



SOUTH DAKOTA RETIREMENT SYSTEM

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Administration
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2022

PROJECT STAFF

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The employees of the South Dakota Retirement System who contributed their time to explain the purpose and review the content of each record.

Michelle Humann, Records Officer
South Dakota Retirement System

Dana Hoffer
State Records Manager

STATE RECORD DESTRUCTION BOARD

Scott Bollinger, Commissioner
Bureau of Administration
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Office of the Attorney General

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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: December 19, 2022

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, Travis W. Almond, acting in my position as the Executive Director of the South Dakota Retirement System, 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 South Dakota Retirement System consists of 26 page(s) and contains record series number(s) RET-1 (consecutively numbered) through RET-54.

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 South Dakota Retirement System consists of 39 page(s) and contains record series number(s) LBR-135, LBR-136, LBR-144, LBR-145, LBR-146, LBR-149, LBR-153, LBR-155, LBR-157, LBR-158, LBR-159, LBR-161, LBR-162, LBR-163, LBR-164, LBR-165, LBR-172, LBR-174, LBR-175, LBR-177, LBR-183, LBR-184, LBR-188, LBR-191, LBR-194, LBR-195, LBR-196, LBR-197, LBR-198, LBR-201, LBR-202, LBR-203, LBR-204, LBR-206, LBR-207, LBR-208, LBR-209, LBR-210, LBR-211, LBR-213, LBR-214, LBR-215, LBR-216, LBR-218, LBR-218A, LBR-219, LBR-220, LBR-221, LBR-222, LBR-223, LBR-224, LBR-225, LBR-226, LBR-227, LBR-228, LBR-229, LBR-230, LBR-231, LBR-232, LBR-233, LBR-234, LBR-235, LBR-237, LBR-239, LBR-240, LBR-241, LBR-244, LBR-245, LBR-246, LBR-247, LBR-249, LBR-251, LBR-253, LBR-255, LBR-258, LBR-259, and LBR-260.

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.



Travis W. Almond, Executive Director of the
State Retirement System

11/1/22
Date

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



Dana Hoffer, State Records Manager

11/2/22
Date

Addendum to the South Dakota Retirement System's Petition for Authority to Destroy Records.

Records Destruction Board's Action(s):

- Amend audit language used in the retention for RET-1 through RET-15; RET-17; RET-18; RET-19; RET-22; RET-24; RET-28 through RET-35; RET-38 through RET-43; RET-45 through RET-48; RET-51; RET-53; and RET-54: provided 1 year has passed since an independent post audit report has been received if applicable. provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.
- Amend RET-31 and add the following: Note: Records are subject to screening by State Archives prior to disposal.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 12th day of December, 2022 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 22-012.**



Scott W. Bollinger, Chairman of the Board

12-12-2022
Date

South Dakota Codified Laws:

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

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

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

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

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

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

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

Notes, 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.
- Pursuant to Executive Reorganization Order No. 2015-01, Emergency Medical Services under the Department of Public Safety was transferred to the Department of Health effective April 17, 2015. Record series numbers EMS-1 and EMS-2 have been removed from this manual.

Record Handling:

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

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT: South Dakota Retirement System
DIVISION: Accounting
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
RET-1.	<u>CASH RECEIPT TRANSMITTALS:</u> Forms in this file document payments received and deposited with the State Treasury. Information may include: agency name and code, agency receipt number, date, fund, sub-fund, revenue source, description, and amount. The original two copies are forwarded to the Office of the State Treasurer along with the receipts for deposit. A copy is kept for reference and audit. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-2.	<u>CONTRACTS FILE:</u> This file is maintained to provide an opportunity for the fiscal officer to review the terms and conditions of all contracts negotiated within the SDRS. The series is also used to identify the need for contract carryovers at the end of the fiscal year. RETENTION: Destroy 6 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-3.	<u>CONTRIBUTION REPORT:</u> This computer report is used to verify proper encoding and to inform on an annual and quarterly basis what the exact amount of contributions are. Information includes: employee name, social security number, contribution payments by year, contribution payments by month, and total. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012

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RECORDS OFFICER: 0031
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<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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RET-4. DEFICIENCY REPORT PRINTOUT:

22-012

This computer report provides the member's name, total deficiency payments to date, and monthly payment amounts. The report is generated monthly for documentation of payments received, and for accounting and audit purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-5. EMPLOYER'S AMORTIZATION SCHEDULE:

22-012

This file contains the employer's amortization schedule. Information in this computer report includes: name, number of payments, amount of interest, amount of principle, total payments, balance due, and due date. The reports are generated to set up repayment schedules for Employer/Employee service.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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

RET-6. FINANCIAL STATEMENTS:

22-012

Financial statements provide an overview of the agency’s financial position for a given fiscal year. Information may include, but is not limited to: balance statement of revenues; statement of revenues; expenditures and charges in fund balances; statement of assets and fund cash balances; statement of general fixed assets; summary of significant accounting procedures; investment reports; and supplemental information on working papers. Information is maintained for reference, documentation, and audit purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-7. INTERNAL REVENUE SERVICE BALANCING/FILES:

22-012

This file is maintained to keep track of documents related to 1099 handling. It includes the reports prepared for the Internal Revenue Service, and any related working papers. The original report is sent to the Internal Revenue Service.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
RET-8.	<u>INVENTORY, CAPITAL ASSETS FILE:</u> This file may include copy of the capital asset printouts, file inventory procedures manual, and surplus property received and transferred forms. The file is maintained for property management and accountability purposes. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-9.	<u>PURCHASE SERVICE:</u> This series contains information related to back service purchases. Information may include: name(s) of new member, member ID, amount of purchase cost, amount paid-to-date, and balance due. RETENTION: Retain 1 year, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-10.	<u>REFUNDED MEMBERSHIP RECORDS:</u> These records contain past employees whose retirement contributions have been refunded and are no longer receiving benefits from the system and have been removed from the South Dakota Retirement System. Information includes: members life history with the system. RETENTION: Retain 1 year, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012

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RET-11. RETIREMENT CONTRIBUTION REPORTS, (EMPLOYER UNIT): **22-012**

This monthly computer printout file is generated to be used for updating by encoding information into the State retirement contribution system. Information includes: social security number, name, employee type, earnings, and contributions

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-12. SRP VOUCHERS: **22-012**

This file is arranged chronologically by fiscal year and contains the Supplemental Retirement Program (SRP) vouchers. Information includes the daily transactions through SRP. The information is maintained for administrative purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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RET-13. SURPLUS PROPERTY FILES:

22-012

This file 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 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-14. VOUCHERS:

22-012

This file may contain travel, non-cash, direct, receiving, and journal vouchers. Each voucher includes: the reason for which money was expended, the amount, the fund expended from, date, who the funds went to or what account they were transferred to, and the authorized signatures. They are used to reconcile with the "Budgetary Accounting Reports", for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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RET-15. WARRANT REGISTER PRINTOUT:

22-012

This report provides a listing of payouts. Information may include: warrant number, fund coding, amount paid, date issued, payee name, and benefit type. Copies of this report are also filed with the Office of the State Auditor.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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RET-16. ACTUARY FILES:

22-012

This file contains actuary information. Information may include, but is not limited to: actuarial valuations, studies, factor calculations, board presentations, fiscal notes, and reports from consultants and internal actuaries. This series is used to document reviews and changes in the retirement system.

RETENTION: Retain 7 years, then destroy.

RET-17. BOARD OF TRUSTEE FILE:

22-012

These files contain Board of Trustee information, which is maintained solely for the Director's reference purposes. Information may include, but is not limited to: Class B membership, correspondence to Board, and copies of minutes. These files may be found in the Board of Trustees' file room located at the SDRS office.

RETENTION: Retain 1 year, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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RET-18. BUDGETARY ACCOUNTING PRINTOUTS:

22-012

These daily, weekly, monthly, and year-end reports are used to monitor and reconcile fiscal year receipts and expenditures. Reports may include: Daily Revenue and Journal Voucher Detail Report, Activity Budget Status, Weekly Sub-Fund Report, Advance Travel-Accounts Receivable, Monthly Revenue and Journal Voucher Detail Report, Revenue Analysis Report, General Ledger Trial Balance, Sub-Fund General Ledger Trial Balance, Monthly Expenditure Report, Summary, and Sub-Object General Ledger Adjustments Report. This series is maintained for audit purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken..

RET-19. BUDGET FILES:

22-012

This file contains budget information. Information may include, but is not limited to: budget request, operating budget, and working papers. The information is used for reference throughout the year in monitoring program activities, and when preparing budget requests. This series is maintained for audit purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken..

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RET-20. CERTIFICATION OF ELIGIBLE LISTINGS:

22-012

This file has resulted from copies of the standard Certification of Eligible forms sent by the Bureau of Human Resources. Information on the forms may include: class, position number, certificate date, type of employment, request date, division or department, location, position number, number of vacancies, deadline to arrange an interview, deadline for appointing, disposition, names of certified applicants, address and telephone numbers, effective hire date, salary, interviewer's name, and date returned. Information on the forms is used to notify the Bureau of Human Resources as to which applicant has been appointed to the vacant position, and to keep the "Position History Files" current.

RETENTION: Retain 1 year, then destroy.

RET-21. COMPLAINTS, ADMINISTRATION:

22-012

This file contains copies of complaints written to the South Dakota Retirement System (SDRS) concerning the retirement system. The original complaints and any subsequent follow up documents are filed in the "Member's File or Employer Unit File". This series is maintained to insure follow up actions is taken, for comparison of similar complaints, and to determine the number of total complaints received by year.

RETENTION: Destroy after resolution.

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

DEPARTMENT: South Dakota Retirement System
 DIVISION: Administration
 OFFICE: _____
 PROGRAM: _____
 RECORDS OFFICER: 0031
 RM CUSTOMER #: Michelle Humann

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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RET-22. CONTRACTS FILE:

22-012

This file contains original contracts negotiated to establish services with various individuals for goods and services. Information may include: terms and conditions of agreements, active dates, costs involved, and funding sources. They are kept for reference and documentation purposes. Contracts in this file may include, but are not limited to: lease agreements, equipment contracts, service contracts, consultant contracts, and audit contracts.

RETENTION: Destroy 6 years after terminated, 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 a copy of all consulting contracts entered into by a state agency with a nongovernmental party shall be filed by the agency with the state auditor within five days after such contract is entered into and finally approved by the contracting parties.)

RET-23. CORRESPONDENCE:

22-012

This file may contain both copies of letters sent and the originals of letters received. The file is used for occasional reference and for documentation.

RETENTION: MEMBER/EMPLOYER CORRESPONDENCE: File in respective Member's File or Employer Unit File and retain according to the prescribed retention period.

ALL OTHER CORRESPONDENCE: Retain 1 year, then destroy.

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DEPARTMENT: South Dakota Retirement System
 DIVISION: Administration
 OFFICE: _____
 PROGRAM: _____
 RECORDS OFFICER: 0031
 RM CUSTOMER #: Michelle Humann

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<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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RET-24. INVESTMENT COUNCIL FILE:

22-012

This file is maintained by the Executive Director of SDRS. Information in this file may include: rules, policies and guidelines, investment file, and copies of Council minutes. The State Investment Council maintains the original records.

RETENTION: Retain 1 year, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-25. INVESTMENT FILE:

22-012

This series is maintained by the Executive Director as a member of the State Investment Council. It provides current information on the status and progress of investments. Other information in this series may include correspondence with other investment companies.

RETENTION: Retain 4 years, then destroy.

RET-26. LEGISLATION FILE:

22-012

This file is maintained for reference when drafting legislation concerning matters of interest to the SDRS and functions or administration of the Board of Trustees. Information in this file may include: drafts of bills, amendments to bills, final bills, Legislative Status Reports, and bill progress reports.

RETENTION: Retain 5 years, then destroy.

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DEPARTMENT: South Dakota Retirement System
 DIVISION: Administration
 OFFICE: _____
 PROGRAM: _____
 RECORDS OFFICER: 0031
 RM CUSTOMER #: Michelle Humann

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
RET-27.	<u>MEMORANDUMS:</u> This file contains copies of all office memorandums issued and received. The file is used for reference and documentation concerning SDRS matters. RETENTION: Retain 1 year, then destroy.	22-012
RET-28.	<u>OPINIONS, ATTORNEY GENERAL:</u> This file contains original opinions issued by the State Attorney General in response to questions posed by SDRS. Information may include: date, subject matter, official opinion, and Attorney General's signature. Information is also available in the ' <u>Attorney General Reports</u> ' which are published each year to summarize all official opinions issued by the office. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-29.	<u>PERSONNEL FILES:</u> This file contains a folder for each employee of SDRS. Information in the file may include, but is not limited to: application for employment, personal data sheet, personnel action notices, position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, resume', service record, notice of resignation, W-4 forms, and supervisor's report of employee separation. The file serves as a history of the employee's service and provides payroll information. This series is maintained for audit purposes.	22-012

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DEPARTMENT: South Dakota Retirement System
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OFFICE: _____
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RM CUSTOMER #: Michelle Humann

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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RETENTION: Destroy 5 years after termination provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken..

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DEPARTMENT: South Dakota Retirement System
 DIVISION: Administration
 OFFICE: _____
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 RM CUSTOMER #: Michelle Humann

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RET-30. POSITION HISTORY FILE:

22-012

This file contains a complete history of each position authorized for the SDRS. Information may include: position description questionnaires, classification, position number, position name, names of individuals who have held the position, salaries, dates of reclassification, and all related correspondence and documentation. Information is used for auditing positions, upgrading or downgrading positions, determining duties and responsibilities for individuals, and determining fair pay grades for individuals performing the work required for the respective positions.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-31. REPORTS:

22-012

This file contains at least one copy of the various reports compiled, printed, and issued by the SDRS. The files are used for reference and for distribution purposes. Reports may include, but is not limited to: Actuarial Studies Evaluations, copies of budgets, Uncredited Service Study Reports, Investment Compensation Report, Investment Council Annual Reports, and audit reports.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Records are subject to screening by State Archives prior to disposal.)

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

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DIVISION: Administration
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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RET-32. TRAVEL REQUESTS, OUT-OF-STATE:

22-012

This file is maintained to keep copies of the standard travel request forms necessary to approve out-of-state travel, and for reimbursement payment authorization. Information includes: agency name, traveler name, destination, estimated costs, actual costs, dates of travel, and authorizing signatures.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-33. VOUCHERS, TRAVEL:

22-012

This file is maintained to keep copies of all travel vouchers submitted by employees of the SDRS. Original vouchers are submitted to Office of the State Auditor to request reimbursement for funds expended by employees while traveling on state business.

RETENTION: Retain 1 year, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: South Dakota Retirement System
DIVISION: Board of Trustees
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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RET-34. ADMINISTRATIVE RULES FILE:

22-012

This series is maintained to document the promulgation of Administrative Rules. Information may include: notification of hearings, correspondence related to the rules and their effects, proposed changes, drafts of rules, minutes of hearings, and approved rules.

RETENTION: Retain current. Destroy 5 years after superseded provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RET-35. APPEALS:

22-012

This file is maintained to document appeals to decisions made by the Executive Director and/or the Board of Trustees concerning retirement. Information may include: requests of appeal by members/employers of the system, notice of appeals, attorney's briefs, and final decision. The original is filed in the Member's File or Employer Unit File.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: South Dakota Retirement System
DIVISION: Board of Trustees
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

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RET-36. BOARD POLICY FILE:

22-012

This file contains copies of the operating policy of the Board, and requests for interpretations or other information related to the policy. Information is used for reference, distribution, and preparing agendas for Board meetings.

RETENTION: Retain current. Destroy superseded or obsolete.

(Note: Records are subject to screening by State Archives prior to disposal.)

RET-37. DISABILITY REPORTS:

22-012

Reports in this file are copies of the originals which are filed in the Member's File in the Benefits Program Office. The Board of Trustees uses their copy in the case of an appeal by system members who have been denied disability benefits. Information may include: case number, occupation, type of injury, and final determination.

RETENTION: Retain 2 years, then destroy.

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DEPARTMENT: South Dakota Retirement System
 DIVISION: Board of Trustees
 OFFICE: _____
 PROGRAM: _____
 RECORDS OFFICER: 0031
 RM CUSTOMER #: Michelle Humann

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RET-38. ELECTION FILE:

22-012

This file is maintained to document the election of new members to the Board of Trustees. Information includes: rules governing the election, petitions to run for the board membership, notices, ballots, candidates' background information, and related correspondence.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Records are subject to screening by State Archives prior to disposal.)

RET-39. INVESTMENT ANALYSIS FILE:

22-012

State law requires the Board of Trustees have investment of retirement funds analyzed at least once every four years. Documents in this file show the results of the analysis and a review of the Board's performance.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: South Dakota Retirement System
DIVISION: Board of Trustees
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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RET-40. MINUTES, BOARDS' AND SUB-COMMITTEES':

22-012

This file contains the original and official minutes of the Board of Trustees and its various sub-committees. Other information may include: agendas, plans, reports, studies, and various related exhibits.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Records are subject to screening by State Archives prior to disposal.)

RET-41. STUDIES, CONSULTANT:

22-012

This series contains studies that have been presented to the Board by consultants they have hired to do research. Information may include: the proposal for study, study background, cost, and the final report.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Records are subject to screening by State Archives prior to disposal.)

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DEPARTMENT: South Dakota Retirement System
DIVISION: Board of Trustees
OFFICE: _____
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RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

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RET-42. SUB-COMMITTEE FILES:

22-012

From time-to-time the Board Chairman will appoint special committees to study matters in detail. This file includes: assignments, background material, agendas, committee member's name, and findings from their studies and research.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Records are subject to screening by State Archives prior to disposal.)

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DEPARTMENT: South Dakota Retirement System
DIVISION: Investments
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

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RET-43. CASH RECEIPT TRANSMITTAL (INVESTMENT VOUCHERS):

22-012

The standard forms in this file document payments received and deposited with the State Treasury. Information includes: agency name, agency code, agency receipt number, date, fund, sub-fund, revenue source, description, and amount. The original and two copies are forwarded to the Office of the State Treasurer along with receipts for deposit. A copy is kept for reference and audit purposes.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: South Dakota Retirement System
DIVISION: South Dakota Compensation Plan
OFFICE: Benefits
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
RET-44.	<u>ACTUARIALS, TEACHERS AND MUNICIPAL WORKERS:</u> This book dates pre-1974. Information was used for determining retirement benefits for members who had retired on a private retirement plan which later years had been converted to the State system. Information includes: membership number, retirement number, name, social security number, date of birth, service credit, final salary, options selected, and actuarial report. This was a one-time file that was compiled during the conversion in 1974. RETENTION: Retain 100 years, then destroy.	22-012
RET-45.	<u>ANNUITY BALANCE REPORT:</u> This report is used to balance each annuity system on a monthly basis. Information may include: member name, member's ID number, code, monthly amount, previous amount, and total charges. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-46.	<u>ANNUITY IMPROVEMENT REPORT (COLA):</u> This report is generated to provide a listing of increases in retirement benefits paid to each member. Information may include: member's ID number, member name, start date of benefits, old base pay, new pay for new fiscal year, and amount of interest. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012

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DEPARTMENT: South Dakota Retirement System
DIVISION: South Dakota Compensation Plan
OFFICE: Benefits
PROGRAM: _____
RECORDS OFFICER: 0031
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RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
RET-47.	<u>DISABILITY ADVISORY COMMITTEE REPORT:</u> This report is maintained to provide a quick reference of all actions of the Disability Advisory Committee. Information may include: member name, member ID number, date, and action taken by the committee. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-48.	<u>DISABILITY VERIFICATION LOG:</u> This file contains disability verification information. Information may include: name, address, date of interviews, medical history, and final recommendations. Member's file is reviewed annually, until three years of continuous disability is verified. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-49.	<u>EMPLOYER UNIT FILES:</u> This file is maintained to document the conversions of private retirement systems to the State system. Information may include, but is not limited to: Resolutions to join SDRS , employee information, SDRS forms, SDRS contribution reports, and correspondence. Files are used to document and administer the various membership programs within the SDRS. RETENTION: Retain 100 years, then destroy.	22-012

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DEPARTMENT: South Dakota Retirement System
 DIVISION: South Dakota Compensation Plan
 OFFICE: Benefits
 PROGRAM: _____
 RECORDS OFFICER: 0031
 RM CUSTOMER #: Michelle Humann

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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RET-50. MEMBER AND EMPLOYER RECORDS DATABASE:

22-012

This database series is arranged by member/employer number, this electronic record contains information provided to SDRS from the member in the member file as well as employment information provided by each employer. Information may include, but is not limited to: member and beneficiary names, social security numbers, address, birth date, date of death, date of marriage, contribution records, and employment status record. This series is maintained in order to have a complete history for individuals as well as employers' history with SDRS.

RETENTION: Retain 100 years, then destroy.

RET-51. MEMBER'S DISABILITY RECORD:

22-012

This file contains member's disability information. Information may include: member name, member ID number, application, and status of application. This series is maintained to ensure all steps of the disability review are properly and completely taken.

RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: South Dakota Retirement System
DIVISION: South Dakota Compensation Plan
OFFICE: Benefits
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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RET-52. MEMBER'S FILE:

22-012

This file is arranged numerically by the member ID of the participating members. Information may include, but is not limited to: member application, correspondence, verification of salary, number of years of service, contribution postings, estimates for retirement, annuity benefits, disability applications, medical records, medical reviews, medical review decisions, birth certificates, marriage certificates, death certificates, and various reports. Files are used to document and administer the various membership programs within the SDRS.

RETENTION: Retain 100 years, then destroy.

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DEPARTMENT: South Dakota Retirement System
DIVISION: South Dakota Compensation Plan
OFFICE: Internal Audits
PROGRAM: _____
RECORDS OFFICER: 0031
RM CUSTOMER #: Michelle Humann

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
RET-53.	<u>ACTUARY REPORTS:</u> This report is used by the internal auditors to check statistics related to the members in the system. Information is pulled from the pension administration system database. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012
RET-54.	<u>AUDIT REPORTS, INTERNAL:</u> This file contains SDRS reports concerning the expenditure, receipt, and administration of funds. Computer reports documenting expenditures and receipts also may be filed in this file. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented. RETENTION: Retain 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	22-012