #: | <u>0279</u> |

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

PC-24. RECIPROCITY AGREEMENTS:

07-037

This series is arranged alphabetically, and contains reciprocity agreements made between South Dakota and other states for licensing plumbing contractors and journeymen plumbers. Information may include: correspondence, and the actual agreement signed by officials from both states. This record series is maintained for reference concerning the terms and conditions of the agreements, and to draw up new agreements.

RETENTION: Retain current in office. Transfer terminated to storage for 5 years. Destroy 5 years after terminated.

(NOTE: Previous record series number was PL-37.)

PC-25. RECORDS MANAGEMENT FILES

07-037

This series contains the completed forms used to track inactive records that have been sent to Records Management (RM) Storage; and the department's "Records Retention and Destruction Schedule" (RRDS). Information may include: standard records transfer receipt forms, microfilm project registration forms; and microfilm and box destruction authorization forms. This record series is maintained for tracking records sent to Records Management storage, to document the time each record series must be legally maintained, and to document authorization granted to RM for destruction of obsolete records.

RETENTION: RECORD DESTRUCTION AUTHORIZATION FORMS: Retain 3 years in office, then destroy.

ALL OTHER INFORMATION: Retain current in office. Destroy superseded or obsolete.

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

| | |
|------------------|-------------------------------|
| DEPARTMENT: | <u>Labor and Regulation</u> |
| DIVISION: | <u>Secretary</u> |
| OFFICE: | <u>Boards and Commissions</u> |
| PROGRAM: | <u>Plumbing Commission</u> |
| RECORDS OFFICER: | <u>Dawson Huber</u> |
| RM CUSTOMER #: | <u>0279</u> |

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

PC-26. SALES AND USE TAX REPORTS:

07-037

This series is arranged chronologically, and contains copies of the Sales and Use Tax Report. Information may include: reporting period, return date, sales tax license number, gross sales, total tax due, and itemized deduction list. This report is submitted to the Department of Revenue and Regulation annually and documents sales and tax collected on State Plumbing Code book sales.

RETENTION: Retain 3 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was PL-38.)

PC-27. 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.