



DEPARTMENT OF LABOR &
REGULATION

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Human Resources and Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Human Resources and Administration
Records Management Program
1320 East Sioux Avenue
Pierre, South Dakota 57501

2025

PROJECT STAFF

Marcia Hultman, Secretary
Department of Labor and Regulation

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

Jim Dornbusch, Records Officer
Department of Labor and Regulation

Dana Hoffer
State Records Manager

STATE RECORD DESTRUCTION BOARD

Jason Kettwig, Deputy Commissioner
Bureau of Human Resources and Administration (Chairman)

Steven Blair
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 30, 2025

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, 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 Department of Labor (department) consists of 49 pages and contains record series number(s) DOL-1 (consecutively re-numbered) through DOL-79.

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 Department of Labor (department) record series numbers(s) LBR-001, LBR-002, LBR-004, LBR-005, LBR-123, LBR-006, LBR-124, LBR-007, LBR-008, LBR-011, LBR-012, LBR-014 thru LBR-017, LBR-019, LBR-020, LBR-022, LBR-023, LBR-025 thru LBR-028, LBR-032, LBR-034, LBR-036, LBR-038, LBR-041, LBR-044, LBR-046, LBR-039, LBR-047, LBR-048, LBR-050, LBR-052, LBR-051, LBR-062, LBR-063, COM-279 thru COM-281, COM-284, COM-286 thru COM-288, COM-290, COM-291, COM-293 thru COM-299, LBR-069, LBR-072, LBR-082 thru LBR-90, LBR-093 thru LBR-106, LBR-108 thru LBR-111, LBR-113 thru LBR-117, LBR-119, and LBR-120.

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
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
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.

Steve P. Lonerbach
Signature, Chairman of the Board

8-22-07
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS


I, Pamela S. Roberts (name), acting in my position as the 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 Department of Labor (department) consists of 1 page and contains record series number(s) DOL-60.

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 Department of Labor (department) record series numbers(s) N/A.

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

12-12-07
Date

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


Dana Hoffer, State Records Manager

12/17/07
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 18th day of December, 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

12-18-07
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Pamela S. Roberts (name), acting in my position as the 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 Department of Labor (department) consists of 2 pages and contains record series number(s) DOL-28.1 and DOL-29.1.

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 Department of Labor (department) record series numbers(s) N/A.

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
Pamela S. Roberts, Secretary of the Department of Labor

11-12-10
Date

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

Dana Hoffer
Dana Hoffer, State Records Manager

12-14-2010
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 15th day of December, 2010, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

Walter D. Hoffer
Signature, Chairman of the Board

12/15/10
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Marcia Hultman (name), acting in my position as the Secretary of the Department of Labor and Regulation (title), requests that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02. The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Labor and Regulation (department) consists of 12 pages and contains record series number(s) DOL-2, DOL-3, DOL-6, DOL-7, DOL-8, DOL-11, DOL-12, DOL-12.1, DOL-13, DOL-21, DOL-24, DOL-22, and DOL-29.

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 Department of Labor and Regulation (department) record series numbers(s) DOL-5, DOL-17, DOL-18, DOL-20, DOL-23, and DOL-28.1.

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.

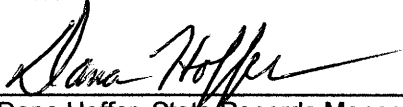


Marcia Hultman, Secretary of the Department of Labor and Regulation

11-10-15

Date

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



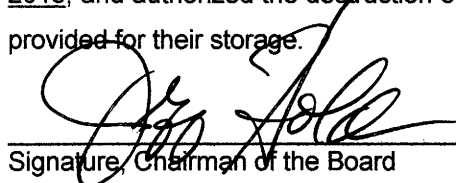
Dana Hoffer, State Records Manager

11-24-2015

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 16th day of December, 2015, 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

12-16-15

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Marcia Hultman, acting in my position as the Secretary of the Department of Labor and Regulation, requests that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02. The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Labor and Regulation (department) consists of 2 pages and contains record series number(s) DOL-52 and DOL-68.

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.



Marcia Hultman, Secretary of the Department of Labor and Regulation



Date

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



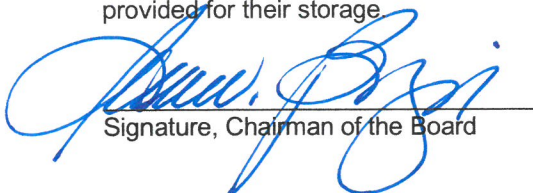
Dana Hoffer, State Records Manager



Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 11th day of December, 2017, 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



Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Marcia Hultman, acting in my position as the Secretary of the Department of Labor and Regulation, requests that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02. The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Labor and Regulation consists of 18 pages and contains record series number(s) DOL-2.1, DOL-25.1, DOL-25.2, DOL-27, DOL-27.1, DOL-27.2, DOL-27.3, DOL-26, DOL-26.1, DOL-26.2, DOL-26.3, DOL-26.4, DOL-26.5, DOL-26.6, DOL-60, DOL-69, DOL-69.1, DOL-71, DOL-72, DOL-73.1, DOL-76, DOL-76.1, and DOL-77.

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 Department of Labor & Regulation record series number(s) DOL-40, DOL-41, DOL-42, DOL-70, DOL-74, and DOL-79.

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.

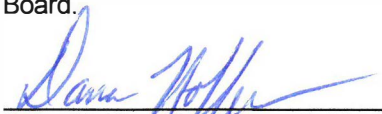


Marcia Hultman, Secretary of the Department of Labor and Regulation



Date

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



Dana Hoffer, State Records Manager



Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 6th day of December, 2018, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

See Attached Addendum

Scott Bollinger, Chairman of the Board

Date

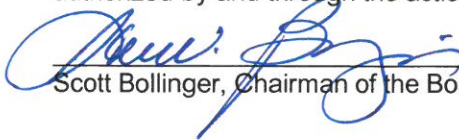
Addendum to the Department of Labor and Regulation's Petition for Authority to Destroy Records.

Records Destruction Board's Action:

- Amended the retention for DOL-76.1 to read: **Retention:** Retain 5 years in office, then destroy transfer to State Archives for final disposition.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the __6th__ day of __December__, 2018, 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.



Scott Bollinger, Chairman of the Board

1-3-19

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Marcia Hultman, acting in my position as the Secretary of the Department of Labor and Regulation, 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 Labor and Regulation consists of 34 page(s) and contains record series number(s) DOL-3, DOL-6, DOL-8, DOL-11, DOL-12, DOL-12.1, DOL-13, DOL-9, DOL-25.1, DOL-25.2, DOL-27, DOL-27.1, DOL-27.2, DOL-27.3, DOL-26.1, DOL-26.2, DOL-26.3, DOL-26.4, DOL-26.5, DOL-26.6, DOL-36, DOL-50, DOL-52, DOL-53, DOL-4, DOL-57, DOL-58, DOL-59, DOL-60, DOL-61, DOL-63, DOL-64, DOL-67, DOL-69, DOL-72, DOL-73, DOL-73.1, DOL-75, DOL-76, DOL-76.1, DOL-77, and DOL-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.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Labor and Regulation consists of 2 page(s) and contains record series number(s) DOL-10 and DOL-62.

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.



Marcia Hultman, Secretary of the Department of
Labor and Regulation

10-26-21
Date

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



Dana Hoffer, State Records Manager

10/28/2021
Date


Addendum to the Department of Labor and Regulation's Petition for Authority to Destroy Records.

Records Destruction Board's Action(s):

- Amend DOL-27 by removing (~~Note: Subject to screening by State Archives prior to disposal.~~); and update the following note to read as: (~~Note: File Newsletters with the State Library pursuant to SDCL 14-1A and ARSD 24:30:07:06; and file one copy with State Archives.~~)
- Amend the retention for the Electronic Images for DOL-57 to read as: ELECTRONIC IMAGES: Retain for 80 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken. ~~Convert to microfilm as volume warrants and maintain film and images for 80 years, then destroy.~~

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 8th day of December, 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 21-021.**



Scott W Bollinger, Chairman of the Board

12-8-2021
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Marcia Hultman, acting in my position as the Secretary of the Department of Labor and Regulation, 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 Labor and Regulation consists of 15 page(s) and contains record series number(s) DOL-25.2, DOL-27, DOL-27.1, DOL-27.2, DOL-27.3, DOL-26.1, DOL-26.2, DOL-26.3, DOL-26.4, DOL-26.5, DOL-26.6, DOL-33, DOL-4, DOL-64, and DOL-76.1.

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.

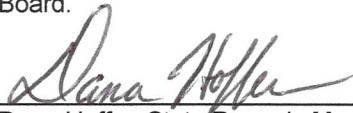


Marcia Hultman, Secretary of the Department of Labor and Regulation



Date

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



Dana Hoffer, State Records Manager



Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 29th day of July 2025 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 25-011.**

Jason.Kettwig Digitally signed by Jason.Kettwig
Date: 2025.08.19 10:22:03 -05'00'

Jason W. Kettwig, Chairman of the Board

South Dakota Codified Laws:

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

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

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

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

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

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

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

Notes, Record Handling, & Definitions:

Notes:

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

Record Handling:

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

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

TABLE OF CONTENTS

Department of Labor & Regulation

DIVISION: Secretariat
OFFICE: Secretariat
PROGRAM: Administration

DOL-1.	ADMINISTRATIVE REFERENCE FILES:	1
DOL-2.	APPEALS:	2
DOL-2.1.	OPEN RECORDS REQUEST:	2
DOL-3.	RECORDS MANAGEMENT FILE:	3

OFFICE: Administrative Services

Administration/Fiscal:

DOL-6.	BANK STATEMENTS:	4
DOL-7.	CONTRACTS:	5
DOL-8.	ELECTRONIC FUNDS TRANSFER/PROGRAM RECEIPTS:	6
DOL-10.	PRINCIPLE FINANCIAL GROUP RETIREMENT FILE: DELETED FROM SCHEDULE, 12/08/2021.	7
DOL-11.	PURCHASE ORDERS & REQUISITIONS:	7
DOL-12.	RECEIPTS BOOKS:	8
DOL-12.1.	SURPLUS PROPERTY FILES:	8
DOL-13.	VOUCHERS:	9
DOL-9.	WORKFORCE TRAINING PROGRAMS FINANCIAL RECORDS: ..	10

OFFICE: Employment Services

Administration:

DOL-14.	ADMINISTRATIVE REFERENCE FILE:	11
---------	--------------------------------------	----

Adult Education:

DOL-15.	AEFLA FISCAL DATA:	12
DOL-16.	FIVE YEAR STATE PLAN:	12
DOL-19.	LOCAL PROGRAM FILE:	13

Foreign Labor Certification:

DOL-21.	FOREIGN LABOR CERTIFICATION PROGRAM:	14
---------	--	----

Migrant & Seasonal Work:

DOL-24.	MIGRANT & SEASONAL WORKER COMPLIANCE REPORTS:	15
---------	--	----

TABLE OF CONTENTS

Monitor Advocate:

DOL-25. COMPLAINT LOG:	16
------------------------------	----

Policy and Public Affairs:

DOL-25.1. AGRICULTURAL EMPLOYMENT SURVEYS:.....	17
DOL-25.2. ANNUAL REFILEING SURVEY (ARS) FILE:	18
DOL-27. E-NEWSLETTERS:.....	19
DOL-27.1. ENHANCED QUARTERLY UNEMPLOYMENT INSURANCE (EQUI) FILE:.....	20
DOL-27.2. LOCAL AREA UNEMPLOYMENT STATISTICS (LAUS):.....	21
DOL-27.3. MULTIPLE WORKSITE REPORT (MWR):	22
DOL-26. NEWS RELEASES:.....	23
DOL-26.1. NON-COVERED EMPLOYMENT (NCE) SURVEY:	23
DOL-26.2. OCCUPATIONAL EMPLOYMENT AND WAGE STATISTICS:	24
DOL-26.3. QCEW MACRO DATA FILES:.....	25
DOL-26.4. QCEW MICRO DATA FILES:.....	26
DOL-26.5. SOUTH DAKOTA E-LABOR BULLETIN:	27
DOL-26.6. VIRTUAL LABOR MARKET DATA SYSTEM:	28

SNAP:

DOL-22. SUPPLEMENTAL NUTRITIONAL ASSISTANCE PROGRAM (SNAP):	29
--	----

TANF:

DOL-28. TANF CLIENT FILES:	30
----------------------------------	----

Workforce Training:

DOL-29. CLIENT CHARACTERISTIC BY WIA/WIOA PROGRAM:	31
DOL-29.1. NATIONAL CAREER READINESS CERTIFICATE (NCRC) AND KEY TRAIN:.....	31
DOL-30. REPORTS, CAREER CENTER OFFICES/ON-SITE:.....	32
DOL-31. REVIEW FILE WIA CLIENT:	32
DOL-32. REVIEW FILES, PROGRAMS:.....	33
DOL-33. WORKFORCE DEVELOPMENT COUNCIL MEETINGS:	33
DOL-34. WORKFORCE INVESTMENT ACT CLIENT FILES:.....	34

Work Opportunity (WOTC):

DOL-35. WORK OPPORTUNITY TAX CREDIT FILES:	35
--	----

TABLE OF CONTENTS

DIVISION: Field Operations

OFFICE: Field Operations

Administration:

DOL-36. ADMINISTRATIVE REFERENCE FILE: 36

Career Center Field Operations:

DOL-37. CLIENT FILES, WIA, TANF, FOOD STAMPS, JOB CORPS:..... 37

DOL-38. SOUTH DAKOTA WORKS: 37

DOL-39. WORK OPPORTUNITY TAX CREDIT PROGRAMS FILE: 38

DIVISION: Labor & Management

OFFICE: Labor & Management

Administration:

DOL-43. ADMINISTRATIVE REFERENCE FILE: 39

DOL-44. ADMINISTRATIVE RULE PROMULGATION FILES:..... 39

DOL-45. CASE MANAGEMENT PLAN FILES: 40

DOL-46. ELECTIONS, UNION FILES: 40

DOL-47. EMPLOYER HISTORY, WORKERS' COMPENSATION: 41

DOL-48. EXTRA-TERRITORIAL FILES, WORKERS' COMPENSATION: 41

DOL-49. GRIEVANCES, STATEWIDE: 42

DOL-50. HEARING FILE, WORKERS' COMPENSATION: 42

DOL-51. IMPASSE, SCHOOL: 43

**DOL-52. INDEPENDENT CONTRACTOR VERIFICATION APPLICATIONS,
WORKERS' COMPENSATION: 43**

DOL-53. SELF-INSURER FILE, WORKERS' COMPENSATION: 44

DOL-54. UNFAIR LABOR PRACTICE FILES: 44

DOL-55. UNFAIR LABOR PRACTICES HEARING FILE: 45

DOL-56. WAGE CLAIMS FILES: 45

DOL-4. WORKER'S COMPENSATION ADVISORY COUNCIL: 46

DOL-57. WORKERS' COMPENSATION CLAIMS: 46

Human Rights:

DOL-58. ADMINISTRATIVE REFERENCE FILE: 47

DOL-59. ADMINISTRATIVE RULE PROMULGATION FILES:..... 48

DOL-60. CASE FILES: 49

DOL-61. CASE REVIEWS:..... 49

DOL-62. CONTRACT FILE: DELETED FROM SCHEDULE, 12/08/2021. 50

DOL-63. E.E.O.C. REFERENCE FILES:..... 50

DOL-64. MEETING MINUTES, COMMISSION ON HUMAN RIGHTS: 50

TABLE OF CONTENTS

DIVISION: **Remployment Assistance**

OFFICE: **Remployment Assistance Services**

Administration:

DOL-65. ADMINISTRATIVE REFERENCE FILE:	51
DOL-66. ADMINISTRATION RULE PROMULGATION FILES:	51
DOL-67. APPEAL CASE FILES:	52
DOL-68. BENEFIT CHECKS, CANCELLED:.....	52
DOL-69. BENEFIT STATEMENT OF CHARGES REPORT:.....	53
DOL-69.1. CROSS-MATCH AUDITS:.....	53
DOL-71. EDIT PRINTOUTS:	53
DOL-72. EMPLOYER FILE:.....	54
DOL-73. EMPLOYER HISTORY SYSTEM:	55
DOL-73.1. FEDERAL PERFORMANCE PROGRAMS:.....	55
DOL-75. FIELD SERVICE ASSIGNMENT RECORD:	56
DOL-76. OVERPAYMENT FILES:	56
DOL-76.1. REEMPLOYMENT ASSISTANCE ADVISORY COUNCIL:	57
DOL-77. REEMPLOYMENT ASSISTANCE CLAIMS FILE:.....	57
DOL-78. WARRANT REGISTER PRINTOUT:	58

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>Secretariat</u>
OFFICE:	<u>Secretariat</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-1. ADMINISTRATIVE REFERENCE FILES:

07-031

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

RETENTION: FEDERAL CORRESPONDENCE: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

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

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

(Note: General Correspondence is subject to archival screening prior to disposal.)

(NOTE: Previous record series number was LBR-127.)

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>Secretariat</u>
OFFICE:	<u>Secretariat</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-2. APPEALS:

15-010

This series contains convenience copies of appeals made, and decisions rendered by the Secretary of Labor. Information may include: appellant's name, date of appeal, date of review, date mailed, text of the review, and related correspondence. This record series is maintained in case the Secretary's decision is appealed within the allotted 30-day period.

RETENTION: Retain 45 days in office after last action, then destroy.

(NOTE: Previous record series number was LBR-003.)

DOL-2.1. OPEN RECORDS REQUEST:

18-012

This series contains open record requests received by the agency. Information may include: open records request, correspondence, denial letters, and supporting documentation. This series is maintained to document the outcome of requests and for reference purposes. Denial letters are maintained pursuant to SDCL 1-27-1.4.

RETENTION: DENIAL LETTERS: Retain permanently.

ALL OTHER INFORMATION: 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>Labor and Regulation</u>
DIVISION:	<u>Secretariat</u>
OFFICE:	<u>Secretariat</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-3. RECORDS MANAGEMENT FILE:

21-021

This series contains records management information. Information may include: copies of the standard records transfer receipt forms, Records Retention and Destruction Schedule (RRDS), inventory listings, and Records Management's 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 electronically for 5 years, 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>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-6. BANK STATEMENTS:

21-021

This series is arranged chronologically and contains records sent from individual banks to use for reconciliation purposes. Information may include: beginning balance, debits, credits, charges, and ending balance. This record series is used to reconcile accounts with bank balances, for reference, and for audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 4 years. Destroy 5 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:	<u>Labor and Regulation</u>
DIVISION:	<u>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-7. CONTRACTS:

15-010

This series contains contracts made by the Department of Labor and Regulation. Information may include: terms and conditions, effective dates, costs, and funding sources. Contracts may include: maintenance, work-study, training, consultant, and service. This record series is maintained for reference, documentation, and formulating new contracts.

RETENTION: PAPER: Scan and retain current in office. Transfer terminated to storage for 2 years. Destroy 2 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

ELECTRONIC IMAGES/FILES: Retain in the Department's scanning system for 6 years after the completion of the contract, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: SDCL 1-24A-1 requires that a copy of all consultant contracts be filed with the State Auditor.)

(NOTE: Previous record series number was LBR-018.)

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>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-8. ELECTRONIC FUNDS TRANSFER/PROGRAM RECEIPTS:

21-021

This series contains a copy of the documents sent to HHS on PMS to draw down funds for grants and contracts. Information may include: account number, PIN number, document number, amount requested, amount of funds on hand, and the amount of funds outstanding. This record series is used to request funds and to document the transfer of funds to the respective state programs.

RETENTION: PAPER: Scan weekly and retain paper for 6 months, then destroy provided scanned images have been verified to be accurate and complete.

ELECTRONIC IMAGES/FILES: Retain 5 years in the Department's scanning system, 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>Labor and Regulation</u>
DIVISION:	<u>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-10. PRINCIPLE FINANCIAL GROUP RETIREMENT FILE:
Deleted from Schedule, 12/08/2021.

DOL-11. PURCHASE ORDERS & REQUISITIONS:

21-021

This series contains the agency-generated requisition, agency-generated purchase orders, and Office of Procurement Management-generated purchase orders compiled after receiving the agency's requisition form. Each order lists: item number, stock number, quantity, unit, description, unit price, and amount paid. Purchase orders create encumbrances against agency funds and will appear on the Daily Transaction Register and Transaction Progress Report when processing has been completed. This record series is maintained for audit purposes.

RETENTION: Scan and retain electronically for 5 years in the Department's scanning system, 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>Labor and Regulation</u>
DIVISION:	<u>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-12. RECEIPTS BOOKS:

21-021

This series is arranged chronologically and is used to document the receipt of money. Information may include: date issued, received of, address, amount, form of payment, purpose, and received by signature. The record series is used for audit purposes.

RETENTION: Retain 1 year in office, then 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.

DOL-12.1. SURPLUS PROPERTY FILES:

21-021

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 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.

(Note: Surplus transfer documents are created and retained electronically.)

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>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-13. VOUCHERS:

21-021

This series may contains: copies of direct vouchers, receiving vouchers, non-cash vouchers and journal vouchers, along with copies of any supporting invoices or receipts. Vouchers are used to enter transactions on the central accounting system.

RETENTION: DIRECT VOUCHERS: Scan daily before sending the originals to the State Auditor's Office for processing.

ALL OTHER VOUCHERS: Scan weekly and retain paper for 6 months, then destroy provided scanned images have been verified to be accurate and complete.

ELECTRONIC IMAGES/FILES: Retain 5 years in the Department's scanning system, 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>Labor and Regulation</u>
DIVISION:	<u>Secretariat</u>
OFFICE:	<u>Administrative Services</u>
PROGRAM:	<u>Administration/Fiscal</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>1210</u>

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

DOL-9. WORKFORCE TRAINING PROGRAMS FINANCIAL RECORDS:

21-021

This series contains the documentation necessary to administer payments related to the Job Service training programs. Information may include: pay records and time cards for training clients; check registers; journals; and ledgers (date, transaction type, amount, and purpose). Entries made to the journals and ledgers provide information for the cost accounting system. This record series is maintained to document and monitor payments made from workforce training funds.

RETENTION: Retain electronically for 5 years. Destroy 5 years after closed 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>Labor and Regulation</u>
DIVISION:	<u>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-14. ADMINISTRATIVE REFERENCE FILE:

07-031

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: personnel reports, budget, equipment, inventory, legislation, organization/association, and property management information; reports; grant applications; grant reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; general correspondence, Work Investment Act (WIA) administrative files, and any other related information. This record series is maintained for reference purposes.

RETENTION: WIA ADMINISTRATIVE FILES: 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 INFORMATION: Retain current in office. Destroy superseded or obsolete.

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

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Adult Education</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-15. AEFLA FISCAL DATA:

07-031

This series contains outlines of Federal, State, and Local funds for Adult Education Family Literacy Act (AEFLA.) This record series is used to prepare financial reports which are sent to Washington D.C.

RETENTION: Retain in office until final expenditure report has been submitted, then transfer to storage for 4 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: When these records are sent to Records Management for storage, please use the date the final expenditure was submitted as the inclusive dates for the records transmittal.)

DOL-16. FIVE YEAR STATE PLAN:

07-031

This series is arranged by State Plan and contains the Adult education Five Year State Plan. Information may include: target audience, objectives, activities, evaluation and design, sample competitive grant forms, criteria to approve competitive grant, memos, correspondence, copies of annual reports, and evaluation reports. This record series is used for reference purposes and for final federal reporting purposes.

RETENTION: Retain in office until final expenditure report has been submitted, then transfer to storage for 4 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: When these records are sent to Records Management for storage, please use the date the final expenditure was submitted as the inclusive dates for the records transmittal.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Adult Education</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-19. LOCAL PROGRAM FILE:

07-031

This series is arranged alphabetically and contains local program information. Information may include: grant goals and objectives, approval letter, correspondence, and budget information. This record series is used for reference and administrative purposes.

RETENTION: Retain in office until final expenditure report has been submitted, then transfer to storage for 4 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: When these records are sent to Records Management for storage, please use the date the final expenditure was submitted as the inclusive dates for the records transmittal.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Foreign Labor Certification</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-21. FOREIGN LABOR CERTIFICATION PROGRAM:

15-010

This series contains copies of documentation used to certify the need to allow the immigration of individuals from a foreign country to fill vacancies in the United States. Information may include: requests for immigration, correspondence, verification of job advertisement, and statement of the outcome. The originals are sent to US Department of Labor for processing.

RETENTION: Retain 5 years in office from the date of final correspondence (i.e. certification letter), then destroy.

(NOTE: Previous record series number was LBR-035.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Migrant & Seasonal Work</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-24. MIGRANT & SEASONAL WORKER COMPLIANCE REPORTS:

15-010

This quarterly aggregate report is mandated by the United States government to document the quality and quantity of services provided to migrant and seasonal workers. Information may include: number of referrals and a summary of the various other services offered. This record series is used for documentation purposes and for prevention of any possible discrimination.

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 LBR-043.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Monitor Advocate</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-25. COMPLAINT LOG:

07-031

This series is arranged chronologically by date and contains copies of standard forms sent to the state monitor advocate in the Pierre Central Office. Information includes: type of complaint received and the response to each. This record series is maintained for federal and state Department of Labor reporting purposes.

RETENTION: Retain 1 year in office, 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 LBR-092.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-25.1. AGRICULTURAL EMPLOYMENT SURVEYS:

21-021

This series contains the response to the Labor Market Information Center's (LMIC) agricultural employment surveys. Surveys may include, but are not limited to: South Dakota Bee Worker Wage Survey, South Dakota Small Grains Custom Harvester Survey, and South Dakota Prevailing Normal and Accepted Practices Survey. The Bee Worker Wage and the Small Grain Customer Harvester surveys are conducted annually to comply with the provisions of the Immigration and Nationality Act (INA). The Prevailing Normal and Accepted Practices survey is conducted annually to comply with the provisions under Title 20 of the Code of Federal Rules to assist prospective H-2A employers in preparing their agricultural job offers.

RETENTION: RESPONSES: Retain paper and electronic surveys for 1 year, then destroy.

TABULATED SURVEY DATA: Retain permanently.

(Note: Tabulated data for Custom Harvester is retained in electronic format from 2005 forward; Bee Worker is retained in electronic format from 2006 forward; and Prevailing Normal and Accepted Practices is retained in electronic format from 2012 forward.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-25.2. ANNUAL REFILING SURVEY (ARS) FILE:

25-011

This series contains the Annual Refiling Survey file which is a component of the Quarterly Census of Employment and Wage (QCEW) program designed to collect industry, geographical, and ownership detailed data elements on select employers. Information may include: unemployment insurance account number, business mailing address, business location, county, business activity with percentage of sales/revenue, and contact information. This record series is used for reporting purposes.

RETENTION: Retain electronically until after the completion of the next cycle (5 years) for the same employers in the sample, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: A state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-27. E-NEWSLETTERS:

25-011

This series contains copies of newsletters written for the Department of Labor and Regulation. They serve to convey information about such issues as: labor market information, job services, labor laws, unemployment insurance, and insurance regulation.

RETENTION: Post current and previous calendar year on-line. Retain in SharePoint for 7 years, then destroy.

(Note: Most data contained in the e-Bulletin is available as a historical series in the virtual labor market system.)

(Note: File Newsletters with the State Library pursuant to SDCL 14-1A and ARSD 24:30:07:06; and file one copy with State Archives.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-27.1. ENHANCED QUARTERLY UNEMPLOYMENT INSURANCE (EQUI) FILE:

25-011

This series contains the Enhanced Quarterly Unemployment Insurance (EQUI) data file. Information may include: addresses, dates, SIC codes, NAICS codes, contributions, taxable wage, and type of coverage. This record series is used for reporting purposes.

RETENTION: Retain in machine-readable form for minimum 3 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-27.2. LOCAL AREA UNEMPLOYMENT STATISTICS (LAUS):

25-011

This series contains the Local Area Unemployment Statistics. The LAUS program produces monthly and annual employment, unemployment, and labor force data for Census regions and divisions, States, counties, metropolitan areas, and many cities, by place of residence.

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: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-27.3. MULTIPLE WORKSITE REPORT (MWR):

25-011

This series contains the multiple worksite report form submitted by employers with multiple worksite locations. Information may include: business name and address, UI number, quarter ending date, due date, worksite address, worksite description, number of employees, quarterly wages of worksite, totals, and name and phone number of contact person. This record series is used for reporting purposes.

RETENTION: Retain paper and electronic files for 8 quarters (the quarter most recently mailed and the seven prior quarters). Destroy superseded provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: U.S. Bureau of Labor Statistics recommends MWR records be kept in a manner that staff can retrieve them with reasonable ease, for example, by batch number.)

(Note: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-26. NEWS RELEASES:

18-012

This series contains a record of all news releases written and released by the Department of Labor and Regulation. This record series is kept for convenience of reference and documentation.

RETENTION: Retain 7 years on-line, then destroy.

(Note: File News Releases with the State Library pursuant to SDCL 14-1A and ARSD 24:30:07:06.)

(NOTE: Previous record series number was LBR-009.)

DOL-26.1. NON-COVERED EMPLOYMENT (NCE) SURVEY:

25-011

This series contains the responses from the Non-covered Employment Survey. Information may include: total number of non-covered employees for reporting period, contact information, number of non-covered employees by occupation type, and the number of non-covered workers per reference period, if more than 100 workers. This survey is used to gather information from employers who may employ workers not covered by unemployment insurance.

RETENTION: Retain paper and electronic survey responses current in office. Destroy superseded or obsolete.

(Note: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-26.2. OCCUPATIONAL EMPLOYMENT AND WAGE STATISTICS:

25-011

This series contains the Occupational Employment and Wage Statistics (OEWS) surveys which measures occupational employment and wage rates of wage and salary workers in non-farm establishments. OEWS survey forms may be retained on paper or as electronic files. Information may include: establishment's name, location, operation status, and products or services; estimates of employment; number of employees by location; contact information; occupational title and description of duties; and the number of employees by wage (or by wage interval as an alternative). This record series is used for reporting purposes.

RETENTION: Retain electronic files and paper survey forms 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: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-26.3. QCEW MACRO DATA FILES:

25-011

This series contains the macro level QCEW data files which are aggregated by industry, ownership, and county used to produce a comprehensive set of employment and wage data for every county in South Dakota. Data is summed to produce totals by metropolitan area and State at every level of industrial detail. This series is used to provide detailed, accurate, and comprehensive macro data for all covered sectors of the South Dakota economy.

RETENTION: Retain electronic files (or paper copies for years prior to electronic availability) for 40 years, then destroy.

(Note: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-26.4. QCEW MICRO DATA FILES:

25-011

This series contains the micro level QCEW data file which is a census of payroll employment. Information may include: wage, employment, address, and coding information for individual establishments. This series is a sampling frame for the Bureau of Labor Statistics (BLS) surveys and linked longitudinally for labor market research.

RETENTION: Retain in machine readable form for a minimum of 3 years. Destroy 40 years after submittal to BLS, provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Per U.S. Bureau of Labor Statistics guidance, a state agency will retain records in accordance with 2 CFR 200.334 – 200.338, Record Retention and Access. Financial records, supporting documents, statistical reports, and all other non-Federal entity records pertinent to a Federal award must comply with the retention requirements of 2 CFR § 200.334.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-26.5. SOUTH DAKOTA E-LABOR BULLETIN:

25-011

This series contains the South Dakota Labor e-Bulletin, which is monthly publication of the Department of Labor and Regulation. Information may include: overview of current labor market, unemployment rates, nonfarm and salaried workers information, labor supply, labor force, annualized pay of workers covered by unemployment insurance, activities of the Department of Labor and Regulation, and national indicators.

RETENTION: Retain current on-line. Destroy superseded.

(Note: Most data contained in the e-Bulletin is available as a historical series in the virtual labor market system.)

(Note: File publications with the State Library pursuant to SDCL 14-1A and ARSD 24:30:07:06; and file one copy with State Archives.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Policy and Public Affairs</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-26.6. VIRTUAL LABOR MARKET DATA SYSTEM:

25-011

This on-line data system contains current statistics and historical data of the labor market of the state. Information may include, but is not limited to: Occupational Employment and Wage Statistics (OEWS), Quarterly Census of Employment and Wages (QCEW); Industry and Occupational Employment Projections; Current Employment Statistics (CES); and Labor Force.

RETENTION: HISTORICAL DATA SETS: Retain permanently.

ALL OTHER DATA SETS: Retain current.

(Note: Monthly and annual QCEW data is maintained by LMIC in paper format from 1979 through 1989; electronic format from 1990 through 3rd Quarter 2001; and starting 4th Quarter 2001 forward is available via the virtual labor market system.

Monthly and annual Labor Force Data is available via the virtual labor market system for January 1990 forward for all areas except cities with populations under 25,000. Data for those cities is available for January 2008 forward.

Monthly data for CES is available via the virtual labor market system for January 1990 forward.

Employment projections and wages estimates are not intended to be kept for historical purposes.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>SNAP</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-22. SUPPLEMENTAL NUTRITIONAL ASSISTANCE PROGRAM (SNAP):

15-010

This series is arranged alphabetically by client name and contains all the documentation of all clients in SNAP. Information may include: SNAP application, client characteristics form, social and economic data, program reviews, and exit interview forms. This record series is used to help determine eligibility of the clients as well as track their progress in the program.

RETENTION: Retain current client files in office. Transfer closed files to storage for 6 years. Destroy after 6 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 LBR-042.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>TANF</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-28. TANF CLIENT FILES:

07-031

This series is arranged alphabetically by client name and contains all the documentation of all clients in the Temporary Assistance for Needy Families (TANF) program. Information may include: TANF application, client characteristics form, social and economic data, program reviews, and exit interview forms. This record series is used to help determine eligibility of the clients as well as track their progress in the program.

RETENTION: Retain current in office. Transfer closed to storage for 6 years. Destroy 6 years after closed 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 LBR-126.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Workforce Training</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-29. CLIENT CHARACTERISTIC BY WIA/WIOA PROGRAM:

15-010

This series consists of copies of monthly computer reports arranged by program activities such as: WIA program, and Title 1-9, 10, 14, and 16. Information may include: client characteristics, number of clients seeking employment, number hired, type of employment, age, sex, and income. This record series is maintained for administrative and audit purposes.

RETENTION: Retain current client files in office. Transfer closed files to storage for 4 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 LBR-049.)

DOL-29.1. NATIONAL CAREER READINESS CERTIFICATE (NCRC) AND KEY TRAIN:

10-009

This series is arranged alphabetically subject title and contains information used in the administration of the NCRC. Information may include: reports, grant applications, research materials, policies and procedures, reference manuals, mailing lists, general correspondence, and administrative file. This record series is maintained 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.

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Workforce Training</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-30. REPORTS, CAREER CENTER OFFICES/ON-SITE:

07-031

This series contains copies of completed on-site reviews performed at various Career Center offices for various programs. A copy is sent to the respective Career Center offices by the monitor/review team. Information may include: the office name, number of employees in the office, number of clients served by the office during the period, and the various types of services provided to the client. The monitor/review team uses past reports to verify whether or not discrepancies have been corrected.

RETENTION: Retain current in office, then destroy.

(NOTE: Previous record series number was LBR-048.)

DOL-31. REVIEW FILE WIA CLIENT:

07-031

This series contains federally mandated review of a random sampling of clients who participate in the WIA program. The internal auditor interviews WIA clients to determine the accuracy of information contained in WIA Client Files. Information may include: name, social security number, identification number, eligibility criteria, comments, and personnel notes. This record series is maintained by a local office.

RETENTION: Retain current client files in office. Transfer closed files to storage for 4 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 LBR-053.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Workforce Training</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-32. REVIEW FILES, PROGRAMS:

07-031

This series includes a summary of on-site reviews of the various offices. Information may include: various performance indicators, deficiencies, recommendations, and staff questionnaires.

RETENTION: Retain current in office, then destroy.

(NOTE: Previous record series number was LBR-054.)

DOL-33. WORKFORCE DEVELOPMENT COUNCIL MEETINGS:

25-011

This series is arranged chronologically by meeting date and contains the Workforce Development Council Meeting Minutes. Information may include: date of meeting; members present; topics discussed; action taken; authorized signatures; operation, budgetary, and descriptive information; and proposals distributed to the members. This record series is maintained to ensure the management of the WIA program, for reference concerning actions taken, for reporting, and for audit purposes.

RETENTION: Retain 5 years on-line, then remove. Retain permanently in SharePoint.

(NOTE: Previous record series number was LBR-122.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Workforce Training</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0558</u>

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

DOL-34. WORKFORCE INVESTMENT ACT CLIENT FILES:

07-031

This series contains the documentation of all clients in the WIA Program. Information may include: application forms, client characteristic forms, social and economic data, classroom training requests, job related requests, and exit interview forms. This record series is used to determine eligibility of the clients as well as tracking their progress in the various programs.

RETENTION: Retain current client files in office. Transfer closed files to storage for 4 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 LBR-040.)

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>Secretariat</u>
OFFICE:	<u>Employment Services</u>
PROGRAM:	<u>Work Opportunity (WOTC)</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-35. WORK OPPORTUNITY TAX CREDIT FILES:

07-031

This series contains workforce job tax credit forms and tax credit certifications. The information is furnished by the respective employers who are applying to the Internal Revenue Service for a tax credit. The employer lists: the name of the business, address, type of business, and characteristics of the employee(s).

RETENTION: Retain 1 year in office, then 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.

(NOTE: Previous record series number was LBR-045.)

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>Field Operations</u>
OFFICE:	<u>Field Operations</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-36. ADMINISTRATIVE REFERENCE FILE:

21-021

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: personnel reports, 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: Review files on a yearly basis to avoid build-up of superseded or obsolete materials.)

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>Field Operations</u>
OFFICE:	<u>Field Operations</u>
PROGRAM:	<u>Career Center Field Operations</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</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>

DOL-37. CLIENT FILES, WIA, TANF, FOOD STAMPS, JOB CORPS:

07-031

This series is arranged alphabetically by client name and contains information relating to each type of program the clients have participated in. Information may include: client name, mailing address, training eligibility and status form, program participation application, employment development plan, release of information and privacy act agreement, program data sheets, placement information, enrollment reports, and departure reports. This record series is used to document participation in each of the various programs offered by Career Center, and for performance statistics.

RETENTION: For TANF and Food Stamp Files: Retain current in office. Transfer closed to storage for 6 years, provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

For All Other Files: Retain 1 year in office, transfer closed files to storage for 3 years. Destroy after closed 4 years.

(NOTE: Previous record series number was LBR-091.)

DOL-38. SOUTH DAKOTA WORKS:

07-031

This computer system tracks employer contact information, job orders, and job seeker applications; matches job seekers to employer job orders; and tracks Department of Labor program participants.

RETENTION: Retain contact information current. Maintain work application and job order for 1 year. Retain source data supporting counts for 2 years after the report due date.

(NOTE: Previous record series number was LBR-128.)

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>Field Operations</u>
OFFICE:	<u>Field Operations</u>
PROGRAM:	<u>Career Center Field Operations</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0048</u>

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

DOL-39. WORK OPPORTUNITY TAX CREDIT PROGRAMS FILE:

07-031

This series contains conditional certification by Career Center offices regarding employers who are applying to the Internal Revenue Service for a tax credit. The employer lists: the name of the business and characteristics of the employee(s).

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Previous record series number was LBR-107.)

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-43. ADMINISTRATIVE REFERENCE FILE:

07-031

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: personnel reports, budget, 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.)

DOL-44. ADMINISTRATIVE RULE PROMULGATION FILES:

07-031

This series contains notices of public hearings, affidavits of publication of notice, written comments from the public, and transcripts from the hearings. 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 current in office, then destroy superseded or obsolete.

(Note: SDCL 11-26-7 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 these.)

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-45. CASE MANAGEMENT PLAN FILES:

07-031

This series contains applications filed by case management plans for status as certified plans, and documentation certifying insurer's compliance with the case management law. Information may include: application, correspondence, annual activity reports, plan certificate, and case management compliance certificates. This record series is maintained for administrative purposes.

RETENTION: Retain application 5 years in office, then destroy. Retain all other documents 1 year, then destroy.

DOL-46. ELECTIONS, UNION FILES:

07-031

This series documents the elections held to ratify union charters. Information may include: petition for election, election results, and certification by Labor and Management. This record series is maintained to document the supervision of the elections.

RETENTION: Retain 1 year in office, then destroy.

(NOTE: Previous record series number was LBR-055.)

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-47. EMPLOYER HISTORY, WORKERS' COMPENSATION:

07-031

This series is maintained by FEIN number or name and contains the employer history database. Information may include: employer name, Doing Business As (DBA) name, address, telephone number, and insurance history. This record series is maintained for reference to insurance at risk for dated injury.

RETENTION: Retain database current.

(NOTE: Previous record series number was LBR-056.)

DOL-48. EXTRA-TERRITORIAL FILES, WORKERS' COMPENSATION:

07-031

This series contains documents filed by out-of-state businesses who are requesting approval to operate temporarily in South Dakota. Information may include: name, address, policy number, notification of intent to operate in South Dakota, signatures, and proof of insurance. This record series is maintained as required by State Law requiring businesses show proof that they carry employee insurance.

RETENTION: Retain 1 year in office, then destroy.

(NOTE: Previous record series number was LBR-057.)

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-49. GRIEVANCES, STATEWIDE:

07-031

This series contains grievances hearing files. Information may include: the grievance form, hearing transcript, decision, findings of fact, and order. This record series is maintained by the Director of Labor and Management and is used in the hearing and arbitration of disputes between employers and employees.

RETENTION: Retain 1 year in office, 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 LBR-058.)

DOL-50. HEARING FILE, WORKERS' COMPENSATION:

21-021

This series contains the workers' compensation hearing files. Information may include: the claim, hearing file, complaint, transcripts, decisions, findings of fact, and orders. This record series is maintained to document the hearings and dispositions of disputed workers' compensation claims.

RETENTION: BENEFITS AWARDED: Scanned closed files and maintain electronically for 80 years. Destroy 80 years after closure provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

NO BENEFITS AWARDED: Retain electronically. Destroy closed files provided the appeal period has expired.

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-51. IMPASSE, SCHOOL:

07-031

This series contains the documentation of informal hearings held to resolve labor disagreements between school boards and teachers. Information may include: requests for conciliate, background materials, and fact-finding recommendations. This record series is maintained for administrative purposes.

RETENTION: Retain 1 year in office, then destroy.

(NOTE: Previous record series number was LBR-060.)

DOL-52. INDEPENDENT CONTRACTOR VERIFICATION
APPLICATIONS, WORKERS' COMPENSATION:

21-021

This series is arranged chronologically by date and contains applications filed by owner-operators for verification of independent contractor status. Information may include, but is not limited to: certificate, application, and correspondence. This record series is maintained for administrative purposes.

RETENTION: Retain electronically for 2 years, then destroy.

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-53. SELF-INSURER FILE, WORKERS' COMPENSATION:

21-021

This series documents employers who have been approved to be their own insurance company. Information may include: proof of solvency, financial summary, and request for exemption. Approvals must be reviewed and renewed annually by the Division of Labor and Management.

RETENTION: Retain 1 year in office, then scan and maintain electronically for 9 years. Destroy after 10 years.

DOL-54. UNFAIR LABOR PRACTICE FILES:

07-031

This series contains records as a result of employers and employees who feel that unfair labor practices have occurred. Information includes complaints.

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:	<u>Labor and Regulation</u>
DIVISION:	<u>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-55. UNFAIR LABOR PRACTICES HEARING FILE:

07-031

This series is maintained by the Director of Labor and Management and is used in the hearing and arbitration of disputes between employers and employees. Information may include: petition for hearing on unfair labor practice, hearing transcript, decision, findings of fact, and order.

RETENTION: Retain 1 year in office, then destroy provided appeal time has expired and no pending litigation.

(NOTE: Previous record series number was LBR-065.)

DOL-56. WAGE CLAIMS FILES:

07-031

This series contains the records initiated as a result of employees who feel they have been unfairly compensated for their work. Information may include: wage claims, responses from employers, investigation, and civil court documents.

RETENTION: Retain active in office. Destroy 2 years after superseded or obsolete.

(NOTE: Previous record series number was LBR-066.)

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0047</u>

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

DOL-4. WORKER’S COMPENSATION ADVISORY COUNCIL:

25-011

This series is arranged chronologically and contains minutes of meetings of the Worker’s Compensation Advisory Council and annual reports. This record series is maintained for reference and documentation purposes.

RETENTION: Retain 5 years on-line, then remove. Retain permanently in SharePoint.

DOL-57. WORKERS’ COMPENSATION CLAIMS:

21-021

This series contains the workers’ compensation claims. Information may include: claim, medical reports, agreement to pay two-thirds of the injurer’s salary, and related correspondence. This record series is maintained to keep track of all medical expenses and disability benefits paid to private sector employees for injuries sustained while on the job.

RETENTION: PAPER: Scan upon receipt and maintain 1 year in office, then destroy provided the scanned documents have been verified.

ELECTRONIC IMAGES: Retain for 80 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>Labor and Regulation</u>
DIVISION:	<u>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Human Rights</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0281</u>

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

DOL-58. ADMINISTRATIVE REFERENCE FILE:

21-021

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: personnel reports, budget, 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, federal correspondence, and any other related information. This record series is maintained for reference purposes.

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

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

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

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Human Rights</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0281</u>

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

DOL-59. ADMINISTRATIVE RULE PROMULGATION FILES:

21-021

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

RETENTION: Retain electronically 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 these records.)

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Human Rights</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0281</u>

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

DOL-60. CASE FILES:

21-021

This series may involve human rights or discrimination charges. A file is maintained on each complaint documenting the subsequent case proceedings. Information may include: a copy of the complaint, deferral action with the Federal Government (if any), a copy of the investigation report, a copy of the final closure action, and any investigation notes or materials.

RETENTION: Retain electronically for 3 years after there has been a final action by the Department of Labor and Regulation, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DOL-61. CASE REVIEWS:

21-021

This series is maintained to summarize the "Case Files." Files are maintained for quick reference purposes and contain: case number, name and address of person filing complaint, action taken by the division, action taken by the federal government (if any), and the final resolution of the case. This series may be used for both trend analysis and determination of precedents for future cases.

RETENTION: Retain electronically for 8 years, then destroy provided no further legal action is anticipated.

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>Labor & Management</u>
OFFICE:	<u>Labor & Management</u>
PROGRAM:	<u>Human Rights</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0281</u>

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

DOL-62. CONTRACT FILE: Deleted from Schedule, 12/08/2021.

DOL-63. E.E.O.C. REFERENCE FILES:

21-021

This series is maintained for convenience of reference for agency employees. The file documents dealings with the regional office of the Equal Employment Opportunity Commission (E.E.O.C.). Information may include: correspondence, memorandums, E.E.O.C. policy changes, copies of contracts with the E.E.O.C., directives, program guides, charge transmittals, monthly reports, and work sharing agreements with the E.E.O.C.

RETENTION: Retain electronically for 2 years, then destroy.

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

DOL-64. MEETING MINUTES, COMMISSION ON HUMAN RIGHTS:

25-011

These original meeting minutes document the meetings held by the Commission on Human Rights. Information may include: date, those present at the meeting, meeting information, and signatures. This series is used for occasional reference and documentation.

RETENTION: Retain 5 years on-line, then remove. Retain permanently in SharePoint.

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>Reemployment Assistance</u>
OFFICE:	<u>Reemployment Assistance Svcs</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0049</u>

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

DOL-65. ADMINISTRATIVE REFERENCE FILE:

07-031

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: personnel reports, budget, 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.)

DOL-66. ADMINISTRATION RULE PROMULGATION FILES:

07-031

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

RETENTION: Retain in office for as long as rules remain in effect, then destroy.

(NOTE: SDCL 11-26-7 states in part, that "Each agency shall keep the original records, documents, and instruments required by this chapter." There is no time frame for these.)

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>Reemployment Assistance</u>
OFFICE:	<u>Reemployment Assistance Svcs</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0049</u>

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

DOL-67. APPEAL CASE FILES:

21-021

This series contains the documentation of all reemployment assistance claim applications, which were appealed by either the employer or the claimant. Information may include: notice of appeal, scheduled date of hearing, a transcript of the testimony from the hearing, and the final decision. This series is maintained for documentation and proof that the rights of all parties involved have been protected.

RETENTION: Retain in office for 3 years after last action, then destroy.

DOL-68. BENEFIT CHECKS, CANCELLED:

17-007

This series contains the actual cancelled benefit checks, which were issued to the clients. Information may include: issue date, week-ending date, client's social security number, check number, amount of check, client's name, client's address, authorized signature, endorsement signature, and paid date. This series of cancelled checks are used as proof of payment.

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 LBR-070.)

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>Reemployment Assistance</u>
OFFICE:	<u>Reemployment Assistance Svcs</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0049</u>

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

DOL-69. BENEFIT STATEMENT OF CHARGES REPORT:

21-021

This computer generated report is run quarterly to provide each participating corporation with a statement of reemployment benefits paid from their account. Information may include: recipient's name, social security number, amount paid, and total cumulative charges.

RETENTION: Retain 5 years in the Department's electronic repository ("M" drive), then destroy.

DOL-69.1. CROSS-MATCH AUDITS:

18-012

This series contains returned cross-match audit forms used to determine improper payment of benefits. Information may include: claimant name, social security number, employer name, week-ending dates, and compensation paid.

RETENTION: Retain 6 months in office, then destroy.

DOL-71. EDIT PRINTOUTS:

18-012

This bi-weekly computer generated report is generated prior to the printing of benefit checks. Information may include: client's name, social security number, and edit code. This series is used to safeguard and insure that checks will be made out only to authorized individuals in the proper amounts.

RETENTION: Retain 4 years in the Department's electronic repository ("M" drive), then destroy.

(NOTE: Previous record series number was LBR-073.)

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>Reemployment Assistance</u>
OFFICE:	<u>Reemployment Assistance Svcs</u>
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RM CUSTOMER #:	<u>0049</u>

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

DOL-72. EMPLOYER FILE:

21-021

This series contains documentation of all employers in South Dakota who are required to participate in the Reemployment Assistance Program. Information may include: employer's name, address, registration reports for unemployment tax collections, quarterly reports of the amount of tax paid into the fund, audits reports performed by field representatives on businesses operating in South Dakota, wage reports, and related correspondence. Some of this information is summarized in the "Employer History System."

RETENTION: PAPER: Scan and retain 2 years in office, then destroy.

ELECTRONIC IMAGES/FILES: Retain 5 years in the Department's imaging system, 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>Labor and Regulation</u>
DIVISION:	<u>Reemployment Assistance</u>
OFFICE:	<u>Reemployment Assistance Svcs</u>
PROGRAM:	<u>Administration</u>
RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0049</u>

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

DOL-73. EMPLOYER HISTORY SYSTEM:

21-021

This on-line computer system is used to record reemployment assistance transactions of all South Dakota employers required to participate in the Reemployment Assistance Program. Information may include: the employer's name, address, taxation rates, total quarterly wages paid, amounts of reemployment assistance taxation paid into the account, and amounts of reemployment assistance benefits paid out of the account. The system can be used to generate information such as: reemployment assistance benefits paid by quarter(s) and by year(s), reemployment assistance taxes paid by quarter(s) and by year(s). total wages paid by quarter (s) and by year(s), and account balances by quarter(s) and by year(s). This information is obtained from quarterly employer reports which are filed in the "Employer File" after encoding, and from approved reemployment assistance applications.

RETENTION: Retain 5 years after encoded, then destroy.

DOL-73.1. FEDERAL PERFORMANCE PROGRAMS:

21-021

This series is arranged by subject matter and contains the documentation required by various federally mandated performance management programs. Information may include, but is not limited to: memos, questionnaires, working papers, and other documentation. Programs may include, but is not limited to: RA Data Validation, Tax Performance System (TPS), Benefit Accuracy Measurement (BAM), and Benefits Timeliness and Quality (BTQ). The record series is maintained for reference, documentation, and auditing purposes.

RETENTION: Retain 4 years in office or until permitted by the US Department of Labor, then destroy.

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RECORDS OFFICER:	<u>Jim Dornbusch</u>
RM CUSTOMER #:	<u>0049</u>

RECORD		R.D.B.
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		<u>NUMBER</u>

DOL-75. FIELD SERVICE ASSIGNMENT RECORD:

21-021

This database series contains a record of all the work assigned to tax auditors. Information may include: the employer the auditor needs to contact, the date of the assignment, and the date the assignment is closed. The assignments require contact with employers for various reemployment assistance purposes such as audits or delinquent tax collections. This series is used to monitor the status of assignments and for performance evaluations.

RETENTION: Retain current in computer system file. Delete 1 calendar year after superseded or obsolete.

DOL-76. OVERPAYMENT FILES:

21-021

This series contains the reemployment assistance claims file as well as documentation used to determine, issue, and recover overpayments. Information may include: criminal action information and civil action information, as appropriate.

RETENTION: PAPER: Scan and retain 6 months in office, then destroy.

ELECTRONIC IMAGES/FILES: Retain paid in the Department's imaging system for 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

Retain unless written off. If written off, destroy in accordance to SDCL 61-6-23.2.

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RM CUSTOMER #:	<u>0049</u>

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

DOL-76.1. REEMPLOYMENT ASSISTANCE ADVISORY COUNCIL:

25-011

This series is series is arranged chronologically and contains minutes of meetings of the Reemployment Assistance Advisory Council and annual reports. The record series is maintained for reference and documentation purposes.

RETENTION: Retain 5 years on-line, then remove. Retain permanently in SharePoint.

DOL-77. REEMPLOYMENT ASSISTANCE CLAIMS FILE:

21-021

This series contains the documentation used to initiate reemployment assistance for individuals. Information may include: application for reemployment assistance, contract forms, monetary determination form, request for additional information, hearing files for arbitrated cases, and termination notices for those who exit the program. This series is used to administer reemployment assistance benefits and to have a complete record of all claims submitted.

RETENTION: PAPER: Scan and retain 6 months in office, then destroy.

ELECTRONIC IMAGES/FILES: Retain paid in the Department's imaging system for 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 &
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AUTHORIZATION FORM
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DOL-78. WARRANT REGISTER PRINTOUT:

21-021

This computer report series is generated monthly to provide a listing of all reemployment benefit warrants issued. Information may include: payee name, social security number, amount of check, week-ending date, warrant issue date, and warrant number. This series is used as proof of warrants issued to recipients, to detect any inaccuracies, and for audit 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.