



# ABSTRACTERS' BOARD OF EXAMINERS

## RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF  
EXECUTIVE MANAGEMENT

**BUREAU OF  
ADMINISTRATION**

PMB 01234

**RECORDS MANAGEMENT PROGRAM**  
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## MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer  
State Records Manager

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

DATE: January 12, 2012

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

According to Administrative Rule 24:52:11:01, any State government agency planning to destroy agency records shall notify the State Archivist 30 days before the date of the proposed destruction. The request shall include the name or title of the records, inclusive dates, information content of the records, and quantity. This rule applies to all records, including those granted exclusive or continuous disposal authorization by the Records Destruction Board, with the following exceptions: vouchers, original and copies, and supporting documents; warrants, original and copies, multiple copies of State publications stored in bulk; obsolete blank forms; photocopies of computer printouts; and original copies of records that have been legally reproduced under the provisions of SDCL 1-27-4.

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

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

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AUTHORIZATION FORM  
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Labor and Regulation  
DIVISION: Secretary  
OFFICE: Boards and Commissions  
PROGRAM: Abstracters' Board of Examiners  
RECORDS OFFICER: Monica Harding  
RM CUSTOMER #: 1188

<b>RECORD</b>		<b>R.D.B.</b>
<b><u>SERIES NO.</u></b>	<b><u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u></b>	<b><u>AUTHORITY</u></b>
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**ABE-1. ADMINISTRATIVE REFERENCE FILE:**

**08-002**

This series may be arranged by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, and property management information; monthly reports; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; general correspondence and any other related information. This record series is maintained for reference purposes.

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

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

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**ABE-2. ADMINISTRATIVE RULE PROMULGATION FILES:**

**08-002**

This series contains notices of public hearings, affidavits of publication of notices, written comments from the public, and transcripts from the hearings. Files have little reference activity once their hearing has been held unless someone requests a copy of the transcript. 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 provided 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 adoption of rules appearing in the 1974 ARSD. Consider maintaining on microfilm instead of paper.)

(Note: The previous record series number was AB-1.)

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**ABE-3. AUDIT REPORTS:**

**08-002**

This series is arranged chronologically, and contains Legislative Audit reports concerning the expenditure and administration of funds. Information includes: cover letters, statement of assets, revenues and expenditures, change of fund cash balances, and observations and recommendations. The reports are reviewed to identify problem areas and discrepancies so that corrective measures may be implemented.

**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: Legislative Audit maintains reports permanent in office on microfilm.)

(Note: The previous record series number was AB-4.)

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**ABE-4. BANK STATEMENTS:**

**08-002**

This series is arranged chronologically and contains records sent from individual banks for reconciliation purposes. Information may include: dates of statements, actual cancelled checks, deposit records, and bank balances. This record series is used to reconcile checking accounts with bank balances, for reference, documentation, and for audit purposes.

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

(Note: The previous record series number was AB-5.)

**ABE-5. BOARD MEMBER FILES:**

**08-002**

This series is arranged alphabetically and contains information regarding individual Board members. Information may include: letters of appointment, terms, expiration dates, and correspondence. This record series is maintained to document member appointments to the Abstracters' Board of Examiners, and any related information pertaining to each.

**RETENTION:** Retain current in office. Transfer terminated to storage for 3 years. Destroy 3 years after termination provided sufficient data on hours worked and compensation received is maintained by the Department of Labor, Division of Retirement and Insurance; and provided 1 year has passed since an independent post audit report has been received.

(Note: The previous record series number was AB-6.)

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**ABE-6. BUDGETARY ACCOUNTING/MSA REPORTS:**

**08-002**

These monthly and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures. Reports may include, but are not limited to: Daily Revenue and Journal Voucher Detail Reports, Daily Transaction Registers, Status Registers, Activity Budget Status, Weekly Sub-Fund Reports, Advance Travel-Accounts Receivables, Transaction Progress Reports, Monthly Revenue and Journal Voucher Detail Reports, Revenue Analysis Reports, General Ledger Trail Balances, and Monthly Expenditure Reports. This record series is maintained for audit purposes.

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

(Note: Consider receiving data on computer output microfiche (COM) instead of paper, and maintaining fiche in office the entire 4 years prior to disposal.)

(Note: The previous record series number was AB-7.)

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**ABE-7. CASH RECEIPT TRANSMITTAL:**

**08-002**

This series contains the standard forms used to deposit funds into the State Treasury. Information may include: agency name and code, agency receipt number, date, fund, sub-fund, revenue source, description, and amount. The original and two copies are forwarded to the State Treasurer along with receipts for deposit. A copy is kept for reference and audit purposes. This record series is maintained for documenting and crediting each account with amounts deposited.

**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: The previous record series number was AB-8.)

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**ABE-8. CHECK REGISTERS:**

**08-002**

This series is arranged numerically by check number and contains the actual stubs of checks written. Information may include: check number, issue date, payee name, purposes for the payment, beginning balance, amount of the check, and the ending balance. This record series is used for quick reference concerning the names of the parties each check was sent to, and used for reconciliation with bank statements.

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

(Note: The previous record series number was AB-9.)

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**ABE-9. COMPLAINT FILES:**

**08-002**

This series contains all related correspondence received from either the general public or initiated by the Abstracters Board of Examiners concerning problems which have occurred with abstracters. Information may include: nature of the complaint, related correspondence, investigation of the allegation, conclusion of the investigation, and related materials. This record series is used by the Board to determine if a complaint is substantiated and if so, to take corrective action. If the complaints are substantiated, this information is then placed in each respective "License Files, Abstracters".

**RETENTION:** Retain unsubstantiated 1 year in office, then transfer to storage for 2 years. Destroy 3 years after determined to be unsubstantiated provided no litigation is pending.

Retain substantiated until case closed, then transfer to the respective "License Files, Abstracters", and maintain for 4 years after last license expiration. Destroy 4 years after last license expiration provided no litigation is pending.

(Note: The previous record series number was AB-10.)

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**ABE-10. CONTRACT AND AGREEMENT FILES:**

**08-002**

This series contains contracts and agreements between the Abstracters Board of Examiners and other parties. Information may include: terms and conditions of the contracts and agreements, effective dates, costs, and funding sources. This record series is kept for reference and documentation purposes.

**RETENTION:** Retain current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated provided that no litigation is pending.

(Note: SDCL 1-24A-1 requires that a copy of all consultant contracts to be filed with the State Auditor within 5 days after such contract is entered into and finally approved by the contracting parties. All consultant contracts should be filed with the Office of the State Auditor prior to the work being performed.)

(Note: The previous record series number was AB-11.)

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**ABE-11. EXAMINATION RECORDS:**

**08-002**

This series is arranged alphabetically by licensee and summarizes examinations passed or failed, and when applicants are eligible for reexamination. Information may include: date, applicants' name and address, date applicant is eligible for reexamination, copies of passed/failed examinations, and examination scores. This record series is used to document examination results during the licensing process, and to notify eligible applicants of upcoming examination dates, and for annual reporting purposes. Results are added to the "License Files, Abstracters".

**RETENTION:** Retain 2 years in office, then destroy.

(Note: The previous record series number was AB-13.)

**ABE-12. FINANCIAL STATEMENTS:**

**08-002**

This series is arranged chronologically and contains financial statements which provide an overview of the Board's financial condition for a given fiscal year. Information may include: Balance Sheet, Statement of Revenues, Expenditures and Changes in Fund Balances--Budget and Actual, Statement of Assets and Fund Cash Balances, Statement of General Fixed Assets, summary of significant accounting procedures, supplemental information, and working papers. This record series is maintained for reference and audit purposes.

**RETENTION:** Retain 2 years in office, then transfer to storage for 2 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: The previous record series number was AB-14.)

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**ABE-13. LICENSE FILES, ABSTRACTERS:**

**08-002**

This series is arranged numerically and documents personal data for licensed abstracters. Information may include: original applications, college grade transcripts, renewal applications, verification of experience, examination score, license number, license and renewal fee receipts, investigation reports, court action records, and substantiated complaints. This record series documents the licensing and renewal process, and is used for basic reference when answering questions concerning licensed abstracters in South Dakota.

**RETENTION:** Retain 1 year in office after expired, then transfer to storage for 3 years. Destroy 4 years after last license expiration.

(Note: Consider microfilming when volume warrants.)

(Note: The previous record series number was AB-16.)

**ABE-14. MINUTES, BOARD OF ABSTRACTERS:**

**08-002**

This series is arranged chronologically and contains the official minutes of the Abstracters Board of Examiners meetings. Information may include: copies of agendas, dates of meeting, members present, topics discussed, actions taken, approving signature, copies of the budget reports, application records, and inspection reports. This record series is used for reference and documentation purposes concerning actions taken by the Board.

**RETENTION:** Retain 5 years then microfilm and maintain film in office permanently.

(Note: The previous record series number was AB-17.)

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**ABE-15. RECEIPTS:**

**08-002**

This series is arranged numerically and documents all receipts of money. Information may include: date issued, received of, address, amount, form of payment, purpose, and received by signature. This record series is used for audit purposes.

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

(Note: The previous record series number was AB-22.)

**ABE-15.1. 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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**ABE-16. VOUCHERS:**

**08-002**

This series is arranged chronologically and may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Each voucher includes: nature of expense, amount, fund expended from, date, who the funds went to, or what account they were transferred to, and the authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and audit purposes.

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

(Note: The previous record series number was AB-25.)