



OFFICE OF THE
STATE AUDITOR

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
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2021

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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 14, 2021

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.

TO RECORDS DESTRUCTION BOARD PETITION FOR AUTHORITY TO DESTROY RECORDS

This request is made by the the undersigned Vern Larson
as State Auditor (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 State Auditor's office" consisting of 54 pages, and containing designations as follows: Records Series Numbers: AUD-1 (consecutively numbered) through AUD-102, 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 State Auditor's office 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.

Vernon L. Larson
SIGNATURE

11/9/90
DATE

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

Mary Helen Bission
SIGNATURE, STATE RECORDS MANAGER

11/13/90
DATE

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 17th day of December, 1990, 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

12-17-90
DATE

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Vern Larson (name) acting in my position as State Auditor (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 State Auditor's Office (department) consists of three pages and contains record series numbers AUD-63, AUD-67, and AUD-103.

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.

Vernon L. Larson
Signature

5/15/96
Date

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

Susan M. Pietrus
Signature, State Records Manager

5-17-96
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 13th day of June, 1996, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

Tom Perait
Signature, Chairman of the Board

June 13, 1996
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Vern L. Larson (name), acting in my position as State Auditor (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 State Auditor's Office (department) consists of 2 pages and contains record series numbers AUD-33 and AUD-63.

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 "Record Retention and Destruction Schedule" Authorization of the State Auditor's Office (department) record series numbers AUD-35.

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.

Vernon L. Larson
Signature

11/29/99
Date

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

[Signature]
Signature, State Records Manager

11-29-99
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 9th day of December, 1999, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

Paul Kusman
Signature, Chairman of the Board

12-9-99
Date

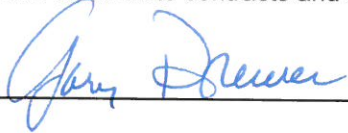
PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Vern L. Larson (name), acting in my position as State Auditor (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 State Auditor's Office (department) consists of 1 page and contains record series numbers AUD-103.

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.


Signature

11-3-00
Date

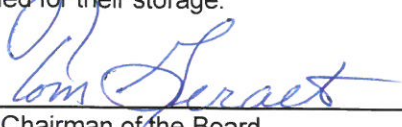
The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.


Signature, State Records Manager

11-15-00
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 30 day of November, 2000, 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

11/30/00
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Steve Barnett, acting in my position as State Auditor, 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 Office of the State Auditor consists of 1 page and contains record series number(s) AUD-103.

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.


Steve Barnett, State Auditor

11-6-18
Date

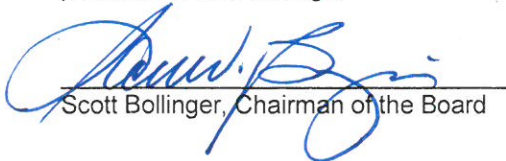
The above and foregoing Petition is hereby recommended for approval by the State Records Destruction Board.


Dana Hoffer, State Records Manager

11-16-18
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.


Scott Bollinger, Chairman of the Board

1-3-19
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Richard L. Sattgast, acting in my position as State Auditor, 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 Office of the State Auditor consists of 42 page(s) and contains record series number(s) AUD-2, AUD-3, AUD-5, AUD-6, AUD-9, AUD-10, AUD-11, AUD-14, AUD-15, AUD-16, AUD-17, AUD-18, AUD-19, AUD-21, AUD-22, AUD-23, AUD-26, AUD-27, AUD-28, AUD-33, AUD-38, AUD-61, AUD-46, AUD-46.1, AUD-41, AUD-42, AUD-42.1, AUD-43, AUD-48, AUD-51.1, AUD-69, AUD-52, AUD-63, AUD-58, AUD-65, AUD-62, AUD-44, AUD-103, AUD-64, AUD-67, AUD-70, AUD-75, AUD-76, AUD-77, AUD-78, AUD-82, AUD-85, AUD-86, AUD-87, AUD-88, AUD-89, AUD-90, AUD-91, AUD-92, AUD-93, AUD-94, AUD-95, AUD-97, AUD-98, AUD-99, AUD-100, and AUD-102.

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 Office of the State Auditor consists of 9 page(s) and contains record series number(s) AUD-30, AUD-39, AUD-40, AUD-45, AUD-47, AUD-49, AUD-50, AUD-51, AUD-53, AUD-54, AUD-55, AUD-56, AUD-57, AUD-59, AUD-66, and AUD-68.

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.


Richard L. Sattgast, State Auditor

3 Nov 2020
Date

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


Dana Hoffer, State Records Manager

11-4-2020
Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 10th day of December, 2020, and authorized the destruction of the records as described in the foregoing Petition subject to the Addendum which is hereby incorporated and made part of the Destruction Authority at the expiration time provided for their storage. I further certify that the change(s) to the Petition as indicated in the Addendum was authorized by and through the action(s) of the State Records Destruction Board. **Authority is granted under Records Destruction Board (RDB) Number 20-010.**



Scott Bollinger, Chairman of the Board

12-10-2020
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Richard L. Sattgast, acting in my position as State Auditor, 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 Office of the State Auditor consists of 1 page(s) and contains record series number(s) AUD-70.

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 Office of the State Auditor consists of 1 page(s) and contains record series number(s) AUD-60.

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.



Richard L. Sattgast, State Auditor

5-13-21

Date

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



Dana Hoffer, State Records Manager

5/17/2021


Date

Records Destruction Board's Action:

- Approved as originally petitioned.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 14th day of July, 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 21-001.**



Scott W. Bollinger, Chairman of the Board

7-14-2021
Date

South Dakota Codified Laws:

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

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

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

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

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

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

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

Notes:

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

Record Handling:

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

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Admin. Auditor/Deputy
RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0028

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AUD-1. ADMINISTRATIVE REFERENCE FILES:

90-001

This series is arranged alphabetically and contains information used for convenience of reference in the daily administration of the State Auditor's office. Information may include but is not limited to: working papers, state job listings, reference books, technical journals, operations guides from other states, research materials, and studies; and convenience copies of minutes, correspondence, audit reports, contracts, agreements, budgets, and state purchasing and printing information. This file is used as a central depository for reference materials used to answer questions concerning each topic and for decision making purposes.

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

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

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AUD-2. ADMINISTRATIVE RULES PROMULGATION FILES:

20-010

This series contains notices of public hearings, affidavits of publication of notices, written comments from the public, and transcripts of hearings. These are also filed with the Legislative Research Council and Secretary of State. 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 in office for as long as rules are in effect, then destroy.

(NOTE: SDCL 1-26-7 states in part that "each agency shall keep the original records, documents, and instruments required by this chapter." There is no time frame included for these records. Since SDCL 1-26-6.8 provides that "No rule is enforceable in the Courts unless properly adopted," the records must be maintained at least until a curative statute has been adopted by the Legislature similar to SDCL 1-26A-2, which cures all defects in the adoption of rules appearing in the 1974 printed ARSD. Consider maintaining electronically.)

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AUD-3. ANNUAL REPORTS TO THE GOVERNOR:

20-010

This series is generated annually pursuant to SDCL 1-9-1 which requires the State Auditor to make an annual report to the Governor fully disclosing the records of the State Auditor. Information includes: balance of each fund at the end of the preceding fiscal year; all receipts, transfers, and expenditures; warrants redeemed and outstanding; and the balance in each fund at the close of the fiscal year reported. Copies are available for distribution to the Legislature upon request.

RETENTION: Retain electronically in office for 5 years, then destroy.

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

AUD-4. ATTORNEY GENERAL OPINIONS:

90-001

This series contains official opinions handed down by the State Attorney General concerning questions pertaining to the agency. The opinions are used for occasional reference and as support for administrative decisions made and actions taken.

RETENTION: Retain 3 years in office, then destroy.

(NOTE: All Attorney General's Official Opinions are printed in the Biennial Report of the Attorney General.)

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AUD-5. AUDIT REPORTS (STATE FUNDS):

20-010

This series is arranged chronologically and contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of the state's funds. Information includes: cover letter; statement of assets, revenues and expenditures; changes of fund cash balances; observations; and recommendations. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented. The auditing agency also maintains a copy of the report.

RETENTION: Retain current report in office. Destroy superseded or obsolete provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: Legislative Audit maintains reports permanently.)

AUD-6. AUDIT REPORTS, COUNTIES:

20-010

This series is arranged chronologically and contains copies of audit reports submitted by counties that receive US Forestry Department funds in accordance with PL 94-588. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented, and maintained to document that audits have been filed to comply with federal statutes.

RETENTION: Retain current report in office. Destroy superseded or obsolete provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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AUD-7. BUDGET FILES, APPROVED ANNUAL OPERATING BUDGET:

90-001

This series is arranged chronologically and contains the yearly budget summaries for the office. Information may include: mission statement, revenues, program performance indicators, amounts budgeted by sub-object, and narrative justifications. The information is used 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 becomes law and is filed permanently with the Secretary of State.

RETENTION: Retain 3 years in office, then destroy.

AUD-8. BUDGET REQUESTS:

90-001

This series is arranged chronologically and contains the budget requests from the various programs throughout the department. Information includes: department hierarchy, dollar amount requested, justifications for increased request amounts, performance indicators, mission statements, goals and objectives, and revenue projections. The information is used to formulate the newest budget request for the program and for reference to determine budget amounts from previous years.

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

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AUD-9. CASH RECEIPT JOURNALS:

20-010

This monthly journal series is arranged alphabetically by program and numerically by receipt number, and is used to record checks deposited in the State Treasury. Information in the journal includes: received from, receipt number, amount, and coding for fund posting. It is used for reference to monitor total revenues 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, and audit findings involving the records have been resolved and final action has been taken.

AUD-10. CASH RECEIPT TRANSMITTALS:

20-010

This series is arranged chronologically and contains the standard forms used to deposit funds in the State Treasury. Information includes: date, agency name, agency number, accounting codes, memorandums, amounts, total deposits, and authorized signatures. The information is maintained to document and credit each account with the amounts deposited. The State Treasurer's office maintains the originals.

RETENTION: Retain 1 year in office, then transfer to RM 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.

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AUD-11. CHART OF ACCOUNTS:

20-010

This series is generated yearly by the Bureau of Finance and Management and lists all sub-object codes. Information includes: section, sub-section, coding structure, code number, account name, and description of the use. The information is used for reference when coding vouchers, requisitions, and payroll/personnel forms.

RETENTION: Retain 1 year in office, then transfer to RM 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.

AUD-12. CORRESPONDENCE, GENERAL:

90-001

This series is arranged chronologically and contains both copies of letters and memorandums sent and the originals of letters and memorandums received. The information is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

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AUD-13. CORRESPONDENCE, STATE AUDITOR:

90-001

This series is arranged chronologically and contains both copies of letters and memorandums sent and the originals of letters and memorandums received by the State Auditor. The information is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

(NOTE: Subject to screening by the State Archivist prior to disposal.)

AUD-14. DEATH CERTIFICATES:

20-010

This series contains copies of state employee death certificates used to authorize payment of wages and benefits to survivors. Information includes: file number, name, date of death, cause of death, date of birth, race, age, county of death, city or location, hospital or institution, marital status, social security number, occupation, attending physician signature or coroner signature, parents' names, whether veteran, autopsy, burial or cremation, where buried, Register of Deeds signature, date, and signature of funeral director.

RETENTION: Retain 1 year in office, then transfer to RM 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.

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AUD-15. DEPRECIATION FILES:

20-010

This annual cumulative report contains depreciation information on equipment owned by the division. Information includes: equipment name, purchase price, life expectancy, annual depreciation, and balance. The information is maintained 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, and audit findings involving the records have been resolved and final action has been taken.

AUD-16. FINANCIAL STATEMENTS (STATE AUDITOR'S OFFICE):

20-010

Financial statements provide an overview of the agency's financial condition for a given year. Information may include but is not limited to: balance sheets; statement of revenues, expenditures and changes in fund balances--budgeted and actual; statement of fixed assets; summary of significant accounting procedures; supplemental information and working papers. The statements are maintained for reference and audit purposes.

RETENTION: Retain 1 year in office, the transfer to RM 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.

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AUD-17. GRIEVANCE FILES:

20-010

This series is arranged alphabetically by name of employee and contains grievance complaints filed against department employees. Information may include: correspondence, follow-up notes, hearing results, investigation data, and Bureau of Human Resources findings (if applicable). The information is used to investigate grievances, to determine if a mutually agreeable solution is available, or to document reasons for actions taken.

RETENTION: Retain current in office. Transfer closed to RM storage for 2 years. Destroy 2 years after closed provided no litigation is pending.

AUD-18. INVENTORY, CAPITAL ASSETS:

20-010

This series is arranged chronologically and contains information regarding the agency's assets. Information may include: a copy of the Central Annual Inventory printout, file maintenance forms which reflect changes in the inventory, inventory procedural manuals, and surplus property received and transferred forms. The information is maintained for property management and accountability purposes.

RETENTION: Retain 1 year in office, then transfer to RM 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.

Retain procedures manuals current in office. Destroy obsolete or superseded.

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AUD-19. JOB ANNOUNCEMENTS:

20-010

This series is arranged chronologically by date of announcement and contains standard Bureau of Human Resources job announcements. Information includes: job title, salary range, list of job duties, listing of experience, listing of education, and comments. The information is used to inform agency personnel of job openings throughout the state.

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

AUD-20. LEGISLATION FILES:

90-001

This series is arranged chronologically and constitutes the agency's central file of all proposed legislation and legislation from previous years. Information includes: resource materials, bill tracking printouts, copies of House and Senate bills, preliminary bill drafts, and the final drafts of proposed legislation. The information is used for bill drafting, submission, and tracking during the legislative session.

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

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AUD-21. MINUTES, STATE BOARD OF EQUALIZATION:

20-010

SDCL 10-11-46 was repealed in 1994.

RETENTION: Immediate destruction. Records no longer accumulate.

AUD-22. POLICIES AND PROCEDURES FILES:

20-010

This series is arranged alphabetically by procedural name and contains policy and procedure manuals. Information may include but is not limited to: Bureau of Human Resources policies, Bureau of Finance and Management policies, communication policies, office policies and procedures, new employee orientation policies, and other miscellaneous policies and procedures. The information is used to insure compliance with current policies and procedures governing the administration and operation of the department.

RETENTION: Retain current in office. Transfer superseded to RM storage for 4 years. Destroy 4 years after superseded.

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AUD-23. POSITION DESCRIPTION FILES:

20-010

This series is arranged numerically by position number and contains copies of the standard Bureau of Human Resources position descriptions for all approved positions at the agency. Information includes: position number, position name, description of duties, list of education requirements, list of work experience, and the nature of the position. The files are useful in determining a position title by comparing the duties of a vacant position with those listed in these descriptions.

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

AUD-24. PUBLICITY FILES:

90-001

This series is arranged chronologically and contains information regarding publicity initiated by office personnel or written about the State Auditor's office. Information may include but is not limited to: newspaper clippings, newspaper advertisements, feature stories, press releases, radio and television scripts, audio tapes, television videos, photographs, related correspondence, and other related materials. This information is maintained to document unsolicited publicity received by the office, to document news articles and press releases written by office personnel, and for reference when developing future news releases.

RETENTION: Retain 5 years in office, then destroy.

(NOTE: Subject to screening by the State Archivist prior to disposal.)

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AUD-25. PURCHASE ORDERS, LOCAL:

90-001

This series is arranged numerically and contains copies of all local purchase orders issued by the office. Information may include but is not limited to: purchase order number, date, vendor code, contract number, agency budgetary accounting codes, number of items ordered, stock numbers, descriptions, unit cost, and total cost. The information is used for reference concerning all supplies and materials ordered, to determine delivery dates, for reordering, and for billing purposes.

RETENTION: Retain 1 year in office, destroy.

AUD-26. RECORDS MANAGEMENT FILES:

20-010

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

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

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

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AUD-27. REQUISITIONS:

20-010

This series contains a copy of the formal requests to order supplies or equipment. The original is submitted to the Office of Procurement Management in Pierre, which results in a Purchase Order being prepared and submitted to a vendor. Information includes: requesting agency, fund coding, authorized signatures, description of items or services, cost amounts, vendor name, quantity, and date of requisition. The information is used for reconciliation purposes. The audit copies are attached to the "Vouchers, Internal" and maintained for four years.

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

AUD-28. RULES AND REGULATIONS:

20-010

This series is arranged alphabetically by agency name and contains copies of rules and regulations pertaining to each. Rules may include: Bureau of Human Resources, Bureau of Finance and Management, procedural manual, communication procedures, and other miscellaneous rules. The information is used to insure compliance with current rules and regulations governing the administration and operation of the department.

RETENTION: Retain current in office. Transfer superseded to RM storage for 4 years. Destroy 4 years after superseded.

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AUD-29. SPECIAL PROJECT FILES:

90-001

This series is arranged alphabetically by topic and documents the ongoing activities of special projects. Information may include but is not limited to: background information, research data, correspondence, personal notes, budget information, projections, copies of contracts, copies of bid proposals; and preliminary, interim, and final reports. The information is maintained for reference, to document special projects activities, and for reporting purposes.

RETENTION: Retain 2 years after project completion in office, then destroy.

(NOTE: Subject to screening by the State Archivist prior to disposal.)

AUD-30. STATE TELEPHONE NETWORK USAGE REPORTS: Deleted from Schedule, 12/10/2020.

AUD-31. SURVEYS AND QUESTIONNAIRES:

90-001

This series is arranged alphabetically by title and contains copies of surveys and questionnaires completed by this division. The information is maintained for reference to information provided by the State Auditor to inquiring agencies.

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

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AUD-32. TRAVEL REQUESTS, INTERNAL:

90-001

This series contains copies of both in-state and out-of-state travel requests for State Auditor’s employees. Information may include: origin, destination, leave date, return date, leave time, return time, agency code, mode of travel, number of rider(s), estimated miles, driver’s name, telephone number, return trip number, vehicle license number, date of entry, and travel coordinator’s name. Out-of-state travel requests also include: estimated transportation costs, estimated meal costs, estimated lodging costs, any fee schedules, and miscellaneous fees. All employees who travel on State business prepare and submit these forms for approval prior to their departure. The forms are used for travel coordination purposes and for paying travel expenses upon return. The Authorizations and Audits Program maintains the original out-of-state travel request with the original voucher for four years.

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

AUD-33. VOUCHERS, INTERNAL OSA:

20-010

This series may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Each voucher may include: purpose of expenditure, amount, account credited, date, to whom or to what account funds were transferred, authorized signatures, and copies of purchase orders and requisitions (if applicable). This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

RETENTION: Retain 1 year in office, then scan and maintain electronically 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.

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AUD-34. TRAVEL AUTHORIZATIONS, OUT-OF-STATE:

90-001

This series is arranged alphabetically by department and contains blanket authorizations granted by department secretaries for certain of their employees to travel out-of-state. Information includes: effective dates, names of persons who have blanket authorization for out-of-state travel, and signature of the department secretary. The information is maintained to verify travel authorization has been received prior to making payments for out-of-state travel.

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

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AUD-36. CONTRACTS, CONSULTING:

90-001

This series contains copies of contracts and agreements filed with the State Auditor's office pursuant to SDCL 1-24A-1 which requires all state agencies to file copies of all consultant contracts with the State Auditor five days after the contract is entered into. Information includes: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. The information is maintained for reference purposes and to comply with legal requirements for insuring its receipt by the State Auditor's office.

RETENTION: Retain current in office. Transfer terminated to RM storage for 1 year. Destroy 1 year after terminated.

(NOTE: SDCL 1-24A-1 requires that a copy of all consultant contracts be filed with the State Auditor within five days after such contract is entered into and finally approved by the contracting parties. All consultant contracts should be filed with the Office of State Auditor prior to the work being performed. Cull files at least once a year to avoid a build-up of superseded or obsolete material.)

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AUD-37. FORGERY FILES:

90-001

This series is arranged chronologically and contains information used to comply with SDCL 23A-42-3 regarding forgeries when warrants are cashed by someone other than the payee. Information may include but is not limited to: State Auditor's notification sent to the State Treasurer, related correspondence, copy of the money order issued by the bank to the State Treasurer, copy of the original warrant sent to the State Treasurer, payee, amount, date, affidavit of forgery from the payee, and copy of notice of forgery sent to the Attorney General. The information is maintained to document forgery proceedings, for audit, and for litigation purposes.

RETENTION: Retain current in office. Transfer closed to RM storage for 7 years after discovery. Destroy 7 years after discovery provided no litigation is pending.

AUD-38. LOCAL BANKING ACCOUNT AUTHORIZATION FILES:

20-010

This series is arranged chronologically, and documents permission granted by the State Auditor and the State Treasurer for the state agencies to maintain a local banking accounts. Information includes: date, account name, account number, type of account, yearly dollar volume, signatures of individuals authorized to write checks on the account, and approving signatures of the State Auditor and the State Treasurer. The files are maintained for audit purposes to document the authorization granted agencies to maintain a local banking accounts.

RETENTION: Retain 1 year in office, then transfer to RM 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.

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Contract Auditor
RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0028

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<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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AUD-39.	<u>WARRANT REGISTERS, SOUTH DAKOTA CEMENT PLANT:</u> Deleted from Schedule, 12/10/2020.	

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DEPARTMENT: State Auditor
 DIVISION: State Auditor
 OFFICE: Administration
 PROGRAM: Fiscal Examination
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-40. ACCOUNTS PAYABLE RECONCILIATION FILE PROCESSING:
 Deleted from Schedule, 12/10/2020

AUD-61. AFFIDAVITS FOR REPLACEMENT WARRANTS:

20-010

This series is arranged chronologically and contains applications for replacement warrants. The forms are divided into sections including: application, affidavit, sureties, acknowledgement of sureties, and state auditor's section. Information includes: signatures, notary public seals, and other related information. The information is electronically maintained to document the application for replacement warrants and for audit purposes.

RETENTION: Retain 1 year in office, then scan and maintain electronically 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.

AUD-46. AP PURGE REPORTS:

20-010

These Weekly AP purge reports include: budgetary control extract, document file purge, and transaction file purge. The budgetary control extract report is arranged alphanumerically by source system and company and contains records and amounts extracted from budgetary control. The document file purge is arranged by document identification number and contains documents and related lines purged from budgetary control. The transaction file purge is arranged by source system, company, and document.

RETENTION: Retain electronically in office for 2 years, then destroy.

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DEPARTMENT: State Auditor
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 OFFICE: Administration
 PROGRAM: Fiscal Examination
 RECORDS OFFICER: Jenna Latham
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AUD-46.1. AP RECONCILIATION DAILY REPORTS:

20-010

These daily reports from BFM are arranged numerically and by payment code, lists payments, amounts processed, by center or warrant number and contains account system management reports. Information may include: bank statement with a numeric list of cleared warrant numbers, deposits, general ledger number, general ledger balance, bank account number, bank balance, outstanding warrants, cancelled warrants, no match warrants, deposits and other reconciliation amount and explanations. AP reconciliation reports show what warrants need to be manually cleared on the system.

RETENTION: Retain 1 year in office, then scan and maintain electronically 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.

AUD-41. AUDIT REPORTS (STATE AUDITOR'S OFFICE):

20-010

This series is arranged chronologically and contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of this agency's funds. Information includes: cover letter; statement of assets, revenues and expenditures; changes of fund cash balances; observations; and recommendations. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented. The auditing agency also maintains a copy of the report.

RETENTION: Retain 1 year in office, then transfer to RM 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: Legislative Audit maintains reports permanently.)

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 RECORDS OFFICER: Jenna Latham
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AUD-42. AVAILABLE FUNDS REPORTS:

20-010

These Bureau of Finance and Management weekly and monthly computer reports series are arranged numerically by center and contain information on appropriation balances. Information in reports include: available funds report by activity; available funds report by program; and available funds report by department. This information is maintained to record and reconcile accounting system transactions and balances. The Bureau of Finance and Management maintains the monthly reports permanently as an historic record of the state's financial activity.

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

AUD-42.1. BATCHES:

20-010

This daily series includes cancelled warrants and affidavits for replacement warrants. Information includes: cancelled warrants from a specific agency with explanation attached and when needed new journal vouchers. This includes screen prints of SDAS showing cancellations. Stop payment warrants that need to be cancelled. Stale warrants that have been cancelled. For replacement warrants this includes copy of affidavit, as needed other important information for that warrant, screen print outs of SDAS, copy of SYSD report, copy of handwrite log.

RETENTION: Retain 2 years in office, then scan and maintain electronically for 3 years. Destroy after 5 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DEPARTMENT: State Auditor
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 OFFICE: Administration
 PROGRAM: Fiscal Examination
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-43. BATCH INVOICE ENTRY EXCEPTIONS:

20-010

This Bureau of Finance and Management computer report series contains information regarding batch invoice exceptions caused by duplicate control group numbers, invalid vendor number, etc. Information includes: control group number, invoice and vendor numbers, company, account, center, amount, and miscellaneous invoice information. This information is maintained to document batch accounts payable entries and exceptions. The Bureau of Finance and Management also maintains these reports for two years.

RETENTION: Retain electronically in office for 2 years in office, then destroy.

AUD-45. BUDGET TRANSFERS: Deleted from Schedule, 12/10/2020.

AUD-47. CASH RECONCILIATION FILES (WESTERN BANK TAPES):
 Deleted from Schedule, 12/10/2020.

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AUD-48. CORRESPONDENCE, FEDERAL:

20-010

This series is arranged chronologically and contains both copies and originals of letters and memorandums sent to and received from any federal agency. The information is maintained for reference and for possible use when federal litigation, claims, or audits are pending.

RETENTION: Retain 1 year in office, then scan and maintain electronically for 2 years. Destroy after 3 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

When litigation, claim, or audit is pending maintain for an additional 3 years electronically, then destroy.

AUD-49. CHART OF ACCOUNTS: Deleted from Schedule, 12/10/2020.

AUD-50. DAILY ACCOUNTING SYSTEM REPORT (BA55UR01 OR BA55JS01): Deleted from Schedule, 12/10/2020.

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AUD-51. DAILY ACCOUNTING SYSTEM REPORT (BA55UR05 OR BA55JS05): Deleted from Schedule, 12/10/2020.

AUD-51.1. DAILY, WEEKLY, MONTHLY BFM GENERAL REPORTS:

20-010

These daily, weekly, monthly, and year end computer reports are used to monitor and reconcile fiscal year receipts and expenditures. Information is maintained by the Accounting Department and Finance Officer and may include: Revenue and journal voucher reports, open purchase orders reports, aged invoices, available funds reports, revenue analysis reports, state general ledger trial balance, company general ledger trial balance, expenditure reports, bank reconciliation reports, employee receivable reports, warrant register reports, encumbrance detail reports, accounts payable reports, projects reports, cash center reports, object/sub-object reports, budget adjustments reports, agency funds activity reports, company 8000 trial balance by center, encumbrance balance report and special travel expenditure reports.

RETENTION: 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.

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AUD-69. ELECTRONIC FUNDS TRANSFER (EFT):

20-010

This series is arranged numerically by audit control number and contains original computer-generated journal voucher for EFT's from the State Treasury to other bank accounts. EFT's are initiated by the State Treasurer's office with the approval of the State Auditor. Information includes: application area; document identification; effective date (transfer date); amount; company, account and center coding; authorized agency signature, Auditors Office keeps an electronic log of all EFT information sent to State Treasurer's office and for audit purposes.

RETENTION: Retain electronic log 4 years in office, then destroy.

Retain journal vouchers in office for 1 year, then send to RM 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.

AUD-52. FINANCIAL STATEMENTS (STATE FUNDS):

20-010

Financial statements provide an overview of the state's financial condition for a given year. Information may include but is not limited to: balance sheets; statement of revenues, expenditures and changes in fund balances--budgeted and actual; statement of fixed assets; summary of significant accounting procedures; supplemental information and working papers. The statements are maintained for reference and audit purposes.

RETENTION: Retain 1 year in office, the transfer to RM 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.

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AUD-63. JOURNAL VOUCHERS:

20-010

This paper series is arranged numerically and contains information from all agencies. Each voucher may include: purpose of expenditure, amount, account code credited, date, to whom or to what account the funds were transferred from all agencies, and authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

RETENTION: Retain 1 year in office, then scan and maintain electronically 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.

AUD-53. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR60 OR BA55JS60): Deleted from Schedule, 12/10/2020.

AUD-54. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR62 OR BA55JS62): Deleted from Schedule, 12/10/2020.

AUD-55. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR63 OR BA55JS63): Deleted from Schedule, 12/10/2020.

AUD-56. MONTHLY ACCOUNTING SYSTEM REPORT (BA55UR64 OR BA55JS64): Deleted from Schedule, 12/10/2020.

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AUD-57. MONTHLY ACCOUNTING SYSTEM REPORT (BA550182):
 Deleted from Schedule, 12/10/2020.

AUD-58. ON-LINE INVOICE ENTRY BY OPERATOR:

20-010

This Bureau of Finance and Management computer report series is arranged numerically by operator code and contains total number of documents and total amount entered by each operator. Information includes: operator code, terminal, date, time, control number, vendor number, invoice number, and payment amount. This information is used by data encoders to reconcile on-line invoice entries. The Bureau of Finance and Management also maintains this report for two years.

RETENTION: Retain 1 year in office, then destroy.

AUD-65. PAYMENT REGISTER FOR WARRANTS:

20-010

This mainframe computer program and biweekly computer printout series is divided by agency and arranged numerically by warrant number and contains lists of warrants issued for each agency and contains grand totals for warrants to be written. Information includes: warrant number, program (agency), invoice number, invoice date, voucher number, auditor control number, effective date, vendor number, group number (itemized vendor identification), vendor name, gross amount, net amount, total number of checks, total number of void checks and total amount of checks. This information is maintained for reconciling to the MSA accounting records and bank statements. The computer printouts are distributed to the individual agencies for voucher reconciliation purposes.

RETENTION: Retain electronically in office for 4 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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AUD-59. PURCHASING FILES RELOAD (BA63UR05 OR BA63JS05):
 Deleted from Schedule, 12/10/2020.

AUD-60. RECONCILIATION UPDATE (BA68UR30,28,29 OR BA68JS30,28,29): Deleted from Schedule, 07/14/2021.

AUD-62. STOP PAYMENT FILES:

20-010

This series is arranged chronologically and contains stop payment notices received from any state agency or bank. Banks send stop payment notices when warrants have stale dates (more than 180 days). Information includes: agency identification, account number, bank name, date of notice, payee, warrant number, amount, warrant date, agency number, reason, stop payment date, and instructions to rescind or replace. The information is maintained for audit purposes.

RETENTION: Retain 1 year in office, then scan and maintain electronically 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.

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AUD-44. SYSD REPORT FOR HANDWRITES AND DELETES:

20-010

This Bureau of Finance and Management computer report series contain information regarding replacements and correction adjustments to outside outstanding warrants. Information includes: date, record type code, bank account warrant, transaction date, amount of check, bank approval code, payee, error message, and payments deleted. The information is maintained to document batch entries and exceptions to the outside outstanding warrants for handwrites.

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

AUD-103. VOUCHERS (AGENCIES):

20-010

This series may contain copies of travel, direct, receiving, and journal vouchers; and purchasing card billings and receipts received from State Agencies. Information may include: purpose of expenditure, amount, account code credited, date, to whom or to what account funds were transferred, and authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies or services ordered, for vendor information, and for audit purposes. Audit copies of vouchers may also include attachments such as purchase orders, requisitions, invoices, packing slips, and receipts.

RETENTION: Retain 1 month in office, then transfer to RM storage for 6 years and 11 months. Destroy after 7 years provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

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AUD-64. WARRANT FILES:

20-010

This biweekly computer series is arranged numerically and contain listings of all computer-generated warrants issued by the State Auditor's office. Information includes: BAP (type of warrant) code, vendor number, invoice number, audit control number, pay entity, issue date, payee name and address, authorized signature of the State Auditor, amount of check (words and figures), and warrant number. This information is maintained for reconciling with State Treasurer's accounts and bank accounts and for audit purposes.

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

AUD-66. WARRANT WRITER (MSA): Deleted from Schedule, 12/10/2020.

AUD-67. WARRANTS PAID:

20-010

This weekly CD series is sent from the State's primary bank to provide front and back images of cashed warrants. Information includes: BAP code, amount of the warrant in words and figures, payee information, back of warrant endorsement information, authorized signature from Auditor's Office. These cashed warrants on the CD include images of BOR warrants, Lottery warrants, and all other State issued warrants. The information is maintained for documentation of payment to payees, suspected forgery and for audit purposes.

RETENTION: Download images from CDs received from the bank. Retain electronically in office for 15 years, then destroy.

(NOTE: Paid warrants are available online with the State's primary bank website for 7 years.)

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AUD-68.	<u>WEEKLY ACCOUNTING SYSTEM REPORT (BA55UR40 OR BA55JS40):</u> Deleted from Schedule, 12/10/2020.	

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DEPARTMENT: State Auditor
DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Old Age & Survivors Insurance
RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0079

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AUD-70. ACCUMULATED EARNINGS AND TAX REPORTS:

21-001

This monthly computer report series is divided by agency and program and contains the end of the month accumulated earnings and tax reports for state employees paid through the central payroll. Information includes: center number, effective date, run date, page number; and for each employee the report lists employee name, social security number, gross pay, FIT wages, FIT withheld, earned income tax credit, O.A.S.I. wages, O.A.S.I. withheld, and net pay. The paper records are maintained for federal tax reporting, for reconciling with IRS W-2 forms, and for audit purposes. The COM is maintained to provide a record of wages and benefits paid by the state. The original COM is maintained at Records Management Storage.

RETENTION: PAPER: Scan and retain scanned paper for 5 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

ELECTRONIC IMAGES/FILES: Retain electronically on shared network drive for 99 years, then destroy.

Retain existing COM for 99 years, then destroy.

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AUD-71. CORRESPONDENCE, FEDERAL:

90-001

This series is arranged chronologically and contains both copies and originals of letters and memorandums sent to and received from any federal agency. The information is maintained for reference and for possible use when federal litigation, claims, or audits are pending.

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

When litigation, claim, or audit is pending maintain for an additional 3 years, then destroy.

AUD-72. IRS FORM 1099:

90-001

This series is arranged chronologically and contains a copy of each Internal Revenue Service (IRS) Form 1099 submitted to persons to whom the state has paid more than \$600 per year for services. Information includes: name, social security or business identification number, and amount paid. The information is maintained to document which notices were sent. The recipients then send their copy to the IRS along with their yearly Federal Income Tax Returns to document yearly income.

RETENTION: Retain 4 years in office, then destroy.

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AUD-73. IRS W-2 FORMS:

90-001

This series is arranged alphabetically by name of employee and contains original undeliverable W-2's and yearly copies of the Wage and Tax Statements IRS W-2 forms sent to employees and the Internal Revenue Service. Information includes: employer's name, identification number, total wages earned for the year, and total taxes withheld for the reporting year. The employees send their copies of these forms to the IRS along with their yearly Federal Income Tax Returns to document yearly income. The information is maintained in this office for reference to verify information for the IRS regarding employees' earnings. Summary information is also maintained permanently on the "Accumulated Earnings and Tax Reports."

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

Retain undeliverable originals 4 years after returned by the post office, then destroy.

AUD-74. PAYROLL REGISTERS:

90-001

This series contains totals pages from the biweekly central and college payroll registers with information used to file federal tax reports for regular payroll, regular corrections, longevity pay, and merit pay. Information may include but is not limited to: name, social security number, agency, current wage information, and accumulated wage information. The information is maintained as source documentation for federal tax reporting and for audit purposes. The Payroll Program maintains this information permanently on computer output microfiche.

RETENTION: Retain 1 year in office, then destroy.

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AUD-75. RETIREMENT ACCOUNTING RECORDS:

20-010

This series is arranged chronologically and contains retirement accounting records regarding federal income tax withheld from retirement systems and annuity accounts. Information includes: account name, reporting period, report date, and total federal income tax withheld. The information is maintained for reference and for audit purposes. The South Dakota Retirement System maintains the information on microfilm for 100 years.

RETENTION: Retain 1 year in office, then transfer to RM 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.

AUD-76. TAX REPORTS, EMPLOYMENT (FEDERAL AND STATE):

20-010

These reports, divided by title, are arranged chronologically and contain the audit copies of reports payments of quarterly and annual federal and state employment taxes. Reports include: IRS form 941, Department of Labor unemployment, O.A.S.I. (social security), F.I.T. (federal withholding), E.I.C. (earned income credit), and various other state and federal employment reports. The information is maintained for reference 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, 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
 (Std Form RM-1 Rev 1/03)

DEPARTMENT: State Auditor
 DIVISION: State Auditor
 OFFICE: Administration
 PROGRAM: Old Age & Survivors Insurance
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0079

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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AUD-77. VOUCHERS, COLLEGE PAYROLLS:

20-010

This monthly series is arranged alphabetically and contains vouchers from the agencies which generate their own payroll indicating the amounts to be deposited for O.A.S.I., F.I.T., and E.I.C. "College payroll" vouchers are received from the six state universities, the School for the Deaf, the School for the Visually Handicapped, and the Board of Regents. Information includes: institution name, date of the report, reporting period, type of payment, and total to be deposited. The information is maintained 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, and audit findings involving the records have been resolved and final action has been taken.

AUD-78. VOUCHERS, JOURNAL:

20-010

This series is arranged alphabetically and contains journal vouchers from agencies which generate their own payroll or any agency that makes corrections to a previously run payroll indicating the amounts they deposited to retirement systems and the IRS for O.A.S.I., F.I.T., and E.I.C. funds withheld from college payrolls. Information includes: college name, date of the report, reporting period, type of payment, and total to be deposited. The information is maintained 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, and audit findings involving the records have been resolved and final action has been taken.

STATE OF SOUTH DAKOTA
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DEPARTMENT: State Auditor
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 OFFICE: Administration
 PROGRAM: Payroll
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-79. AFFIRMATIVE ACTION PLANS:

90-001

This series is arranged chronologically and contains the plan developed by the agency for affirmative action. Information may include: correspondence, committee meeting notes, drafts of plans, and finalized plan of action. The information is used to monitor compliance with existing affirmative action plans and to develop new affirmative action plans as needed.

RETENTION: Retain in office 2 years after superseded, then destroy provided no litigation is pending.

AUD-80. APPLICATIONS, UNSUCCESSFUL:

90-001

This series is arranged alphabetically by applicants' names and may contain copies of resumes, credentials, and standard Bureau of Personnel job application forms from individuals who have applied for employment with the agency. Information includes: name of applicant, address, education, training, and experience. The files are maintained as a source of information when filling vacant positions within the agency. Applications for individuals who are successful in securing employment are transferred to their respective "Personnel Files."

RETENTION: Retain 1 year in office, then destroy.

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RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
AUD-81.	<u>EMPLOYER'S FIRST REPORT OF INJURY:</u>	90-001
	See "Workers Compensation Files."	
AUD-82.	<u>EQUAL EMPLOYMENT OPPORTUNITY SLIPS:</u>	20-010
	<p>These 2" X 11" slips are the perforated portion of the standard Bureau of Human Resources application. Information includes: name, social security number, title applied for, class code, sex, age, and race. These slips are detached from the standard application forms and are used to verify that there are no discriminatory practices in hiring individuals. They are also maintained for equal employment opportunity audits.</p> <p>RETENTION: Retain 1 year in office, then transfer to RM storage for 3 years. Destroy after 4 years provided no litigation is pending.</p>	
AUD-83.	<u>IRS W-4 FORMS:</u>	90-001
	<p>This series is arranged alphabetically by name of employee and contains central payroll Employee's Withholding Allowance Certificates IRS W-4 forms signed by state employees regarding the number of dependents claimed. Information includes: employee's name, social security number, address, number of exemptions claimed, and signatures. The Payroll Program uses these records to determine the amount of income tax to withhold from payroll checks.</p> <p>RETENTION: Retain current in office. Transfer superseded or obsolete to RM storage for 4 years. Destroy 4 years after superseded or obsolete.</p>	

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 RECORDS OFFICER: Jenna Latham
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AUD-84. IRS W-4 FORMS LISTING REPORTS, COLLEGE PAYROLLS:

90-001

This computer printout series is generated monthly and provides a summary of the information found on the Employee's Withholding Allowance Certificates IRS W-4 forms for agencies which generate their own payroll. "College payrolls" include the six state colleges (universities), the School for the Deaf, the School for the Visually Handicapped, and the Board of Regents. Information includes: name, social security number, marital status, number of exemptions claimed, and additional moneys withheld. This series is used for reference purposes to verify employment for garnishments and tax levies.

RETENTION: Retain 2 months in office, then destroy.

AUD-85. LEAVE BALANCE PRINTOUTS:

20-010

This biweekly computer report series contains central payroll information for each agency. Information includes: agency name, employee names, social security numbers, number of hours of leave earned, hours of leave used, and the balance of leave hours still available for use. The computer printout is distributed to the individual agency. The COM is maintained for audit purposes and to provide a record of wages and benefits paid by the state.

RETENTION: Retain electronic reports in BIT's Electronic Output System (EOS) for 99 years, then destroy.

Retain existing COM for 99 years, the destroy.

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DEPARTMENT: State Auditor
 DIVISION: State Auditor
 OFFICE: Administration
 PROGRAM: Payroll
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-86. LEAVE BALANCE PRINTOUTS, INTERNAL:

20-010

This biweekly computer report contains department employee names, social security numbers, number of hours of leave earned, hours of leave used, and the balance of leave hours still available for use. It is used for reference to determine if an employee can be granted leave permission for the number of hours he/she has requested.

RETENTION: Retain 1 year in office, then transfer to RM 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.

AUD-87. LEAVE REQUESTS:

20-010

This series is arranged alphabetically by name of department employee and contains the standard forms used to request annual or sick leave. Information includes: name of employee, leave days requested, hours requested, purpose, type of leave, and employee's and supervisor's signatures. Leave requests are used for payroll and audit purposes.

RETENTION: Retain 1 year in office, then transfer to RM 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.

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OFFICE: Administration
PROGRAM: Payroll
RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0028

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AUD-88. PAYROLL AUTHORIZATION DETAIL REPORT:

20-010

This biweekly computer report series contains combined payroll authorization information for every agency within the central payroll system. Information includes: agency name, employee names, social security numbers, number of hours paid, annual leave hours, sick leave hours, term vacation, term sick leave, overtime, leave balances, rate of pay, and employee type. The information is maintained for audit purposes and to provide a record of wages and benefits paid by the state.

RETENTION: Retain electronic reports in BIT’s Electronic Output System (EOS) for 99 years, then destroy.

Retain existing COM for 99 years, the destroy.

AUD-89. PAYROLL AUTHORIZATION FILES, ALL STATE AGENCIES:

20-010

This series is arranged chronologically and contains a record used to document permission granted the State Auditor to release the central payroll for all state agencies. Authorizations are received from the Bureau of Personnel and each agency. Information includes: employee name, social security number, hours worked, and hours of leave taken. The information is maintained to document permission received to pay wages to state employees and for audit purposes.

RETENTION: Retain current in office, then transfer to RM 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.

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DIVISION: State Auditor
OFFICE: Administration
PROGRAM: Payroll
RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0028

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AUD-90. PAYROLL AUTHORIZATION FILES, INTERNAL:

20-010

This series is arranged chronologically and contains a record of the State Auditor's internal biweekly payroll. Information includes: employee name, social security number, hours worked, and gross pay. The information is maintained 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, and audit findings involving the records have been resolved and final action has been taken.

AUD-91. PAYROLL DISTRIBUTION REGISTER:

20-010

This biweekly computer report series contains payroll distributions for every agency within the central payroll system. Information includes: agency name, employee name, social security number, hours, regular pay, gross pay, O.A.S.I. deductions, state retirement deductions, other retirement deductions, maintenance deductions, health insurance deductions, unemployment compensation deductions, workman's compensation deductions, and total deductions. The information is maintained for audit purposes and to provide a record of wages and benefits paid by the state. Each office is sent a paper copy of its payroll register.

RETENTION: Retain electronic reports in BIT's Electronic Output System (EOS) for 99 years, then destroy.

Retain existing COM for 99 years, the destroy.

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 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-92. PAYROLL DISTRIBUTION REGISTER, INTERNAL:

20-010

This biweekly computer report contains Auditor's office payroll distributions. Information includes: agency name, employee name, social security number, hours, regular pay, gross pay, O.A.S.I. deductions, state retirement deductions, other retirement deductions, maintenance deductions, health insurance deductions, unemployment compensation deductions, workman's compensation deductions, and total deductions. The information is maintained 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, and audit findings involving the records have been resolved and final action has been taken.

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 PROGRAM: Payroll
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-93. PAYROLL REGISTERS:

20-010

This biweekly computer report series is divided by the type of payroll and contains information regarding the regular payroll, regular corrections, longevity pay, and merit pay. Information may include but is not limited to: name, social security number, agency, current wage information, and accumulated wage information. The registers are maintained for audit purposes and to provide a record of wages and benefits paid by the state. Each office is sent a paper copy of its payroll register. The original COM is maintained at Records Management Storage.

RETENTION: Retain paper 1 year in office, then destroy.

Retain electronic files for 99 years on shared network drive, then destroy.

Retain existing COM and microfilm for 99 years, then destroy.

AUD-94. PAYROLL REGISTER, INTERNAL:

20-010

This biweekly computer report contains Auditor's office information regarding the regular payroll, regular corrections, longevity pay, and merit pay. Information may include but is not limited to: name, social security number, agency, current wage information, and accumulated wage information. The registers are maintained 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, and audit findings involving the records have been resolved and final action has been taken.

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 OFFICE: Administration
 PROGRAM: Payroll
 RECORDS OFFICER: Jenna Latham
 RM CUSTOMER #: 0028

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AUD-95. PAYROLL/PERSONNEL ACTION FORMS (PA 32s):

20-010

This standard Bureau of Human Resources form is arranged chronologically and contains the information used to initiate and adjust changes in salaries, classifications, position numbers, and other information. Information includes: social security number, date, address, effective date, base pay, position number, hire date, and any changes in data. This information is used to document any changes requested on the data base and to insure accuracy of changes. The Bureau of Human Resources in Pierre maintains the original and the department's copy of the record is filed in the respective "Personnel Files."

RETENTION: Retain 1 year in office, then destroy.

AUD-96. PERFORMANCE COMMUNICATION DOCUMENTS:

90-001

This series is arranged alphabetically by name of employee and contains the standard performance appraisal with an itemized statement of standards and responsibilities for each employee. Information may include: principal accountabilities, standards of each accountability, performance ratings, performance indexes, comments, and ratings received. Performance Communication Documents are required by administrative rule and are used for justifying merit increases in pay, for commending deserving employees, and as documentation supporting the dismissal of Career Service Employees for unsatisfactory job performance. These files are maintained for audit purposes.

RETENTION: Retain 3 years in office, then destroy by shredding.

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DIVISION:	<u>State Auditor</u>
OFFICE:	<u>Administration</u>
PROGRAM:	<u>Payroll</u>
RECORDS OFFICER:	<u>Jenna Latham</u>
RM CUSTOMER #:	<u>0028</u>

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AUD-97. PERSONNEL FILES:

20-010

This series is arranged alphabetically by name and contains a folder for each employee in the agency. Information may include but is not limited to: applications for employment, personal data sheets, personnel action notices (PA 32s), position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, resumes, service records, notices of resignation, W-4 forms, training records, and supervisors' reports of employee separation. These files serve as a history of the employees' service and training with the facility and provide payroll information. They are maintained to review work history of former employees who apply for work and for audit purposes.

RETENTION: Retain active in office. Transfer terminated to RM storage for 3 years. Destroy 3 years after terminated provided sufficient data on hours worked and compensation received have been maintained by the South Dakota Retirement System, and provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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OFFICE: Administration
PROGRAM: Payroll
RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0028

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AUD-98. RECEIPT BOOKS:

20-010

This series contains forms issued to document fees received for wage attachments and garnishments. Receipts are prenumbered and include: date money was received, amount received, and signature of the person receiving the money. The information is maintained for audit purposes.

RETENTION: Retain full book 1 year in office, then transfer to RM 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.

AUD-98.1. 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.

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RECORDS OFFICER: Jenna Latham
RM CUSTOMER #: 0028

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AUD-99. TIME SHEETS:

20-010

This series is arranged chronologically and contains completed time sheets submitted by program employees. Information includes: name, social security number, pay period ending date, days worked, days off, hours worked, hours off, total hours for the period, and signature of employee. They initiate the payroll process and document hours worked by program employees.

RETENTION: Retain 1 year in office, then transfer to RM 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.

AUD-100. VOLUNTARY DEDUCTION REPORTS:

20-010

This biweekly computer report series is divided by deduction type and contains information regarding state employee central payroll deductions. Information includes: type of deduction, employee health insurance, employee life insurance, cancer insurance, outside health insurance, outside life insurance, deferred compensation, annuities, South Dakota Retirement System, flexible benefit plan, direct deposit institution lists, United Way, employee's organization dues, legal attachment printouts (child support), and bonds. The information is maintained for audit purposes and to provide a record of deductions withheld from wages of state employees.

RETENTION: Retain electronic reports in BIT's Electronic Output System (EOS) for 99 years, then destroy.

Retain existing COM for 99 years, the destroy.

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AUD-101. WAGE ASSIGNMENTS, ATTACHMENTS, TAX LEVIES & GARNISHMENTS:

90-001

This series is arranged alphabetically and contains a record of wage assignments, attachments, tax levies, and garnishments relating to wages paid through the central payroll. The notices may be received from court systems or the Internal Revenue Service (Official Notice of Levy or Garnishment IRS Form 668A or equivalent). Information includes: signed affidavits, summons, correspondence, change slips, copies of vouchers which list the split of payroll, and releases. The information is maintained to document notices received from various entities, to verify that funds are disbursed in accordance with the notices, and for state and federal audit purposes.

RETENTION: Retain current in office. Transfer to RM storage for 4 years after satisfaction. Destroy 4 years after satisfaction.

AUD-102. WORKERS COMPENSATION FILES, EMPLOYEE'S FIRST REPORT OF INJURY:

20-010

This series is arranged chronologically by incident date and contains copies of the standard "Employer's First Report of Injury Forms." Information includes: employer information, employee information, information relating to the on-the-job injury, and doctor reports. This series is maintained for reference to reports filed by employees. The originals are maintained by the Department of Labor and Regulation, Division of Labor and Management.

RETENTION: Retain 1 year in office after claim settled, then transfer to RM storage for 3 years. Destroy 4 years after claim settled provided that no litigation is pending.

(NOTE: The State Division of Labor and Management maintains these files for 80 years.)