



# BOARD OF PHARMACY

## 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: December 19, 2013

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.

# PETITION FOR AUTHORITY TO DESTROY RECORDS

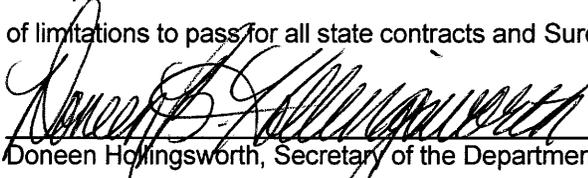
I, Doneen Hollingsworth (name), acting in my position as Secretary of the Department of Health (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Board of Pharmacy (department) consists of 19 pages and contains record series number(s) PH-1 (consecutively numbered) through PH-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 Board of Pharmacy (department) record series numbers(s) PH-12, PH-15, PH-16, PH-21, PH-23, PH-24, and PH-25.

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.

  
Doneen Hollingsworth, Secretary of the Department of Health

11-21-13  
Date

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

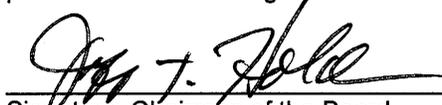
  
Dana Hoffer, State Records Manager

12/5/13  
Date

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## DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 12<sup>th</sup> day of December, 2013, 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

12-12-13  
Date

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PROGRAM: \_\_\_\_\_  
RECORDS OFFICER: Kari Williams  
RM CUSTOMER #: 0278

<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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**PH-1. ACCREDITATION REPORTS:**

**13-005**

This series is arranged chronologically by year and contains all certifications and renewals for accreditation of the College of Pharmacy at South Dakota State University. Information may include: correspondence, investigations, report of findings, and actions and recommendations. This record series is used to document certification of the College and for renewal purposes.

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

**PH-2. ADMINISTRATIVE REFERENCE FILES:**

**13-005**

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: reference copies of contracts and agreements, budget, equipment, inventory, legislation, organization/association, property management information, monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

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

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

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**PH-3. ADMINISTRATIVE RULE, PROMULGATION FILES:**

**13-005**

This series contains a notice of public hearings, affidavits of publication of notice, written comments from the public, and transcripts from the hearing. 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 as long as rules are in effect, then destroy.

(Note: SDCL1-26-7 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 adoption of rules appearing in 1974 printed ARDS. Consider maintaining on microfilm instead of paper.)

**PH-4. AGREEMENTS, EQUIPMENT:**

**13-005**

This series is arranged alphabetically by equipment name and may contain copies of agreements between the Board and other parties for equipment and maintenance. Information may include: terms and conditions of agreements, effective dates, cost, and funding sources. This record series is maintained for reference, documentation, and renewal purposes.

**RETENTION:** Retain 3 years in office, then destroy provided 1 year has passed since the termination of contract and provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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**PH-5. APPLICATION, RENEWALS (PHARMACISTS AND TECHNICIANS):**

**13-005**

This series is arranged by the date the application is processed and contains annual renewal applications for pharmacists and technicians submitted to the Board of Pharmacy. Information may include: name of pharmacist or technician, home address, phone number, social security number, place of employment, date application filed, fee paid, and continuing education. Information is maintained on computer database and is used for yearly renewal and quick reference. Summary of daily renewals are generated and attached to the renewal applications.

**RETENTION:** RENEWAL FORMS: Retain current in office. Destroy superseded after 3 years.

RENEWAL SUMMARIES: Retain 3 years in office, then destroy.

**PH-6. APPLICATIONS, PHARMACISTS:**

**13-005**

This series is arranged alphabetically and contains applications of prospective pharmacists by examination, score transfer, or license transfer. Information may include: college transcripts, photo, copy of Government Issue ID, NAPLEX exam scores, jurisprudence exam scores, intern records, and correspondence. This information is used as criteria for registration and upon approval will be transferred to "License Records, Pharmacists".

**RETENTION:** NON-LICENSED: Retain 3 years in office, then destroy.

LICENSED: Transfer to respective "License Records, Pharmacists".

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**PH-7. APPOINTMENT RECORDS, BOARD OF PHARMACY:**

**13-005**

This series is arranged chronologically and contains the notifications received from the Governor's Office of new appointees to the Board of Pharmacy. Information may include: date, name of person appointed, effective dates, terms, and authorizing signatures. This record series is maintained for documentation of all individuals appointed to the Board.

**RETENTION:** Retain current in office. Destroy terminated.

**PH-8. ATTORNEY GENERAL OPINIONS:**

**13-005**

This series is arranged chronologically and may contain official opinions handed down by the State Attorney General's Office concerning questions pertinent to the Board of Pharmacy. They are used for occasional reference, and as support for administrative decisions made and actions taken.

**RETENTION:** Retain 3 year in office, then destroy.

(Note: All Attorney General Opinions are reprinted in the Biennial Report of the Attorney General.)

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**PH-9.      AUDIT REPORTS:**

**13-005**

This series is arranged chronologically and contains Legislative Audit reports concerning the expenditure and administration of funds. Information may include: cover letters, statement of assets, revenues and expenditures, change of funds 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 3 years in office, then destroy 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.)

**PH-10.      BUDGET FILES:**

**13-005**

This series is arranged chronologically and may contain the information used to prepare the yearly budget request. Information may include: budget requests, operating budgets balance sheets, budget projections, projected salaries, dispersions, and other related information. This series is used for reference throughout the year in monitoring program activities and for preparing new budget requests.

**RETENTION:** Retain 5 years in office, then destroy.

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**PH-11. CASH RECEIPTS:**

**13-005**

This cash receipt book series contains copies of receipts documenting cash received by the Board of Pharmacy. Information may include: payer, amount, date, purpose, and signature of issuer. This record series is used to provide an account for cash payments deposited in their local banking account, and are kept for audit purposes.

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

**PH-12. CASH RECEIPTS/EXPENDITURE LEDGER:**

**13-005**

This ledger series is arranged chronologically and contains an itemized listing of all receipts and expenditures of revenue. Information may include: date, amount received/expended, account name, and account balances. This record series is maintained to determine current account status, documentation, and audit purposes.

**RETENTION:** Retain 4 years in office, 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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**PH-13. COMPLAINT FILES:**

**13-005**

This series is arranged chronologically by date of incidence and contains all related correspondence received from either the general public or initiated by the Board concerning problems which have occurred with pharmacists and pharmacies. Information may include: nature of the complaint, related correspondence, investigation results, conclusions, reprimands if necessary, and related materials. This record series is used by the Board to determine if a complaint is substantiated and if so, to take corrective actions. This information is summarized in each respective license file.

**RETENTION:** UNSUBSTANTIATED: Retain 4 years in office. Destroy 4 years after determined to be unsubstantiated provided no litigation is pending.

SUBSTANTIATED: Retain 4 years in office after case has been closed, then destroy provided no litigation is pending.

**PH-14. CONTINUING EDUCATION CREDIT AUDITS:**

**13-005**

This series is arranged chronologically and contains random audits of continuing education credits received by pharmacists. Information may include: date of audit, name, copy of renewal forms, findings of fact, and education verifications. This record series is used to verify that pharmacists received the education stated on their renewal applications.

**RETENTION:** Retain 3 years in office, 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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**PH-15. CONTINUING EDUCATION UNIT FILES:**

**13-005**

This series is arranged numerically by program number and is used to document all certified pharmaceutical classes offered for South Dakota pharmacists. Information may include: assigned number, name of program, program date, program sponsor, program location, speaker, and names of persons attending. This record series is used in continuing education audits and for recertification of pharmaceutical classes.

**RETENTION:** Retain 3 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: CE can be used for pharmacist renewal up to 2 years prior to renewal date.)

**PH-16. CORRESPONDENCE:**

**13-005**

This series may contain both copies of letters and memorandums sent and the originals of letters and memorandums received. The information is used for occasional reference and documentation pertaining to regulatory questions.

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

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**PH-17. DISCIPLINARY CLEARING HOUSE REPORTS:**

**13-005**

This series is arranged chronologically and contains notices sent by the National Board of Pharmacy informing each State of disciplinary action against any licensed pharmacist. Information may include: date of issuance, name and address of suspended pharmacist, date of birth, social security number, license number, reason for suspension, date of suspension, term of suspension, and the State suspending license. This record series is used by the Board of Pharmacy to ensure all out-of-state pharmacists' applications are eligible.

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

**PH-18. DRUG DESTRUCTION RECORDS:**

**13-005**

This series is arranged chronologically and contains the DEA Form 41 signed by the pharmacist and inspector documenting drugs destroyed.

**RETENTION:** Retain 5 years in office, then destroy.

**PH-19. DRUG RECALL FILES:**

**13-005**

This series is arranged chronologically and contains notification received by the Board of any drugs being recalled. Information may include: date, name of drug, drug manufacturer, lot numbers, suspected distribution area, and reasons for recall. This record series is used by the Board to notify all pharmacies of the recall orders.

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

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**PH-20. EXPENSE REPORTS:**

**13-005**

This series is arranged alphabetically by employee name and contains itemized listings of all expenses incurred by Board employees. Information may include: name, dates, type of expenditures, amounts, and totals. This record series is used for support and documentation of vouchers submitted for payment.

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

**PH-21. FINANCIAL STATEMENTS:**

**13-005**

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

**RETENTION:** Retain 4 years in office, 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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**PH-22. HEARING FILES, PHARMACISTS:**

**13-005**

This series is arranged alphabetically by name and contains documentation of hearings held to suspend a licensed pharmacist. Information may include: dates, correspondence, investigations, inspection reports, copies of complaints, copies of newspaper clippings, stipulations of agreed dispositions, and outcomes. This record series is used to document all hearings held by the Board for license suspension purposes.

**RETENTION:** Retain active in office. Transfer resolved to respective "License Record, Pharmacists".

**PH-23. INSPECTION REPORTS, PHARMACY:**

**13-005**

This series is arranged alphabetically by inspector name and contains: monthly report summaries, and other related matters. This record series is maintained by the inspectors for reference and review purposes in conducting follow-up inspections.

**RETENTION:** Retain 5 years in office, then destroy.

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

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**PH-24. INTERN RECORDS:**

**13-005**

This 9" X 12" white envelope series is arranged alphabetically by intern name and documents the number of hours each intern has worked. Information may include: intern name, address, date of birth, experience verification, education experience, and internship agreement. This record series is used to document the number of hours each intern has completed prior to taking the Board examination. This file may also be used for pharmacist licensure should the student decide to license in South Dakota.

**RETENTION:** Retain active in office. Destroy 3 years after inactive.

**PH-25. LEGISLATIVE FILES:**

**13-005**

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

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

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**PH-26. LICENSE RECORDS, NONRESIDENT PHARMACIES:**

**13-005**

This series is arranged alphabetically by firm name and contains a file for each licensed facility. Information may include: original application, inspection reports, pharmacist-in-charge, copies of home state licenses, ownership information, signatures, and renewal information. Information is maintained on computer database for yearly renewal and quick reference.

**RETENTION: ACTIVE FILES:** Retain in office.

**EXPIRED FILES:** Retain 3 years in office after expired, then destroy.

**RENEWAL FORMS:** Retain 3 years in office, then destroy.

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**PH-27. LICENSE RECORDS, PHARMACISTS:**

**13-005**

This series is arranged numerically by license number and contains a file for each registered pharmacist in the state. Information may include: name, address, date of birth, date application filed, date fee paid, examination grades, certificate number issued, copies of birth certificates, college transcripts, internship records, complaint records, reprimands, and other related materials. The information is used to document all persons licensed as pharmacists by the Board and for renewal purposes. Inactive files are retrieved for reinstatement and for license transfer verification to other states.

**RETENTION:** ACTIVE FILES: Retain in office.

INACTIVE AND DECEASED FILES: Retain 60 years, then destroy.

(Note: Consider maintaining Inactive and Deceased Files on microfilm and/or in an Electronic Document Management System as directed by the Department of Health. Destroy paper after microfilm and/or images have been inspected and verified to be accurate and complete.)

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

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

DEPARTMENT: Health  
DIVISION: Boards  
OFFICE: Pharmacy  
PROGRAM: \_\_\_\_\_  
RECORDS OFFICER: Kari Williams  
RM CUSTOMER #: 0278

<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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**PH-28. LICENSE RECORDS, SOUTH DAKOTA PHARMACIES:**

**13-005**

This series is arranged alphabetically by city and contains a file for each licensed pharmacy in South Dakota. Information may include, but is not limited to: the original application, the most recent renewal application, pharmacist-in-charge transfer forms, change of address forms, inspection reports, correspondence, complaints and reports of complaint investigations, and reprimands.

**RETENTION: ACTIVE LICENSES:** Retain in office.

**INACTIVE AND EXPIRED LICENSES:** Retain 50 years, then destroy.

(Note: Consider maintaining Expired Licenses on microfilm and/or in an Electronic Document Management System as directed by the Department of Health. Destroy paper after microfilm and/or images have been inspected and verified to be accurate and complete.)

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

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

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

DEPARTMENT: Health  
DIVISION: Boards  
OFFICE: Pharmacy  
PROGRAM: \_\_\_\_\_  
RECORDS OFFICER: Kari Williams  
RM CUSTOMER #: 0278

<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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**PH-29. LICENSE RECORDS, WHOLESALERS:**

**13-005**

This series is arranged alphabetically and contains applications submitted by companies for permission to sell/distribute wholesale drugs in South Dakota. Information may include: company name, responsible person, address, copy of home state license, DEA number, type of business, and signatures. Information is maintained on computer database and is used for yearly renewal and quick reference.

**RETENTION:** ACTIVE FILES: Retain in office.

EXPIRED FILES: Retain 3 years in office after expired, then destroy.

RENEWAL FORMS: Retain 3 years in office, then destroy.

**PH-30. MINUTES, BOARD OF PHARMACY:**

**13-005**

This series is arranged chronologically and contains the official minutes of the Board of Pharmacy. Information may include: date of meetings, members present, topics discussed, and actions taken. This record series is used for occasional reference and documentation purposes of actions taken by the Board. Minutes are maintained as a word document, which is retained on the State of South Dakota server.

**RETENTION:** Retain permanently.

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

DEPARTMENT: Health  
DIVISION: Boards  
OFFICE: Pharmacy  
PROGRAM: \_\_\_\_\_  
RECORDS OFFICER: Kari Williams  
RM CUSTOMER #: 0278

<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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**PH-31. REGISTRATION RECORDS, TECHNICIANS:**

**13-005**

This series is arranged numerically by registration number and contains a file for each registered technician in the State. Information may include: name, address, date of birth, date application filed, social security number, date fee paid, registration number issued, and copy of technician certification. The information is used to document all persons registered as technicians by the Board, and for renewal purposes.

**RETENTION: RETENTION:** ACTIVE FILES: Retain in office.

INACTIVE AND DECEASED FILES: Retain 50 years, then destroy.

(Note: Consider maintaining Inactive and Deceased Files on microfilm and/or in an Electronic Document Management System as directed by the Department of Health. Destroy paper after microfilm and/or images have been inspected and verified to be accurate and complete.)

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

DEPARTMENT: Health  
DIVISION: Boards  
OFFICE: Pharmacy  
PROGRAM: \_\_\_\_\_  
RECORDS OFFICER: Kari Williams  
RM CUSTOMER #: 0278

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

**PH-32. SURPLUS PROPERTY FILES:**

**13-005**

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 4 years in office, then destroy 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 &  
DESTRUCTION SCHEDULE  
AUTHORIZATION FORM  
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Health  
DIVISION: Boards  
OFFICE: Pharmacy  
PROGRAM: \_\_\_\_\_  
RECORDS OFFICER: Kari Williams  
RM CUSTOMER #: 0278

<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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**PH-33. VOUCHERS:**

**13-005**

This series is arranged chronologically and contains copies of travel, non-cash, direct, receiving, and journal vouchers. Information may include: the reason for which the money was expended, amount, the fund expended from, date, who the funds went to or to 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 4 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.