



LEGISLATIVE AUDIT
RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Administration
Records Management Program
104 S Garfield Avenue; Building E
c/o 500 East Capitol Avenue
Pierre, South Dakota 57501-5070

2019

PROJECT STAFF

Marty Guindon, State Auditor General/Records Officer Department of Legislative Audit	Dana Hoffer State Records Manager
Kelly Mikkelsen, Information Systems Audit Manager Department of Legislative Audit	Connie Nold Records Management Specialist

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

STATE RECORD DESTRUCTION BOARD

Scott Bollinger, Commissioner Bureau of Administration (Chairman)	Pat Archer Office of the Attorney General
Chelle Somsen, State Archivist Department of Education	Jenna Latham Office of the State Auditor
Marty Guindon, State Auditor General Legislative Audit	Dana Hoffer State Records Manager



DEPARTMENT OF
EXECUTIVE MANAGEMENT

BUREAU OF
ADMINISTRATION

PBM 01234

RECORDS MANAGEMENT PROGRAM

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

MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: January 2, 2020

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

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, original and copies, and supporting documents; warrants, original and copies, multiple copies of State publications stored in bulk; obsolete blank forms; photocopies of computer printouts; and original copies of records that have been legally reproduced under the provisions of SDCL 1-27-4.

The State Archivist has 30 days to certify that the records have no permanent value and may be destroyed, or to make arrangements to transfer the records to the archives. If the Archivist fails to make a recommendation within this time, the records may be destroyed, provided that the agency has received authorization from the Records Destruction Board.

Finally, if you have any questions about implementing this manual or about your records in general, please contact Records Management at 773-3589. We will welcome an opportunity to discuss the proper implementation of sound records management practices.

TO RECORDS DESTRUCTION BOARD PETITION FOR AUTHORITY TO DESTROY RECORDS

This request is made by the the undersigned MAURICE CHRISTIANSEN
as AUDITOR GENERAL (title)
of the State of South Dakota, 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 with particularity in that certain "Record Retention and Destruction Schedule Authorization of DEPARTMENT OF LEGISLATIVE AUDIT," consisting of 16 pages, and containing designations as follows: Records Series Numbers LEG-0001 (consecutively numbered) through LEG-0037, a copy of which Schedule is attached hereto, and made a part hereof by reference as if set forth herein in full.

The authority requested is to destroy, as to each and every record described in the said attached Schedule, at the expiration of the time therein provided for the retention of each of the said records, severally, in any type of storage.

The organizational structure of the DEPARTMENT OF LEGISLATIVE AUDIT is set forth in the said attached Schedule and the purpose for which the several records were kept and any previous Board action in reference thereto is likewise set forth.

The undersigned certifies that, as to each and every record petitioned to be destroyed, the authority requested 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 that as to all state contracts and Surety Bonds, will allow all applicable statutes of limitations for bringing actions thereon to pass.

Maurice C. Christiansen
SIGNATURE Maurice C. Christiansen, CPA
AUDITOR GENERAL

November 17, 1983
DATE

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

Roy Engelman
SIGNATURE, STATE RECORDS MANAGER

12/5/83
DATE

DESTRUCTION AUTHORITY

RDB AUTHORITY #84-004

I hereby certify that the State Records Destruction Board met on the 22nd. day of February, 1984, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

[Signature]
SIGNATURE, CHAIRMAN OF THE BOARD

1/24/84
DATE

PETITION FOR AUTHORITY TO DESTROY RECORDS

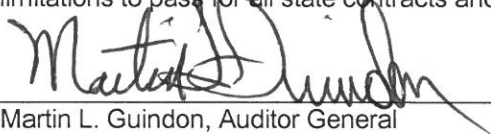
I, Martin L. Guindon, acting in my position as South Dakota Auditor General, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Legislative Audit consists of 14 pages and contains amendments to record series numbers LEG-01, LEG-02, LEG-06, LEG-10, LEG-11, LEG-12, LEG-13, LEG-14, LEG-18, LEG-27, LEG-28, LEG-30, LEG-31, LEG-32, LEG-33, LEG-34, LEG-35, and LEG-36 and the addition of one record series, LEG-38.

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 Legislative Audit record series number LEG-03, LEG-04, LEG-05, LEG-08, LEG-09, LEG-16, LEG-17, LEG-19, LEG-20, LEG-22, LEG-23, LEG-24, LEG-25, LEG-26, LEG-29, and LEG-37.

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.



Martin L. Guindon, Auditor General

1/7/05

Date

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



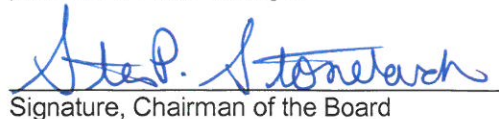
Signature, State Records Manager

12/14/05

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 13th day of January, 2006, 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

1-13-06

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS


I, Martin L. Guindon (name), acting in my position as the Auditor General (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 Legislative Audit (department) consists of 1 page and contains record series number(s) LEG-36.

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 Legislative Audit (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.



Martin L. Guindon, Auditor General

12/6/07

Date

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



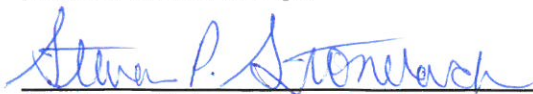
Dana Hoffer, State Records Manager

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

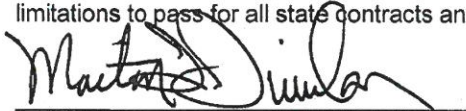
I, Martin L. Guindon, acting in my position as the State Auditor General, request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Legislative Audit consists of 3 page(s) and contains record series number(s) LEG-02, LEG 06, and LEG-36.

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 the "Records Retention and Destruction Schedule" Authorization of the Department of Legislative Audit consists of 1 page(s) and contains record series number(s) LEG-32.

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.



Martin L. Guindon, State Auditor General

10/31/19

Date

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



Dana Hoffer, State Records Manager

11/6/2019

Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 19th day of December, 2019, 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 19-008.**



Scott Bollinger, Chairman of the Board

12-19-19
Date

South Dakota Codified Laws:

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

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

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

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

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

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

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

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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.

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PROGRAM: AUDITOR GENERAL

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

DEPARTMENT: Legislative
DIVISION: Legislative Audit
OFFICE: Auditor General
PROGRAM: Auditor General
RECORDS OFFICER: Kelly Mikkelsen
RM CUSTOMER #: 0117

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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LEG-01 **ACCOUNTING MANUALS:**

05-009

This series contains accounting manuals written by this Department to assist municipalities, counties, and school districts in following uniform accepted accounting principles and practices. The manuals are written pursuant to SDCL 4-11-6.

RETENTION: Retain current in office. Destroy 4 years after superseded or obsolete. Note: RDB 84-004 specified a current retention.

LEG-02 **ANNUAL REPORTS:**

19-008

This electronic series contains municipal, county and township annual reports filed with the Department of Legislative Audit pursuant to SDCL 9-22-21, 7-10-4 and 8-10-30. Information may include, but is not limited to: Government-Wide Financial Statements, Fund Financial Statements, Schedule of Changes in Long-term Debt, Budgetary Comparison Schedule and Management's Discussion and Analysis. They are used for occasional reference by Department employees and for review by the public. The annual statements for school districts are maintained by the Department of Education.

RETENTION: Retain electronic reports permanently in an EDMS.

Retain existing microfilm permanently.

(Note: Reports are saved in a PDF archived format (PDF/A). Reference copies are also available on a networked server.)

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

DEPARTMENT: Legislative
 DIVISION: Legislative Audit
 OFFICE: Auditor General
 PROGRAM: Auditor General
 RECORDS OFFICER: Kelly Mikkelsen
 RM CUSTOMER #: 0117

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
LEG-03	<u>APPLICATIONS FOR EMPLOYMENT, UNSUCCESSFUL:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-04	<u>ATTORNEY GENERAL OPINIONS:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-05	<u>AUDIT BILLING REPORT, QUARTERLY (LA01JSO3):</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-06	<u>AUDIT REPORTS:</u> This electronic series contains completed audit reports performed by this Department or an Independent Public Accountant (IPA). Reports may include, but are not limited to: audit reports, management's discussion and analysis, basic financial statements, notes to the financial statements, and required supplementary information. They are used for occasional reference by Department employees and for review by the public. RETENTION: Retain electronic reports permanently in an EDMS. Retain existing microfilm permanently. (Note: Reports are saved in a PDF archived format (PDF/A). Reference copies are also available on a networked server.)	19-008

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

DEPARTMENT: Legislative
DIVISION: Legislative Audit
OFFICE: Auditor General
PROGRAM: Auditor General
RECORDS OFFICER: Kelly Mikkelsen
RM CUSTOMER #: 0117

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
LEG-07	<u>AUDIT REPORT INDEX CARDS:</u> This 3" X 5" Rolodex card series is maintained as an index to microfilmed "Audit Reports" of the Department. Information is arranged alphabetically by agency and includes date of report and cartridge number. RETENTION: Retain permanently in office. NOTE: Consider replacing cards with a word or data processing system.	84-004
LEG-36	<u>AUDIT WORKING PAPERS:</u> This electronic series contains audit working papers used as support for audits completed by Department employees. Information in the file may include, but is not limited to: audit programs, permanent working papers, control matrixes, annual reports, schedules, auditor notes, computations, and copies of auditee financial statements. RETENTION: Retain in an EDMS for 5 years from report date. Destroy after 5 years provided audit findings have been resolved and final action has been taken.	19-008
LEG-08	<u>BILLING LEDGER, AUDITS:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-09	<u>BOND FILES:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009

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

DEPARTMENT: Legislative
 DIVISION: Legislative Audit
 OFFICE: Auditor General
 PROGRAM: Auditor General
 RECORDS OFFICER: Kelly Mikkelsen
 RM CUSTOMER #: 0117

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

LEG-10 BUDGETARY ACCOUNTING PRINTOUTS:

05-009

These daily, weekly, monthly, and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures. They may include: Daily Revenue and Journal Voucher Detail Report, Daily Transaction Register, Status Register, Activity Budget Status, Weekly Sub-Fund Report, Advance Travel-Accounts Receivable, Transaction Progress Report, Monthly Revenue and Journal Voucher Detail Report, Revenue Analysis Report, General Ledger Trial Balance, Sub-Fund General Ledger Trial Balance, Monthly Expenditure Report, and Object/Sub-Object Summary. They are kept for reference and audit purposes.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years, provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken. **NOTE:** RDB Authority Number 84-004 specified a 5-year retention.

LEG-11 BUDGET FILES:

05-009

This series is most often arranged chronologically and contains the yearly budget summaries for the agency. Information may include: mission statement, revenues, program performance indicators, amounts budgeted by sub-object, and narrative justifications. This record series is maintained for use throughout the year in monitoring program activities and for preparing future budget requests. The budget (Appropriations Bill) approved by the Legislature and signed by the Governor and is filed permanently with the Secretary of State.

RETENTION: Retain 3 years in office, then destroy. **NOTE:** RDB Authority No. 84-004 specified 3 years office a 5-year retention.

STATE OF SOUTH DAKOTA
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DEPARTMENT: Legislative
DIVISION: Legislative Audit
OFFICE: Auditor General
PROGRAM: Auditor General
RECORDS OFFICER: Kelly Mikkelsen
RM CUSTOMER #: 0117

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

LEG-12 **CASH RECEIPTS:**

05-009

This file contains copies of receipts documenting cash received by the department for audit services. Each receipt may show: payer, amount, date, purpose, and signature of issuer. The file provides a record for cash payments deposited in the State Treasury and is kept for audit purposes.

RETENTION: Retain 4 years in office. Destroy after 4 years, provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken. RDB Authority 84-004 specified a 5-year retention.

LEG-13 **CASH RECEIPT TRANSMITTALS:**

05-009

This series is most often arranged chronologically and contains the standard forms used to deposit funds into the State Treasury. Information is maintained by the Finance Officer and may include: date, agency name, agency number, accounting codes, memorandums, dollar amounts, total deposits, and authorized signatures. The record series is maintained for documenting and crediting each account with the amounts deposited.

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years, provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken. RDB Authority 84-004 specified a 5-year retention.

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

DEPARTMENT: Legislative
DIVISION: Legislative Audit
OFFICE: Auditor General
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RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
		<u>NUMBER</u>

LEG-38 **CONTINUING PROFESSIONAL EDUCATION:**

05-009

This series is arranged alphabetically by name and contains a folder for each employee who has worked for the Department. Information may include but is not limited to: certificates of participation, certificates of completion, agenda, sign-in sheets, and outlines. The files are kept as proof that the Department's employees are meeting CPE requirements.

RETENTION: Retain current employee CPE files in office. Retain inactive employee files for 5 years, then destroy.

LEG-14 **CONTRACTS FILE:**

05-009

This series is most often arranged alphabetically and contains reference copies of contracts in which the agency may have an interest. It also contains the agency's copy of contracts and agreements between the agency and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is maintained for reference and audit purposes.

RETENTION: Retain current in office. Destroy 6 years after termination. NOTE: RDB Authority No. 84-004 specified a 7-years-after-terminated retention.

STATE OF SOUTH DAKOTA
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 (Std Form RM-1 Rev 1/03)

DEPARTMENT: Legislative
 DIVISION: Legislative Audit
 OFFICE: Auditor General
 PROGRAM: Auditor General
 RECORDS OFFICER: Kelly Mikkelsen
 RM CUSTOMER #: 0117

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

LEG-15 **CORRESPONDENCE, AGENCIES:**

84-004

This file may contain both the originals of letters and memorandums received and copies of letters and memorandums sent to public agencies within the state. They are filed along with the respective "Audit Reports" files for ease of inquiry and used for occasional reference and documentation.

RETENTION: Retain 5 years in office, then destroy.

LEG-16 **CORRESPONDENCE, EMPLOYEES:** Deleted from Schedule, 01/13/2006.

05-009

Immediate destruction. These records will no longer accumulate.

LEG-17 **CORRESPONDENCE, MISCELLANEOUS:** Deleted from Schedule, 01/13/2006.

05-009

Immediate destruction. These records will no longer accumulate.

LEG-18 **CORRESPONDENCE, PROCUREMENT MANAGEMENT:**

05-009

This file contains notifications from Procurement Management concerning changes in bid contracts of the State. Information includes: cover letter, date of change, contract number, and addendum number. They are filed with the Department pursuant to SDCL 5-23-19.1 and are used for both reference and for public review.

RETENTION: Retain 3 years in office, then destroy. NOTE: RDB 84-004 specified the same retention for "Correspondence, Purchasing and Printing."

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

DEPARTMENT: Legislative
 DIVISION: Legislative Audit
 OFFICE: Auditor General
 PROGRAM: Auditor General
 RECORDS OFFICER: Kelly Mikkelsen
 RM CUSTOMER #: 0117

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
LEG-19	<u>INVENTORY, FIXED ASSETS:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-20	<u>LEAVE REQUESTS:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-21	<u>LETTERS OF INTENT:</u> This series originates with the Legislative Research Council and is used here for reference to the Legislature's intent concerning the expenditure and administration of State funds. They are arranged chronologically by Legislative Session and duplicated in both the Legislative Research Council and the respective Department. RETENTION: Retain 5 years in office, then destroy.	84-004
LEG-22	<u>MANAGEMENT CONTROL REPORT (LAO1JS06):</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-23	<u>MEETING MINUTES, INTERIM INVESTIGATION COMMITTEE:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009

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RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
LEG-24	<u>MEETING MINUTES, STATE BOARDS AND COMMISSIONS:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-25	<u>MONTHLY BUDGETARY ACCOUNTING REPORTS:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-26	<u>MONTHLY REPORTS, STATE TREASURER:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-27	<u>NEWSLETTERS:</u> This file contains copies of newsletters sent to Department personnel. They are used to keep employees informed of Department actions. RETENTION: Retain 2 years in office, then destroy.	84-004

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RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
LEG-28	<u>OPERATIONS MANUAL:</u> This series contains the original manuals which are used by the auditors to keep up to date on current Department policies. Information may include: general administration, quality control, internal systems, personnel administration, clerical administration, audit schedules, audit administration, audit-related materials, and guidelines. RETENTION: Retain current in office. Destroy superseded or obsolete after 4 years. NOTE: RDB Authority 84-004 specified a current retention.	05-009
LEG-29	<u>PAYROLL JOURNAL:</u> Deleted from Schedule, <u>01/13/2006</u> . Immediate destruction. These records will no longer accumulate.	05-009
LEG-30	<u>PAYROLL/PERSONNEL PRINTOUTS:</u> This series consists of bi-weekly computer printout reports concerning payroll and personnel. Reports may include, but are not limited to: Accumulated Earnings and Tax Report, Leave Account Balances, Payroll Authorization, Payroll Register, and Payroll Distribution Register. This record series is maintained for checking the accuracy of the payroll system for proper expenditure and benefit money, to insure that accurate data on hours worked and compensation received are being generated for retirement purposes, and for audit purposes. RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years, provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken. NOTE: RDB Authority No. 84-004 specified 1 year in office and 4 years in RM storage. Destroy after 5 years.	05-009

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RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
LEG-31	<p><u>PERSONNEL FILES:</u></p> <p>This series contains folder(s) for each active employee in the department and for employees who have been inactive up to 5 years. Information in the files may include but is not limited to: application for employment, personnel action notices, position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, résumés, notice of resignation, supervisor’s report of employee separation, and benefits enrollments confirmation notices. The files serve as a history of an employee’s service with the State.</p> <p>RETENTION: Retain current employee files in office. Retain inactive employee files for 3 years, then destroy. NOTE: RDB Authority No. 84-004 specified destroying 2 years after termination.</p>	05-009
LEG-32	<p><u>REVIEW NOTES, WORKING PAPERS:</u> Deleted from Schedule, <u>12/19/2019</u>.</p>	

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

LEG-32.1 SURPLUS PROPERTY FILES:

09-012

This series contains the form submitted to the director of South Dakota Property Management for approval to dispose of State-owned personal property and the written notification received from Property Management designating the manner of disposal. Information may include: agency name; date; address or location of property; phone number; name of individual requesting; Property Management Officer's name; description of item(s); quantity; serial number; equipment number; desired method of disposal as authorized; reason for declaring property as surplus; estimate of current value; suggested selling price; minimum acceptable price; statement of content; fixed asset number, if applicable; and any other information deemed necessary. This record series is maintained pursuant to SDCL 5-24A.

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

LEG-33 TIMESHEETS:

05-009

This series consists of electronic timesheets submitted by Department staff. They contain employee number, dates worked, pay period end date, audit year, auditee number, audit type, segment, time code, area code, sick reason code, personal reason code, commends, record stamp date, and hours. The timesheets initiate the payroll authorization process and are kept for occasional reference and audit purposes.

RETENTION: Retain original timesheets in Timesheet Collection Box for 4 years, then destroy, provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.* NOTE: RDB Authority No. 84-004 specified a 5-year retention.

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

LEG-34 **TRADE JOURNALS:**

05-009

This file contains various trade journals and periodicals. Periodicals may include but are not limited to: CPA Letter, GAAFR Review, GFOA Newsletter, Associated School Board of South Dakota, Stateline, Legislative Session Update, South Dakota Municipalities, New York Financial and Audit Solutions, SDACC County Comment, Pension and Benefits Update, Internal Auditor, Journal of Accountancy, Government Finance Review, and Office of Inspector General Report to Congress. Information is used to keep informed of government issues.

RETENTION: Retain current in office. Destroy Superseded or obsolete. NOTE: RDB Authority Number 84-004 specified the same retention.

LEG-35 **VOUCHERS:**

05-009

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

RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years, provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken. NOTE: RDB Authority No. 84-004 specified a 5-year retention.

LEG-37 **W-2 WAGE AND TAX STATEMENTS:** Deleted from Schedule, 01/13/2006.

Immediate destruction. These records will no longer accumulate.

05-009