



UNIFIED JUDICIAL SYSTEM

SUPREME COURT

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Administration
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2020

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The employees of the Unified Judicial System who contributed their time to explain the purpose and review the content of each record.

STATE RECORD DESTRUCTION BOARD

Scott Bollinger, Commissioner
Bureau of Administration
(Chairman)

Pat Archer
Office of the Attorney General

Chelle Somsen, State Archivist
Department of Education

Jenna Latham
Office of the State Auditor

Russell Olson, State Auditor General
Legislative Audit

Dana Hoffer
State Records Manager



DEPARTMENT OF
EXECUTIVE MANAGEMENT

**BUREAU OF
ADMINISTRATION**

PMB 01234

RECORDS MANAGEMENT PROGRAM
104 S Garfield Avenue
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Pierre, SD 57501-5070
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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: July 20, 2020

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

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 to transfer the records to the archives. If the Archivist fails to make a recommendation within this time, the records may be destroyed, provided that the agency has received authorization from the Records Destruction Board.

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

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, DJ Hanson (name), acting in my position as State Court Administrator (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 Unified Judicial System (Supreme Court) (department) consists of 32 pages and contains record series number(s) UJS-1 (consecutively re-numbered) through UJS-48.

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 Unified Judicial System (Supreme Court) (department) record series numbers(s) UJS-1, UJS-9, UJS-14, UJS-19, UJS-21, UJS-23 thru UJS-25, UJS-31, UJS-39, UJS-41 thru UJS-43, UJS-46, UJS-47, UJS-49 thru UJS-52, UJS-56 thru UJS-64, UJS-71 thru UJS-74, UJS-76, UJS-77, and UJS-79 thru UJS-82.

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.



DJ Hanson, State Court Administrator

12/6/07
Date

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



Dana Hoffer, State Records Manager

12/17/07
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 18th day of December, 2007, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.



Signature, Chairman of the Board

12-18-07
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

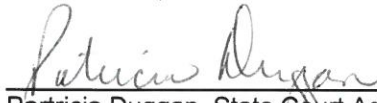
I, Patricia Duggan (name), acting in my position as State Court Administrator (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Unified Judicial System (Supreme Court) (department) consists of 1 page and contains record series number(s) UJS-37.1.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Unified Judicial System (Supreme Court) (department) record series numbers(s) N/A.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Patricia Duggan, State Court Administrator

12/10/08

Date

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



Dana Hoffer, State Records Manager

12-11-08

Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 11th day of December, 2008, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.



Signature, Chairman of the Board

12-11-08

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Pat Duggan (name), acting in my position as State Court Administrator (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 Unified Judicial System (Supreme Court) (department) consists of 6 pages and contains record series number(s) UJS-1A, UJS-16, UJS-26, UJS-34, UJS-32, UJS-22, and UJS-33.

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 Unified Judicial System (Supreme Court) (department) record series numbers(s) UJS-27, UJS-28, UJS-29, and UJS-30.

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.

Pat Duggan
Pat Duggan, State Court Administrator

11-8-10
Date

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

Dana Hoffer
Dana Hoffer, State Records Manager

12-14-2010
Date

DESTRUCTION AUTHORITY

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

Successor Duval
Signature, Chairman of the Board

12/15/10
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Pat Duggan (name), acting in my position as State Court Administrator (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 Unified Judicial System (Supreme Court) (department) consists of 2 pages and contains record series number(s) UJS-32, and UJS-33.

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 Unified Judicial System (Supreme Court) (department) record series numbers(s) N/A.

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.



Pat Duggan, State Court Administrator

11-22-11

Date

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



Dana Hoffer, State Records Manager

12-7-2011

Date

DESTRUCTION AUTHORITY th

I hereby certify that the State Records Destruction Board met on the 15 day of December, 2011, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.



Signature, Chairman of the Board

12-15-11

Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Gregory L. Sattizahn, acting in my position as the State Court Administrator, 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 Unified Judicial System Supreme Court consists of 20 page(s) and contains record series number(s) UJS-2, UJS-8, UJS-9, UJS-10, UJS-11, UJS-12, UJS-16, UJS-17, UJS-18, UJS-19, UJS-20, UJS-23.1, UJS-24, UJS-25, UJS-4, UJS-35, UJS-34, UJS-34.1, UJS-22, UJS-32, UJS-33, UJS-36, UJS-41, UJS-43, and UJS-45.

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 Unified Judicial System Supreme Court consists of 3 page(s) and contains record series number(s) UJS-21, UJS-26, UJS-31, and UJS-46.

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.



Gregory L. Sattizahn, State Court Administrator

5/4/20

Date

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



Dana Hoffer, State Records Manager

5/4/2020

Date

Addendum to the UJS-Supreme Court's Petition for Authority to Destroy Records.

Records Destruction Board's Action(s):

- Amended UJS-43 and removed the Note: Subject to archival screening prior to disposal.

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 16th day of July, 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 20-003.**



Scott Bollinger, Chairman of the Board

7-16-2020
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.

EMAIL AND ELECTRONIC DOCUMENT MANAGEMENT POLICY:

Pursuant to SDCL 16-21-4, whenever available the official court record is the electronic file maintained by the Unified Judicial System as part of the electronic case management system. If an email or electronic document qualifies as a record pursuant to SDCL 1-27-9, it must be filed and maintained in accordance with the records retention and destruction schedule as determined by content of the document just as any paper record would be managed. To avoid duplication of efforts, the person sending the email or creating the electronic document from within the Unified Judicial System is responsible for ensuring that it is retained according to this schedule. If the email or electronic document is received from an outside entity the recipient within UJS is responsible for ensuring the record is retained as provided by this schedule. Employees must actively manage their email and electronic documents just as they manage their paper records. Email and electronic documents may be managed and stored in an electronic format or through paper documentation. If retained only in electronic format, the records need to remain accessible for the entire retention requirement. Email and electronic documents that do not qualify as a record under SDCL 1-27-9 may be deleted in the ordinary course of business. Note: Record, whether electronic or paper, relevant to pending or reasonably anticipated litigation must be preserved even if the schedule allows for its destruction. Such records are subject to a litigation hold by the UJS legal department.

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.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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State Court Administrator:

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-1A. ATTORNEY FILES:

10-016

This series is arranged chronologically by year and contains attorney files maintained by the Supreme Court Clerk of Court. Information may include, but is not limited to: applications, National Conference of Bar Examiner's request for preparation of character report, character and fitness information, various letters from the Board of Bar Examiners, DCI criminal history background check, letters from clerks' offices, admittance materials, orders admitting applicants to the State Bar, photographs of applicants, scores from tests if they failed the exam before they were admitted, Bar applications from other States if they were admitted there, and reference materials. This record series is maintained in case there is disciplinary actions or transfer to another State.

RETENTION: Retain permanently or microfilm, as directed by SCAO.

UJS-1. SUPREME COURT FILES:

07-067

This series is arranged chronologically by year and contains Supreme Court action files. Information may include: summons, satisfactions, complaint, answers of the parties, orders, motions. Statements of judge, disqualifications, briefs, transcripts if requested, judgment, notice of appeal, and all other information pertinent to the case. This record series is maintained for reference and audit purposes.

RETENTION: Retain permanently or microfilm, as directed by SCAO.

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

<u>RECORD</u> <u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u>
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UJS-2. ANNUAL REPORT (BENCHMARK):

20-003

This series is arranged chronologically and contains the yearly report published by the program summarizing all court activities. Information may include: overviews, caseload data, personnel listings, staffing allegations, receipts and disbursements both statewide and by county, and caseloads both statewide and by county. This record series is compiled yearly and published to provide interested individuals of the summary of court activity.

RETENTION: Retain 10 years in office, 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.)

(Note: Previous record series number was UJS-30.)

UJS-3. CIVIL CASE SUMMARIES (UJS-105):

07-067

This series is arranged numerically by circuit number and alphabetically by county within each circuit and gives a monthly summary of civil court case activity. Information may include: circuit number, name of county, month, year, number of civil cases a month, number to date, and court actions by judge. This record series is used to provide a monthly summary of civil court activity and to monitor for bottlenecks in caseloads.

RETENTION: Retain 2 years in office, then transfer to storage for 2 years. Destroy after 4 years.

(Note: Previous record series number was UJS-55.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-5. CORRESPONDENCE, CIRCUITS:

07-067

This series is arranged chronologically and contains both copies of letters and memorandums sent to the various circuits throughout South Dakota and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 3 years in office, then destroy.

(Note: Previous record series number was UJS-3.)

UJS-6. CORRESPONDENCE, GENERAL:

07-067

This series is arranged chronologically and may contain both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 3 years in office, then destroy.

(Note: Previous record series number was UJS-4.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-7. LEGISLATION FILES:

07-067

This series is arranged chronologically and constitutes the agency's central file of all proposed legislation and legislation from previous years. Information may include: resource materials, correspondence, Bill Tracking Printouts, copies of House and Senate bills, preliminary bill drafts, and the final drafts of proposed legislation. This record series is used for bill drafting, submission, and tracking during the legislative session.

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was UJS-5.)

UJS-8. MEETING FILES, PRESIDING JUDGES:

20-003

This series is arranged chronologically and contains information concerning the meetings of the presiding judges of the courts. Information may include: agendas, copies of minutes, handouts, correspondence, draft materials, and other related information concerning the minutes of this entity. This record series is maintained for reference concerning actions taken by the group.

RETENTION: Retain 8 years in office, then destroy.

(Note: Previous record series number was UJS-6.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-9. MINUTES, ADMINISTRATORS CONFERENCE/PRESIDING JUDGES:

20-003

This series is arranged alphabetically by group name and contains copies of minutes from each. Information may include: group name, dates of meetings, members in attendance, topics discussed, actions taken, and authorized signatures. This record series is maintained for reference concerning actions taken by each of the entities.

RETENTION: Retain in office permanently.

(NOTE: Consider microfilming when volume warrants.)

(Note: Previous record series number was UJS-7.)

UJS-10. NEWSLETTERS:

20-003

This series is arranged chronologically and contains copies of the quarterly newsletters issued by the Unified Judicial System. Information may include: date, volume, topics, and items discussed. This record series is maintained for reference to document the substance of the newsletters and for reference when preparing new newsletters.

RETENTION: Retain 5 years in office, 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.)

(Note: Previous record series number was UJS-8.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-11. POLICIES AND PROCEDURES:

20-003

This series is arranged alphabetically by procedure name and contains current procedures for each. Information may include: United Judicial System policies and procedures, and others. This record series is used to determine the proper course of action to take in certain situations.

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

(Note: Previous record series number was UJS-10.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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UJS-12. ACCOUNTING SUMMARIES:

20-003

This series is arranged chronologically and contains monthly reports. Information may include: Bank Statements, Cash Received from Clerk of Courts, Account Balance Report- Liabilities (Pre-Closure), Account Balance Report- Liabilities (Restitution), Money in Escrow- Restitution, Account Balance Report- Liabilities (Bonds, etc.), Registry & Trusts Accounts with Balances Report, Draw Down Account Balance, Money in Escrow- Overpayments (AP/PassThru), Disbursement Summary- Final Copy, Account Balance Report- Liabilities (Post-Closure, Zero). This record series is maintained audit purposes.

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

(Note: Previous record series number was UJS-29.)

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RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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UJS-13. AUDIT REPORTS:

07-067

This series contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of state funds. This record series contains the reports which 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 3 years in office, then destroy provided 1 year has passed since a new independent post-audit report has been received.

(NOTE: Legislative Audit maintains reports permanently in office on microfilm.)

(Note: Previous record series number was UJS-32.)

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UJS-14. BUDGET FILES:

07-067

This series is arranged chronologically and contains yearly budget summaries for the agency. Information may include: budget requests, budget drafts, operating budgets, and related working papers. This record series is used throughout the year in monitoring program activities and for preparing future budget requests.

RETENTION: Retain 3 years in office, then destroy.

(Note: Previous record series number was UJS-33.)

UJS-15. BUDGET REQUESTS:

07-067

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

RETENTION: Retain 3 years in office, then destroy.

(Note: Previous record series number was UJS-34.)

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UJS-16. BUDGETARY ACCOUNTING REPORTS:

20-003

These daily, weekly, monthly, and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures. Information may include, but is not limited to: Aged Unpaid Invoice Register, Accounts Payable, Cash Center Balances, Employee Receivables, Local Cash Accounts, Revenue Summary Report, AP 1099 Lines, Trial Balances, Open Purchase Orders, Payroll Distribution Registers, and Available Funds Reports. This record series is maintained for reference and audit purposes.

RETENTION: Retain daily and monthly reports electronically for 1 year in office, then destroy.

Retain yearly report and Payroll Distribution Register 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.

(Note: Previous record series number was UJS-35.)

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UJS-17. CASH RECEIPTS:

20-003

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

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

(Note: Previous record series number was UJS-36.)

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RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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UJS-18. CONTRACTS AND AGREEMENTS:

20-003

This series contains contracts and agreements between the agency and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is maintained for reference and audit purposes.

RETENTION: Retain originals current in office or retain electronically. Transfer terminated to storage for 6 years. Destroy 6 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(NOTE: SDCL 1-24A-1 requires that a copy of all consultant contracts be filed with the State Auditor within five days after such contract is entered in to 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.)

(Note: Previous record series number was UJS-37.)

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RECORDS OFFICER: Tara Hicks
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UJS-19. CORRESPONDENCE, GENERAL:

20-003

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

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

(Note: Previous record series number was UJS-38.)

UJS-20. FINANCIAL STATEMENTS:

20-003

Financial statements provide an overview of the department'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 paper 4 years in office or 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.

(Note: Previous record series number was UJS-40.)

UJS-21. OUTSIDE INCOME REPORTS, COURT REPORTERS: Deleted from Schedule, 07/16/2020.

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UJS-23. REQUISITIONS, CAPITAL ASSETS:

07-067

This series contains the formal requests to order supplies or equipment. A copy is submitted to the State Procurement Office in Pierre which results in a Purchase Order being prepared and submitted to a vendor. Information may include: requesting agency, fund coding, authorized signatures, description of items or services, cost amounts, vendor name, quantity, and date of requisition. This record series is used for reconciliation and audit purposes.

RETENTION: Retain 4 years in office, then destroy.

(Note: Previous record series number was UJS-48.)

UJS-23.1. SURPLUS PROPERTY FILES:

20-003

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 paper 4 years in office or retain electronically 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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UJS-24. VOUCHERS:

20-003

This series may contain copies of referee vouchers, non-cash, and journal vouchers. Each voucher includes: purpose of the expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. Vouchers are used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

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

(Note: Previous record series number was UJS-53.)

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UJS-25. APPLICATION RECORDS:

20-003

This series is arranged numerically by job requisition number and contains the announcement, application, and other related information used to recruit and interview potential employees for vacant positions. Information may include: job announcement, job applications, equal employment opportunity information, listing of individuals who have applied for the position, disposition of each, interview notes, and other related information. This record series is maintained electronically or via paper files by requisition number. The appointed applicant's information is stored electronically in the "Personnel Files" in the Human Resources Office, SCAO, Pierre.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years.

(Note: Previous record series number was UJS-12.)

UJS-26. APPOINTMENTS, LAW TRAINED MAGISTRATES: Deleted from Schedule, 07/16/2020.

UJS-4. CONFERENCE FILES:

20-003

This series is arranged alphabetically by name of conference and may contain information concerning conferences sponsored by the South Dakota Unified Judicial System. Information may include: agendas, handouts, seminar materials, classroom notes, lectures, brochures, and other related information. This record series is maintained for reference in planning future conferences.

RETENTION: Retain 3 years in office, then destroy.

(Note: Previous record series number was UJS-2.)

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UJS-35. EMPLOYEE TRAINING RECORDS:

20-003

This series contains training records which are maintained on a web-based Learning Management System. This record series contains information relative to the amount and type of training each employee and judge is receiving.

RETENTION: Retain computerized records in office permanently for active judges and employees. Archive termed judge and employee files.

(Note: Previous record series number was UJS-27.)

UJS-31. EQUAL EMPLOYMENT OPPORTUNITY RECORDS: Deleted from Schedule, 07/16/2020.

UJS-34. JOB ANNOUNCEMENT LOG:

20-003

This log series is arranged chronologically and provides a listing of individuals hired by the UJS. It is maintained on an Excel spreadsheet. Information may include: position number, salary of the individual who terminated, job requisition number, closing date, title, location, name of individual hired, starting date, and starting salary. This record series is maintained for statistical purposes.

RETENTION: Retain in office permanently.

(Note: Previous record series number was UJS-20.)

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UJS-34.1. MEDICAL FILES:

20-003

This series is arranged by Employee ID # and contains folders separate from the "Personnel File" for each employee in UJS. The folders are labeled: FMLA (Family Medical Leave Act), Return to Work, Advanced Sick Leave, Hepatitis B Vaccine Statement, Donated Leave, Dr. License/CDL Forms, First Report of Injury, Medical Records, and Miscellaneous (ergonomic assessments, Worker's Compensation medical, or other medical documents). These files are not shared with the "Personnel File" requests.

RETENTION: Retain electronically while employee is active. Destroy 3 years after terminated provided there is no pending litigation.

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UJS-22. PAYROLL FILES:

20-003

These semi-monthly reports are arranged chronologically and contains payroll files. Payroll reports from TKS include: Additional Leave Reports (including Termed Leave) and Average Daily Hours for Holiday, Employee Time and Leave Summary by Center, Timeform Hours Error Report, Employee Hours vs Pay Period Hours, Hourly Employee LA Verification, TKS vs Lawson hours and Lawson Exports, including error report after final export. Payroll reports form Lawson include: PR530 totals page, PR136, PR135 first run total page and Tareport, PR37, PR137 output, PR140 total page with authorization signature, and PR135 3rd run total page with authorization signature. Information may include: employee name, employee number, employee type, hours worked, hours of leave taken, hours paid, and other miscellaneous payroll data. This series documents hours and payroll processing for audit purposes and is monitored for internal control and compliance with current rules and regulations.

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.

(Note: Previous record series number was UJS-45.)

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UJS-32. PERFORMANCE EVALUATION AND DEVELOPMENT:

20-003

This series is maintained electronically and is filed in each employee’s personnel file in the Human Resources Office, SCAO, Pierre. It contains the standard performance appraisal form approved by SCAO. Performance evaluations are required for certain employees pursuant to the UJS Personnel Rules and are used as documentation for commending deserved employees and for supporting termination decisions for unsatisfactory performance.

RETENTION: Retain current fiscal year plus the previous 3 fiscal years. Destroy any previous fiscal years from “Personnel File”.

(Note: Previous record series number was UJS-11.)

UJS-33. PERSONNEL FILES:

20-003

This series is arranged by employee ID# and contains a folder for each employee in the UJS. Information may include, but is not limited to: applications for employment, personnel action notices, authorizations for payroll deductions, letters of reprimand, resumes, military orders, notices of resignation, W-4 forms, supervisors' reports of employee separation, and clerk magistrate waiver requests/oath of office. These files serve as a history of the employees' service with the UJS and provide payroll information. This record series is maintained to review work history of employees.

RETENTION: Retain electronically while employee is active. Destroy 3 years after terminated provided there is no pending litigation.

(Note: Previous record series number was UJS-22.)

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UJS-36. TRAVEL REQUESTS, OUT-OF-STATE:

20-003

This series is arranged chronologically and is maintained on an Excel-spreadsheet program and may contain a paper record of the out-of-state travel request form. Information may include: employee name, worksite, destination, purpose of trip, class, estimated travel expenses, and authorization signatures for travel. This record series is maintained to document proper authority was received prior to approving the expenditure for out-of-state travel.

RETENTION: Retain Excel spreadsheet in office permanently.

Retain paper files 1 year in office, then transfer to storage for 3 years.
Destroy after 4 years.

(Note: Previous record series number was UJS-28.)

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UJS-37. BILLINGS, BIT:

07-067

This computer printout series is generated monthly and contains a summary of services provided to the program. Information may include: date of services, type of services, transaction types, transaction number, job cost, and total cost. This record series is used to verify the accuracy of the bills prior to issuing payment.

RETENTION: Retain 4 year in office, then destroy.

(Note: Previous record series number was UJS-54.)

UJS-37.1. CORRESPONDENCE, GENERAL:

08-015

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

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was UJS-57.)

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OFFICE: State Court Administrator
PROGRAM: Information and Technology
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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UJS-38. REPORT OF DISPOSITION FROM CRIMINAL DOCKETS AND SC26JS55 FILINGS AND DISPOSITIONS BY SDCL:

07-067

This computer printout series is generated quarterly and provides a summary of criminal case actions throughout the State. Information may include: reporting period, circuit, county, judge, caseload, type of case, year-to-date totals, dispositions, charges, number of trials held, number of jury trials held, number of changes of pleas, number of preliminary hearings held, and number of guilty pleas received. This record series is used for reporting and statistical purposes.

RETENTION: Retain quarterly report 3 months in office, then destroy.

Retain yearly report 4 years in office, then destroy.

(Note: Previous record series number was UJS-65.)

UJS-39. SYSTEM DOCUMENTATION BOOKS:

07-067

This series is arranged numerically by job stream number and contains documentation concerning program development and maintenance. Information may include: job stream number, name, job language listings, data specifications, objectives, samples of output, and other comments related to program operation and maintenance. This record series is maintained to document program structure and for reference when enhancing existing computer systems.

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

(Note: Previous record series number was UJS-66.)

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RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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UJS-40. SYSTEM DOCUMENTATION PROGRAM COMPILES:

07-067

This ring-binder series is arranged alphabetically by system name and may contain the program compiles of each computer system. This record series is maintained as the compiles are used for reference for program modification or problems.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years.

(Note: Previous record series number was UJS-67.)

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PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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UJS-41. ACTIVE CASELOAD REPORTS, JUVENILE/ADULT:

20-003

This report is generated monthly and provides a numeric listing by circuit of cases assigned to each court services officer. Information may include: circuit officer number and name, name of perpetrator, sentence date, offense, disposition, review date, length of probation, if restitution necessary, start of probation, and service codes. This record series is maintained as a quick summary to determine the name of the court services officer assigned to each offender and for staff supervision purposes.

RETENTION: Retain current and previous months in office or in case management system. Destroy superseded or obsolete.

(Note: Previous record series number was UJS-68.)

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RM CUSTOMER #: 0162

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UJS-42. ACTIVITY REPORTS, COURT SERVICES OFFICERS,
JUVENILE/ADULT:

07-067

This computer printout series is generated monthly and provides a summary of services provided by court services officers. Information may include: name of court service officer, number of investigations conducted, number of preliminary hearings held, number of divorce custody investigations conducted, number of adoption investigations conducted, and other related activities. This record series is maintained for review purposes to monitor the quantity of work produced by each officer and for statistical purposes.

RETENTION: Retain monthly report 1 month in office, then destroy.

Retain yearly report 1 year in office, then destroy.

(Note: Previous record series number was UJS-69.)

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OFFICE:	<u>State Court Administrator</u>
PROGRAM:	<u>Trial Court Services</u>
RECORDS OFFICER:	<u>Tara Hicks</u>
RM CUSTOMER #:	<u>0162</u>

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UJS-43. ADULT REFERRAL ACTION REPORTS:

20-003

This series is generated quarterly and annually and provides a summary of action and statistical trends concerning individuals who have had final disposition for court case actions. Information may include: circuit number, county, type of offense, number of prior cases, number of new cases, ethnic group statistics, marital status statistics, income statistics, age, and veteran status by type of offense. This record series provides general demographics concerning individuals who commit certain types of crimes and is used for trend comparison purposes.

RETENTION: Retain current and previous months in office or in case management system. Destroy superseded or obsolete.

(Note: Previous record series number was UJS-70.)

UJS-44. CORRESPONDENCE, GENERAL:

07-067

This series is arranged chronologically and may contain both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

(Note: Previous record series number was UJS-75.)

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

DEPARTMENT: Unified Judicial System
 DIVISION: Supreme Court
 OFFICE: State Court Administrator
 PROGRAM: Trial Court Services
 RECORDS OFFICER: Tara Hicks
 RM CUSTOMER #: 0162

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

UJS-45. JUVENILE REFERRAL ACTION REPORTS:

20-003

This report is generated yearly and provides a chronological listing of any actions which have taken place involving juveniles. Information may include: demographics of juveniles, offenses committed, activity, actions taken, circuit and state summary of actions and totals. This report provides a summary of the amount of juveniles served by the court and history concerning demographics and types of crimes committed by each. This record series is also used for statistical and reference purposes.

RETENTION: Retain 15 years in office, then destroy.

(Note: Previous record series number was UJS-78.)

UJS-46. TRAINING FILES, COURT OFFICERS: Deleted from Schedule, 07/16/2020.

UJS-47. VOUCHERS:

07-067

This series may contain copies of direct vouchers. Each voucher includes: purpose of the expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. Vouchers are used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes. The audit copy is maintained by the Budget and Finance program.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was UJS-84.)

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

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

UJS-48. WORKLOAD ACTIVITY SYSTEM REPORTS:

07-067

This computer printout series is generated monthly and lists time study reports which summarize employee activities. Information may include: name of officer, description of work, amount, amount of time spent doing each activity, and standards for each. This record series is maintained to monitor caseloads and for staff administration.

RETENTION: Retain monthly report 1 year in office, then destroy.

Retain year-end report 1 year in office, then transfer to storage for 3 years. Destroy after 4 years.

(Note: Previous record series number was UJS-85.)