DIVISION
OF
COMMUNITY BEHAVIORAL HEALTH SERVICES

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

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DEPARTMENT OF
EXECUTIVE MANAGEMENT

**BUREAU OF
ADMINISTRATION**

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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: December 18, 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, <u>any State government agency planning to destroy agency records shall notify the State Archivist 30 days before the date of the proposed destruction.</u> The request shall include the name or title of the records, inclusive dates, information content of the records, and quantity. <u>This rule applies to all records, including those granted exclusive or continuous disposal authorization by the Records Destruction Board, with the following exceptions:</u> vouchers and supporting documents; warrants; personnel and payroll records; client/case files; capital asset inventories; cash receipts; duplicate copies of state publications; 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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☐ **This manual was created as a result of Executive Reorganization Order No. 2011-01, The Division of Alcohol and Drug Abuse and the Division of Mental Health under the Department of Human Services was transferred to the Department of Social Services effective April 12, 2011. ..... 1**

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

- **This manual was created as a result of Executive Reorganization Order No. 2011-01, The Division of Alcohol and Drug Abuse and the Division of Mental Health under the Department of Human Services was transferred to the Department of Social Services effective April 12, 2011.**

DHS-12. ALCOHOL/DRUG CLIENT SERVICE SUMMARY: **07-050**

This annual booklet series is arranged chronologically and contains a summary of statistical data submitted by alcohol and drug treatment facilities. The basic information is provided on two separate Management Information Systems (MIS) forms also known as Client Group Information Forms (CGIF) submitted monthly by each treatment and prevention facility on each client, group, and unit of service. Information may include: units of contracted service by county, service category, gender, race, income by source, and discharge and referral; primary/secondary/tertiary drug of abuse by age group and diagnosis; and miscellaneous information. This record series is maintained for federal, state, county, and city reporting; for budget; and for documentation purposes.

RETENTION: Retain master copy 5 years in office, then microfilm and maintain film 5 years in office. Destroy film after 10 years.

(NOTE: The manual is published annually and is available on the Division's website.)

(NOTE: Previous record series number was HS-42.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-13.	**ALCOHOL/DRUG TREATMENT FACILITY DIRECTORIES:**	**07-050**

This annual directory is arranged alphabetically by town and name and contains a list of all facilities currently accredited by the Division of Alcohol and Drug. Information may include: name, address, telephone number, contact person, services provided, hours of operation, eligibility requirements, fees, areas served, and description. This record series is maintained for quick reference to accredited and approved chemical dependency treatment and prevention facilities in South Dakota.

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

(NOTE: The directories are published annually and are available on the Division's website.)

(NOTE: Previous record series number was HS-43.)

DHS-14.	**ALCOHOL/DRUG TREATMENT FACILITY FILES:**	**07-050**

This series is arranged alphabetically by facility and contains information about South Dakota alcohol and drug facilities. Information may include: copies of budget materials, contracts, letters concerning problem areas, accreditation review sheets, applications for accreditation, accreditation concerns, correction plans, general correspondence, and grant/budget reports. This record series is maintained for reference concerning alcohol and drug facilities, and for grant/budget administration.

RETENTION: Retain 1 year in office, then transfer to storage for 5 years. Destroy after 6 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 HS-44.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-15.	**CLIENT/FACILITY IDENTIFIER FILES (MIS):**	**07-050**

This series is arranged numerically by client number assigned by each treatment facility and contains alcohol and drug abuse client information. The basic information is provided on two separate Management Information Systems (MIS) forms also known as Client/Group Information Forms (CGIF) submitted monthly by each treatment and prevention facility on each client, group, and unit of service. Information may include: date, client initials, client number, county of residence, birth date, gender, marital status, household number, primary or secondary referral, treatment facility, and units of services provided. This information is maintained on a database as a central depository of client information, to determine the effectiveness of treatment centers, to tabulate the number of times a client returns for treatment, and for payment information. This information is summarized annually in the "Client Service Summary Reports."

RETENTION: Retain database current. Download to computer printouts monthly and to computer output microfiche (COM) annually.

Retain computer output microfiche (COM) 50 years in office, then destroy.

Retain computer printouts and Client Group Information Forms (CGIF) 2 years in office, then transfer to storage for 6 years. Destroy after 8 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 HS-45.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-17.	**INMATE FILES:**	**07-050**

This series is arranged numerically by inmate number and contains client case record for each inmate. Information may include: MIS report forma as directed by the Division Director; identification data, reports form referring sources; results of the client's initial assessment and planning, or the client's treatment needs assessment; the date of client's orientation; updated treatment plans and treatment reviews; progress notes; family evaluation as part of the client's initial assessment or need; assessments; relevant correspondence; signed forms consenting release of information; referrals for service to other providers; reasons for referral; and a transfer or discharge summary. This record series is maintained for reference purposes.

RETENTION: Retain 6 years, then destroy in a confidential manner.

(NOTE: Inmate Files are maintained at the Herm Solem Public Safety Center and Jamison Annex.)

(NOTE: Previous record series number was HS-47.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-16.	**INPATIENT CHEMICAL DEPENDENCY TREATMENT APPROVALS:**	**12-010**

This series is arranged alphabetically by facility and contains forms used to allow indigent clients to receive in-patient treatment at alcohol and drug abuse facilities. Information may include: client initials, county of residence, birth date, gender, marital status, household number, treatment facility, background information regarding illness, and approval or denial information. This record series is maintained to document approval or denial of state funding expenditures and for verifying the "Client/Facility Identifier Files".

RETENTION: Retain 1 year in office, then transfer to storage for 5 years. Destroy after 6 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 HS-46.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-18.	**MINUTES, ALCOHOL AND DRUG ABUSE ADVISORY COUNCIL:**	**07-050**

This series is arranged chronologically and contains the official minutes and all correspondence relating to the minutes of the State Alcohol and Drug Abuse Advisory Council. Information may include: dates of meetings, members present, topics discussed, actions taken, correspondence related to the minutes, authorized signatures, and a record of public testimony. Correspondence topics include: treatment needs, program strengths and weaknesses, grant requests and evaluations, and Bureau of Indian Affairs and Regional Support Centers. This record series is maintained for reference concerning actions taken.

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

(NOTE: Previous record series number was HS-48.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-18.1.	**TOBACCO INSPECTION REPORTS:**	12-010

This series is arranged chronologically by month/year and contains information about South Dakota tobacco sales to minors report conducted under the supervision of the State's Attorney. Information may include: sex, estimated age, skin color, height, weight, eye color, hair color, clothing of store clerk, store owner's name, address, type of convenience store, time of actual purchase attempt, purchase attempt, brand of tobacco, date, county, inspector's name and youth's initials. This record series is maintained for reference concerning actions taken. Federal funding through the Substance Abuse Prevention and Treatment Block grant requires this activity to be performed and recorded.

RETENTION: Retain 1 year in office, then transfer to storage for 5 years. Destroy after 6 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-39.	**ASSERTIVE COMMUNITY TREATMENT FILES:**	**10-008**

This series is arranged alphabetically by consumer and contains information used to determine eligibility for an assertive community treatment program. Information may include: application for eligibility, name of client, social history, current treatment plans, and correspondence relating to the individual. This record series is maintained to determine eligibility and for possible administrative hearing action.

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

(NOTE: Previous record series number was HS-86.)

DHS-40.	**BEHAVIORAL UTILIZATION REVIEW FILES:**	**07-050**

This series is arranged alphabetically by employee's name, and contains information regarding the admissions of state employees and/or their dependents to psychiatric hospitals. Information may include: patient's name, behavioral utilization review forms, and psychiatric evaluations. This record series is maintained to determine eligibility.

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

(NOTE: Previous record series number was HS-87.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-41.	**COMMUNITY MENTAL HEALTH CENTER ACCREDITATION FILES:**	**10-008**

This series is arranged alphabetically by agency then chronologically and contains information regarding accreditation of the eleven community mental health centers (CMHC) in South Dakota. Information may include: agency name, correspondence, CMHC self-survey and result, statement of deficiency, corrective action plan, facility standards, and approval status. This record series is maintained for reference concerning state and federal funding received by each CMHC.

RETENTION: Retain 4 years in office, then transfer to storage for 2 years. Destroy after 6 years.

(NOTE: Previous record series number was HS-88.)

DHS-42. FINANCIAL ELIGIBILITY DETERMINATION: **07-050**

This series is arranged alphabetically by community mental health center's name and contains information regarding eligibility for consumers of the eleven community mental health centers in South Dakota. Information may include: consumer's name, CID number, income, family size, family expense, and documentation. This record series is maintained to determine eligibility.

RETENTION: Retain 6 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 HS-90.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-43.	**MENTAL HEALTH PLANNING COUNCIL FILES:**	**07-050**

This series is arranged chronologically and contains information relating to the Mental Health Planning and Coordination Advisory Council. Information may include: correspondence, minutes of the meetings, agendas, exhibitions, and other information relating to council activities. This record series is maintained pursuant to federal law PL 102-321.

RETENTION: Retain 5 years in office, the transfer to the State Archives for screening and final disposition.

(NOTE: Previous record series number was HS-91.)

DHS-44.	**PATH FILES:**	**10-008**

This series is arranged alphabetically by agency name and contains information regarding the annual PATH grant applications. Information may include: RFA application and information, yearly applications, intended use plans, quarterly fiscal reports, Tables A-D, state annual reports, and community mental health center reports. This record series is maintained for reference concerning the type of federal funding received by each community mental health center.

RETENTION: Retain 3 years in office, then transfer to storage for 3 years. Destroy after 6 years.

(NOTE: Previous record series number was HS-92.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-45.	**PASRR CONSUMER FILES:**	**07-050**

This series is arranged alphabetically by name of consumer and contains information regarding PASRR information used to document the need to provide or continue nursing home services and specialized mental health services. Information may include: name of client, placement data, discharge/termination summaries, medical history, psychological information, and miscellaneous correspondence relating to the individual. This record series is maintained to ensure compliance with federal regulation CFR 42 part 433.32 and public laws PL 100-203 and PL 101-508.

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

(NOTE: Previous record series number was HS-93.)

DHS-45.1.	**QUALIFIED MENTAL HEALTH PROFESSIONAL:**	**11-006**

This series is arranged alphabetically by applicant's name and licensure and contains documentation used to determine eligibility for endorsement of a qualified mental health professional (QMHP). Information may include: application requirements as outlined in 46:20:33, copy of exam, and copy of QMHP certificates. This record series is maintained to determine initial and continued eligibility for approval of QMHP endorsements.

RETENTION: Retain in office. Destroy 6 years after expiration date of endorsement provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DHS-45.2.	**INDIGENT MEDICATION PROGRAM FILES:**	**12-010**

This series is arranged alphabetically by last name of consumer and contains information to determine eligibility for medication assistance. Information may include: name of consumer, Social Security number, date of birth, psychiatric diagnosis, financial information, prescribed medications, related lab tests, and miscellaneous correspondence relating to the medication needs of the individual. This record series is maintained for reference concerning the financial assistance for psychiatric medication.

RETENTION: Retain closed files 1 year in office, then transfer to storage for 5 years. Destroy 6 years after closed provided all litigation, claims, and audit findings involving the records have been resolved and final action taken.