DEPARTMENT
OF
SOCIAL SERVICES

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

Printed on Recycled Paper

DEPARTMENT OF
EXECUTIVE MANAGEMENT

**BUREAU OF
ADMINISTRATION**

PMB 01234

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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: December 23, 2015

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, 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, Deborah Bowman (name), acting in my position as the Secretary of the Department of Social Services (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 Department of Social Services (department) consists of 108 pages and contains record series number(s) DSS-1 (consecutively re-numbered) through DSS-173.

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 Department of Social Services (department) record series numbers(s) SOC-1, SOC-4, SOC-6 thru SOC-15, SOC-17, SOC-18, SOC-20 thru SOC-45, SOC-48, SOC-49, SOC-51 thru SOC-55, SOC-57 thru SOC-59, SOC-61, SOC-63 thru SOC-67, SOC-154, SOC-131, SOC-133 thru SOC-137, SOC-142 thru SOC-147, SOC-149 thru SOC-151, SOC-153, SOC-410, SOC-158 thru SOC-161, SOC-82 thru SOC-84, SOC-327, SOC-85, SOC-108, SOC-86 thru SOC-89, SOC-109, SOC-90, SOC-110, SOC-91 thru SOC-97, SOC-111, SOC-98 thru SOC-100, SOC-329, SOC-101, SOC-113, SOC-114, SOC-102, SOC-115, SOC-330 thru 332, SOC-103 thru SOC-107, SOC-117, SOC-118, SOC-423, SOC-119 thru SOC-122, SOC-328, SOC-124 thru SOC-126, SOC-128, SOC-162, SOC-164 thru SOC-166, SOC-169, SOC-407, SOC-170, SOC-401, SOC-171, SOC-172, SOC-409, SOC-173, SOC-175, SOC-177, SOC-408, SOC-78, SOC-79, SOC-80, SOC-178, SOC-181, SOC-434, SOC-183, SOC-431, SOC-186, SOC-430, SOC-418, SOC-228, SOC-230, SOC-231, SOC-233, SOC-234, SOC-240, SOC-241, SOC-403, SOC-245 thru SOC-250, SOC-436, SOC-189 thru SOC-191, SOC-193, SOC-195, SOC-196, SOC-200, SOC-202, SOC-203, SOC-205 thru SOC-207, SOC-209 thru SOC-212, SOC-215, SOC-216, SOC-218, SOC-220 thru SOC-223, SOC-270, SOC-275, SOC-276, SOC-279, SOC-286, SOC-253 thru SOC-256, SOC-259, SOC-268, SOC-257, SOC-258, SOC-260, SOC-262 thru SOC-267, SOC-308, SOC-310 thru SOC-314, SOC-317 thru SOC-319, SOC-321 thru SOC-324, SOC-326, SOC-422, SOC-433, SOC-287, SOC-288, SOC-294 thru SOC-296, SOC-302, SOC-334 thru SOC-336, SOC-338, SOC-340, SOC-405, SOC-341 thru SOC-343, SOC-345 thru SOC-350, SOC-352 thru SOC-354, SOC-357 thru SOC-360, SOC-362, SOC-364, SOC-365, SOC-368 thru SOC-371, SOC-373 thru SOC-381, SOC-383 thru SOC-391, SOC-393, SOC-394, and SOC-396 thru SOC-399.

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.

Deborah Bowman, Secretary of the Department of Social Services — Date: 12/17/07

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

Dana Hoffer, State Records Manager — Date: 12/17/07

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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 — Date: 12-18-07

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Deborah Bowman (name), acting in my position as the Secretary of the Department of Social Services (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 Department of Social Services (department) consists of 5 pages and contains record series number(s) DSS-43, DSS-47, DSS-49, DSS-50, and DSS-85.

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 Department of Social Services (department) record series numbers(s) DSS-111.

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.

Deborah Bowman, Secretary of the Department of Social Services — Date 11/30/09

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

Dana Hoffer, State Records Manager — Date 12-10-2009

****

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the _17th___ day of _December____, 2009, 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 — Date 12-17-2009

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Deborah Bowman (name), acting in my position as the Secretary of the Department of Social Services (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 Department of Social Services (department) consists of 2 pages and contains record series number(s) DSS-39 and DSS-57.

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 Department of Social Services (department) record series numbers(s) DSS-2 and DSS-58.

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.

Deborah Bowman, Secretary of the Department of Social Services — Date: 11/9/10

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

Dana Hoffer, State Records Manager — Date: 12-14-2010

****

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.

Signature, Chairman of the Board — Date: 12/15/10

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Kim Malsam-Rysdon (name), acting in my position as Secretary of the Department of Social Services (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 Department of Social Services (department) consists of 1 page and contains record series number(s) DSS-7.1.

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 Department of Social Services (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.

Kim Malsam-Rysdon — 12/3/13

Kim Malsam-Rysdon, Secretary of the Department of Social Services — Date

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

Dana Hoffer — 12/5/13

Dana Hoffer, State Records Manager — Date

****

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 12th 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

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Lynne A. Valenti (name), acting in my position as Secretary of the Department of Social Services (title), requests 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 Department of Social Services (department) consists of 1 page and contains record series number(s) DSS-74.1.

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.

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.

Lynne A Valenti — 11/9/15

Lynne A. Valenti, Secretary of the Department of Social Services — Date

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

Dana Hoffer — 11-24-2015

Dana Hoffer, State Records Manager — Date

****

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the ____16th___ day of _December___, 2015, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

12-16-15

Signature, Chairman of the Board — Date

ADDENDUM TO THE DEPARTMENT OF SOCIAL SERVICES RECORDS RETENTION AND DESTRUCTION SCHEDULE

The Department of Social Services is requesting authority from the Records Destruction Board granting DSS permission to scan and destroy the paper supporting the electronic images for all records listed in their record retention and destruction schedule that have the R.D.B. Authority Numbers of 07-063, 09-008, 09-012, or 10-014. DSS is using the State Standard File Director to capture and store the electronic images. The electronic images will be retained and disposed of according to the approved retention requirements of R.D.B. Authority Numbers of 07-063, 09-008, 09-012, and 10-014. If the records are retained only in electronic format, the records need to remain accessible for the entire retention requirement.

The permission does not apply to records series numbers DSS-44 with R.D.B. Authority # 07-063 and DSS-49 with R.D.B. Authority # 09-008.
DSS-44 Abuse and Cases, Non-Appeal--Transfer non-microfilmable items to the Attorney General's Records Management Office
DSS-49 Criminal Case Files, Legal—Transfer the microfilmed paper records for Major Criminal Case Files to storage for 5 years, then destroy. Transfer non-microfilmable items to the Attorney General's Records Management Office.

Pursuant to R.D.B. Authority Number 07-063 the following record series are subject to archival screening by the State Archivist or are to be transferred to the State Archives. DSS ensures the records series listed below will be transferred to State Archives or made available for screening by the State Archivist.

DSS-4 Minutes, Board of Social Services—Transfer to State Archives for permanent retention.
DSS-3 Administrative Reference Files—Policy Memorandums, Secretary's Administrative Files, and Secretary's Correspondence are subject to archival screening.
DSS-5 Newsletter Files—File two copies with State Archives.
DSS-6 News Release Files—Subject to archival screening
DSS-7 Photograph Files—Subject to archival screening
DSS-8 Rules and Regulations (State and Federal Manuals)—State Medicare and Medicaid Manuals are subject to archival screening.
DSS-9 Statistical Information—Send Annual Report electronically to State Archives.
DSS-68 Advisory Council Minutes—Transfer to State Archives for final disposition.

The scanned paper will be held 72 hours or 3 business days after a system-level backup of the records is completed and DSS ensures that the images will be inspected and verified to be accurate and complete before the paper is destroyed.

Kim Malsam-Rysdon — 12/7/11
Kim Malsam-Rysdon, Secretary of the Department of Social Services — Date

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

Dana Hoffer — 12-7-2011
Dana Hoffer, State Records Manager — Date

I hereby certify that the State Records Destruction Board met on the __15th__day of December 2011, and granted the Department of Social Services permission to scan and destroy the paper supporting the electronic images with the exception of record series numbers **DSS-44 and DSS-49**. The authority is granted under Records Destruction Board number (RDB) 11-007.

Jeff T. Fobb — 12-15-11
Signature, Chairman of the Board — Date

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STATE OF SOUTH DAKOTA	**DEPARTMENT:**	**Social Services**
RECORDS RETENTION &	**DIVISION:**	**Office of Secretary**
DESTRUCTION SCHEDULE	**OFFICE:**	**Secretary**
AUTHORIZATION FORM	**PROGRAM:**	
(Std Form RM-1 Rev 1/03)	**RECORDS OFFICER:**	**Olivia Waggoner**
	RM CUSTOMER #:	**0700**

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-1.	**ADMINISTRATIVE HEARING CASE FILES:**	**07-063**

This series is arranged alphabetically by case name and contains documents administrative hearings held pursuant to SDCL 1-26-1. Information may include: requests for hearings, correspondence, transcripts of testimony, and materials required by SDCL 1-26-21. This record series is maintained to document the results of the hearings.

RETENTION: Retain 6 months in office after case is closed, then microfilm and maintain film permanently.

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-3.	**ADMINISTRATIVE REFERENCE FILES:**	
	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; 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.	**07-063**
	RETENTION: FEDERAL CORRESPONDENCE: 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.	
	ALL OTHER INFORMATION: Retain current in office. Destroy superseded or obsolete.	
	(Note: Policy Memorandums, Secretary's Administrative File, and Secretary's Correspondence is subject to archival screening prior to disposal.)	
	(Note: Cull files on a yearly basis to avoid build-up of superseded or obsolete materials.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-4.	**MINUTES, BOARD OF SOCIAL SERVICES:**	**07-063**

This series is arranged chronologically by date and contains information concerning the quarterly meeting of the Board of Social Services. Information may include, but is not limited to: minutes, agendas, and exhibits. This record series is maintained to document actions taken by the board and for documentation purposes.

RETENTION: Retain 5 years in office, then transfer to State Archives for permanent retention.

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

DSS-5.	**NEWSLETTER FILES:**	**07-063**

This series is arranged chronologically and contains copies of department newsletters. Information may include: issue date, name of newsletter, and items discussed. This record series is maintained as a reference and to research previous news articles.

RETENTION: Retain 4 years in office, then destroy.

(Note: File thirteen copies of the publication with the State Library pursuant to SDCL 14-1A-3, and two copies with the State Archives.)

(Note: Previous record series number was SOC-76.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-6.	**NEWS RELEASE FILES:**	**07-063**

This series is arranged chronologically and contains copies of news releases issued to the media and public from each program. Information may include: the name of the program, the date of the release, and the subject. This record series is kept to document publicity requirements and department actions and for reference needs.

RETENTION: Retain 2 years in office, then destroy.

(Note: Subject to archival screening prior to disposal.)

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

DSS-7.	**PHOTOGRAPH FILES:**	**07-063**

This series is arranged chronologically and contains photos, prints, film, and slides used for publicity, brochures, booklets, and other publications. Information includes: title, name of program, photo, negatives, and releases.

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

(Note: Subject to archival screening prior to disposal.)

(Note: Previous record series number was SOC-77.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-7.1.	**REQUEST FOR PROPOSAL (RFP):**	**13-008**

This series may contain RFPs for professional and non-professional services. Information may include: title of solicitation; proposal due date; RFP #; buyer's name and email address; agency name and address; primary contact information; vendor information; purpose of RFP; schedule of activities; number of copies to be submitted; offeror inquires; length of contract; terms and conditions of contracts; scope of work; proposal requirements and company qualifications; vendor proposals; cost proposal; criteria for award selection; score/evaluation sheets; and authorized signatures. This record series is maintained for reference and audit purposes.

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: RFPs may be kept in paper format or as a scanned electronic image.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-8.	**RULES AND REGULATIONS (STATE AND FEDERAL MANUALS):**	**07-063**

This series is arranged alphabetically by agency name and contains copies of rules and regulations pertaining to each. Rules and regulations here may include administrative rules promulgated by other departments which have bearing on the daily operation of this agency (i.e. Bureau of Personnel, Bureau of Finance and Management, Bureau of Administration, state and federal Medicare and Medicaid, Food Stamp Certification manuals, Child Protection manuals, and policy clarifications). This record series is used to insure compliance with current rules and regulations governing the administration and operation of the department.

RETENTION: Retain state Medicare and Medicaid; and Food Stamp Certification manuals current in office. Destroy superseded or obsolete.

Child Protection Manuals: Microfilm and maintain film permanently.

(Note: Records Management will encode the original film into the vault for 10 years. The film will be reviewed every 10 years for final disposition.)

All Others: Retain current in office. Transfer superseded to storage for 3 years. Destroy 3 years after superseded.

(Note: State Medicare and Medicaid manuals are subject to screening by State Archivist prior to disposal.)

(Note: Previous record series number was SOC-47.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-9.	**STATISTICAL INFORMATION:**	
	This series contains statistical information for the Department of Social Services. Statistical information may include, but is not limited to: annual report, monthly statistical analysis report, food stamp data, medical assistance data, and Temporary Assistance for Needy Families (TANF) data. Information is maintained on the department's website. **RETENTION:** Retain 5 years, then purge and delete. (Note: The annual report and the monthly statistical analysis report are sent electronically to the State Library. Also send the annual report electronically to State Archives.)	**07-063**

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-10.	**ADMINISTRATIVE RULES AND PROMULGATION FILES:**	**07-063**

This series contains notices of public hearings, affidavits of publication of notices, written comments from the public, and transcripts of hearings. This record series serves to document the proper promulgation of administrative rules pursuant to SDCL 1-26.

RETENTION: Retain for as long as rules are in effect, then destroy.

(Note: Consider microfilming when volume warrants.)

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

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

DSS-11.	**ADMINISTRATIVE RULES:**	**07-063**

This record series is arranged numerically and contains current and superseded administrative rules promulgated by the department to regulate management of Federal and State Social Welfare programs. This record series provides a complete historical record for each administrative rule adapted by the department.

RETENTION: Retain permanently on microfilm.

(Note: Previous record series number was SOC-429.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-12.	**CATASTROPHIC COUNTY POOR RELIEF:**	**07-063**

This series contains records pertaining to eligibility for county poor relief, reimbursement requests and supporting documentation, correspondence to the CCPR Board and county welfare directors, vouchers, minutes of CCPR Board meetings, minutes of county welfare group meetings, special studies of county welfare costs, special studies on indigent health care, county guidelines, policy and procedures manuals for the CCPR program, legislative files, financial statements for the CCPR program, general correspondence, CCPR claims paid, and CCPR claims denied. This record series is maintained to document assistance provided to counties under authority of SDCL 28-13A, to maintain information used to administer the CCPR program, for audit purposes, to document meetings held and actions taken, and maintain background information on legislative proposals.

RETENTION: Retain permanently pursuant to SDCL 28-24-5.

(Note: Microfilm when volume warrants.)

(Note: Previous record series number was SOC-74.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-13.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-14. **ALLOCATION SCHEDULES (DSS-05-931):** **07-063**

This is arranged chronologically and documents the methodology used for allocating shared or common costs of the department. Information may include: effective period, type of cost, formula, percentages, and cost distribution. This record series documents the manner that rent, telephone, utility, and other expenses are distributed and provides support documentation for vouchers.

RETENTION: Retain 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 SOC-132.)

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

DSS-15. APPROVED MONTHLY P-CARD TRANSACTIONS: **07-063**

This record series is arranged chronologically by fiscal year and by month of transaction and contains a print-out of the "Agency Approved Recap" and each individual's monthly Citibank statement that lists each debit/credit transaction for that month. Information includes a recap of the total dollar amount approved for payment for a given month for an individual P-cardholder. This record series is maintained to create an audit trail.

RETENTION: Retain 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 SOC-132.1.)

DSS-16. CASH RECEIPTS: **07-063**

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

RETENTION: Retain 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 SOC-16.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-17.	**CHILD'S OWN FUNDS RECORDS:**	**07-063**

This series is arranged alphabetically by name of client and contains a listing of funds received by each client from various sources and input documents. Information may include: name, start and termination dates, case number, sources of income, amounts, obligations, and any updates. This record series is maintained to facilitate updating the Child's Own Fund System.

RETENTION: Retain 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 SOC-138.)

DSS-18.	**CONTRACTS AND AGREEMENTS:**	**07-063**

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

RETENTION: 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 5 days after such contract is entered 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 SOC-19.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-19.	**COST ALLOCATION DOCUMENTATION:**	**07-063**

This monthly generated series is arranged by location number and contains work papers and documentation supporting federal financial status reports. Information may include: reporting period, amount of funding, amount of costs, working papers, drawdowns, and PMS 272 reports. This record series is maintained for audit purposes.

RETENTION: Retain 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 SOC-139.)

DSS-20.	**COST ALLOCATION PLANS:**	**07-063**

This series is arranged chronologically and contains the yearly plans developed and submitted to the Department of Health and Human Services. Information may include: reporting period, fund allocations, administrative costs, service costs, overhead costs, and other expenditures. This record series is used to document the arrival of figures used for cost expenditures.

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 SOC-140.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-21.	**DRUG COMPANY REBATE CASE FILES:**	**07-063**

This series is arranged numerically and contains QD-Quantity Discount, Medicaid Drug Rebate files. Information may include: quarterly invoices, labeler/manufacturer information, script level data, rebate amounts, adjustments and payment history.

RETENTION: Retain permanently on microfilm.

(Note: Previous record series number was SOC-167.)

DSS-22.	**FEDERAL CASH TRANSACTION REPORT (PMS-272):**	**07-063**

This series is arranged chronologically by letter of credit and contains the Federal Cash Transaction Report (PMS-272). Information may include the following reports: PMS-272; PMS-272A; PMS-272B (statement of accountability); PMS-272E (Major Program Statement); PMS-272F (Authorization for Future Periods); and PMS-272G (Inactive Documents Report). This report group is a printed version of an electronically submitted federal report. This record series is maintained for audit purposes and to ensure cash balances are reconciled with federal records.

RETENTION: Destroy 6 years after report was submitted 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 SOC-424.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-23.	**FEDERAL DRAWDOWN CASH RECEIPT TRANSMITTAL:**	**07-063**

This series is arranged chronologically by grant and contains Federal Drawdown Cash Receipt Transmittal documentation supporting the request and the deposit of all federal grant funds. Information may include: the printed screen of the Smartlink Payment Request, a listing of the coding into which the funds were deposited, and the printed screen of the MSA entry. This record series is maintained for audit purposes and to ensure cash balances are reconciled with federal records.

RETENTION: Destroy 6 years after date of drawdown 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 SOC-425.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-24.	**FEDERAL FINANCIAL REPORTS:**	**07-063**

This series is arranged chronologically by grant and contains Financial Reports submitted to Federal Granting agencies on a quarterly, semi-annual, or annual basis as required by Federal Regulations. Information may include: Federal Grant Identifying Number, Grant Period, Total Outlays, State share and Federal share of outlays for the current reporting period, cumulative outlays for the grant period, un-liquidated obligations, federal funds authorized, and un-obligated balance of federal funds. This record series is maintained for audit purposes and as required by federal regulations.

RETENTION: Destroy 6 years after grant has been discontinued by the Federal granting agency provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Consider microfilming when volume warrants.)

(Note: Previous record series number was SOC-426.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-25.	**FEDERAL GRANT AWARD DOCUMENTS:**	**07-063**

This document series is arranged alphabetically by grant name and contains the original grant award document received from the federal grantor agency, and the original Payment Management system (PMS) quarterly report for each letter of credit. This record series is used as a historical reference when resolving disputes with federal grant officials, and for audit purposes.

RETENTION: Retain 6 years, then destroy provided 3 years has passed since the date of submission of the closure of the single audit report, which covers the grant period; and 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 SOC-141.)

DSS-26.	**MONEY RECEIVED LOG BOOK:**	**07-063**

This ring binder series is arranged chronologically and provides an account of moneys received by the program that do not have an Inter-Divisional Transmittal. Information may include: date received, payee, amount, and purpose. This record series is maintained for reference purposes.

RETENTION: Retain 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 SOC-148.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-27.	**PAID CLAIMS SUMMARY BY PROVIDER REPORT (SW23JS27):**	**07-063**

This computer printout is arranged numerically by provider number and provides a listing of all claims paid through the Social Services Information System. Information may include: provider number and name, claim number, service date, dollar amount of each claim, and date paid. This record series is a reference file used to verify payments of claims to providers.

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

(Note: Previous record series number was SOC-112.)

DSS-28.	**PMS GRANT AWARD CONTROL:**	**07-063**

This series is arranged chronologically by grant and contains the PMS (Payment Management System) Grant Award Control records of daily transactions related to each specific Federal Grant Award. These records are created in the Budget and Finance Office and are a personal computer based report for each Federal Grant Award administered by DSS. Information may include: issue date of the award, amount of award authorized, amount of award still available, expenditures of award funds, and cash balance remaining. This record series is maintained for audit purposes and to ensure grant balances are reconciled with federal records.

RETENTION: Destroy 6 years after the grant award has been spent provided all litigation, claims, and audit findings involving the grant award have been resolved and final action has been taken.

(Note: Previous record series number was SOC-427.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-29.	**PROVIDER COST REPORTS:**	**07-063**

This series is arranged alphabetically by group home and contains cost statements and copies of contracts for each. Information may include: name of facility, type of services, provided, cost to provide services, number of clients served, cost of service per client, income summaries, and other related materials. This record series is maintained to compare costs among the facilities, to determine which services are allowable for government funding, and for audit purposes.

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 SOC-157.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-30.	**SSI/SMI ELECTRONIC FUND TRANSFER DOCUMENT:**	**07-063**

This record series is arranged chronologically and contains Supplement Security Income (SSI) and Supplemental Medical Insurance (SMI). Information may include: Electronic Funds Transfer Documents which may include a copy of the voucher submitted to the State Treasurer, the billing notice received from HCFA, and SW87JS32 Debit/Credit report. These documents include all information available to justify the electronic payments made to the federal government for SSI and SMI Part A and Part B. This record series is maintained for audit purposes and to ensure cash balances are reconciled with federal records.

RETENTION: Destroy 6 years after payment date 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 SOC-428.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-31.	**TIME STUDIES:**	**07-063**

This series is arranged chronologically and contains information concerning the amount of time that program personnel are spending on each task. Information may include, but is not limited to: name of employee, social security number, reporting period, program code or work request number, task code, and amount of time spent on each task. This record series is used for employee management and cost allocation purposes.

RETENTION: Retain 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 SOC-56.)

DSS-32.	**VENDOR PAYROLL REPORTS (SSIS-SW23 SERIES):**	**07-063**

These computer output microfiche reports are generated weekly and document transactions concerning the payments made to various vendors such as group homes, residential homes, and foster parents for wide variety of services such as special needs day care, subsidized adoptions, Tribal Contracts, Basic Foster Care, Specialized Treatment Foster Care, Adult Foster Care, Respite Care, and In-Home Services. Information may include: run date, accounting data, warrant register, vendor name, services code, and other related material. This record series is used for audit and reference purposes.

RETENTION: Retain 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 SOC-152.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-33.	**VOUCHERS:**	
	This series may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Each voucher may include: purpose of expenditure, amount, account code credited, date, to whom or to what account the funds are transferred, and authorized signatures. Vouchers are used for reference to determine quantities and descriptions of supplies and services ordered, and for vendor information and for audit purposes. Audit copies of vouchers may also include attachments such as purchase orders, requisitions, invoices, and packing slips.	**07-063**
	RETENTION: FINANCE OFFICER: Retain 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.	
	ALL OTHER PROGRAMS: Retain 1 year in office, then destroy.	
	(Note: Previous record series number was SOC-62.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-34.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-35.	**DAKOTA EBT CARD STOCK ADVICE OF TRANSFER:**	**07-063**

This series is arranged chronologically and contains the original Dakota EBT card stock advice of transfer. Information may include: county name and number, address, first card number, last card number, batch number, number of cards/sleeves, date of transfer, and signature of authorized transferring official, date of receipt, and signature of authorized receiving official. This record series is used to account for and to document cards sent to the Regional Offices.

RETENTION: Retain 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 SOC-153.1.)

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

DSS-36. EBT TRANSACTION LIST (SS41JS04): **07-063**

This computer output microfiche (COM) series is generated daily and provides an alphabetical listing by county of food stamp amounts that clients are eligible for, and have received or will receive. Information may include: report date, county number, case number, applicant's name, benefit amount, recoupment amount, benefit period, issue date, availability date, and transaction ID (also known as ATP#). The last page includes state totals, and types of payments (disaster, emergency, prior period, replacements and repayments). This record series is maintained for reference purposes.

RETENTION: Retain COM 3 years in office, then destroy.

(Note: Previous record series number was SOC-153.2.)

DSS-37. VOIDED PAYMENT REPORTS: **07-063**

This computer printout (SS35JS26) is generated whenever an EBT Food Stamp (FS) ATP is voided. Information may include: case number, payee name and address, ATP amount, recoupment information, issuance date, benefit period, warrant number, and void reason. This record series is used for statistical and federal reporting purposes.

RETENTION: Retain 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 SOC-269.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-38.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-39.	**TITLE XIX MEDICAL TRANSPORTATION RECORDS:**	**10-014**

This series is arranged alphabetically by last name and contains Title XIX medical transportation records for each recipient. Information may include: narratives, reimbursement forms, SW95 Medicaid eligibility print screens, medical referrals, and lodging receipts. This record series serves as a history of Title XIX medical transportation recipients.

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 SOC-153.3.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-40.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-41.	**AUDIT REPORTS:**	**07-063**

This series contains federally initiated Social Service conducted audit reports concerning the expenditure and administration of government subsidies. Audited agencies may include, but are not limited to: nursing homes, developmental disabilities agencies, adult services and aging groups, weatherization programs, group homes, and others. The reports are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented.

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 SOC-155.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-42.	**AUDIT WORKING PAPERS:**	**07-063**

This series is arranged alphabetically by category and contains working papers used during the audit of each facility. Information may include: financial statements, private accountant worksheets, listing of medicaid recipients, vendor payrolls, payroll working papers, depreciation schedules, rate negotiation sheets, letters of notification, and reconciliation of cost statements. The information is used to arrive at and support findings in the "Audit Reports".

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 SOC-156.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-43.	**ABUSE AND NEGLECT CASES, APPEALS:**	**09-008**

This series is arranged numerically by case number and contains information relating to appeals in abuse and neglect actions. Information may include: appellate records, pleadings, briefs, correspondence, exhibits, attorney notes, transcripts, and other related information. This record series is maintained to document the outcome of cases and for reference in cases similar in nature. The Supreme Court maintains the original.

RETENTION: Retain 1 year in office after case has been closed, then transfer to storage for 4 years. Destroy after 5 years.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-44.	**ABUSE AND NEGLECT CASES, NON-APPEAL:**	**07-063**

This series is arranged numerically by case number and contains information relating to abuse and neglect actions. Information may include: pleadings, briefs, correspondence, exhibits, attorney notes, investigative reports, and other related information. This record series is maintained to document the outcome of cases and for reference in cases similar in nature.

RETENTION: Retain 1 year in office after case has been closed, then microfilm and maintain film permanently.

(Note: Destroy paper after microfilm has been inspected and verified to meet quality standards.)

(Note: Transfer non-microfilmable items to the Attorney General's Records Management Office to be retained according to the Attorney General's retention manual.)

(Note: Case closure is determined by the Office on a case by case review. The determination of records that cannot be microfilmed is determined by the Office and the Office of Attorney General on a case by case review.)

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-45.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-46.	**ADOPTION CASE FILES:**	**07-063**

This series is arranged numerically by case number and contains information relating to abuse and neglect cases following termination of parental rights, but prior to adoption including adoption reviews and other related matters. Information may include: appellate records, pleadings, briefs, correspondence, exhibits, attorney notes, transcripts, and other related information. This record series is maintained to document the outcome of cases and for reference in cases similar in nature.

RETENTION: Retain 1 year in office after case has been closed, then microfilm and maintain film permanently.

(Note: Destroy paper after microfilm has been inspected and verified to meet quality standards.)

DSS-47.	**CIVIL CASES, LEGAL:**	**09-008**

This series is arranged numerically by case number and contains information relating to any civil case files involving the department. Information may include: names of involved parties, briefs, motions, reports, exhibits, correspondence, pleadings, investigation results, and other related information. This record series is used to document the outcome of cases involving the department. The Circuit Court maintains the originals.

RETENTION: Retain 1 year in office after case has been closed, then transfer to storage for 4 years. Destroy after 5 years.

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-48.	**COMPLAINT INVESTIGATION:**	
	This series is arranged alphabetically by case name and contains information relating to complaints investigated, including civil rights violations. Information may include: investigation results, briefs, motions, correspondence, pleadings, and other related information. This record series is maintained to document the results of each investigation and for comparison to similar types of cases.	**07-063**
	RETENTION: Retain 4 years in office after case is closed, 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 SOC-71.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-49.	**CRIMINAL CASES, LEGAL:**	**09-008**

This series is arranged numerically by case number and contains information relating to cases involving the investigation and prosecution of criminal charges involving sexual or physical abuse of children, physical abuse of spouses, elder abuse, and welfare fraud. Information may include: names of involved parties, briefs, motions, correspondence, pleadings, investigation results, and other related information. This record series is used to document the outcome of cases and for prosecuting cases which are similar in nature.

RETENTION: MINOR CRIMINAL CASE FILES: Retain 1 year in office, then microfilm and maintain microfilm permanently.

(Note: Destroy paper for minor criminal case files after microfilm has been inspected and verified to meet quality standards.)

MAJOR CRIMINAL CASE FILES: Retain 1 year in office after case has been closed, then microfilm and maintain microfilm permanently. Transfer microfilmed paper to storage for 5 years, then destroy.

(Note: Transfer non-microfilmable items to the Attorney General's Records Management Office to be retained according to the Attorney General's retention manual.)

(Note: Major Criminal Case Files include: homicide, sexual abuse of a child, and cases of extreme physical abuse of a child. Minor Criminal Case Files include all other criminal cases handled by the Department of Social Services, such as misdemeanor cases and Welfare Fraud. Case classification may be altered by the Office and the Office of Attorney General on a case by case review. Case closure is determined by the Office on a case by case review. The determination of records that cannot be microfilmed is determined by the Office and the Office of Attorney General on a case by case review.)

(Note: Previous record series number was SOC-72.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-50.	**FAIR HEARING CASES:**	**09-008**

This series is arranged numerically by case number and contains copies of "Administrative Hearings Case Files". Information may include, but is not limited to: names of litigants, requests for hearings, transcripts of testimonies, correspondence, reports, exhibits, and other information. This record series is maintained to document the results of these hearings. Originals of pleadings, transcripts and exhibits are maintained by the Administrative Hearings.

RETENTION: Retain 1 year in office after case has been closed, then transfer to storage for 4 years. Destroy after 5 years.

(Note: Previous record series number was SOC-73.)

DSS-51.	**INVESTIGATIVE CRIMINAL CASE FILES:**	**07-063**

This series contains copies of investigative criminal case files which are submitted for review and determination of prosecuting a criminal case. Reports, submitted from either the Division of Criminal Investigation (DCI) or state agencies, may include: DCI narrative reports and enclosures, and agency investigation files (correspondence, reports from the agency, complaints, and hearings). The original reports are maintained by the respective agencies.

RETENTION: Pursuant to SDCL 26-8A-16, Retain non prosecution photographs, videotapes, or other images in the possession of the Department of Social Services for 3 years, then destroy.

ALL OTHER NON PROSECUTION INFORMATION: Retain 4 years after case has closed, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

PROSECUTION FILES: Transfer to Criminal Cases, Legal.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-52.	**RECORD REQUESTS:**	
	This series is arranged numerically by case number and contains information relating to requests received for records from the Department other than in an administrative hearing or court proceeding in which the Department is a party. Information may include: correspondence, pleadings, briefs, and other related information, but not information released/sought to be released. This record series is maintained to document the outcome of requests and as reference in similar cases.	**07-063**
	RETENTION: Retain 1 year in office after closed, 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
DSS-53.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-57. DAILY SHIPPING MANIFEST REPORTS: **10-014**

This record series contains information regarding the shipment of parcels via various commercial parcel carriers. The information contained in the reports includes: date; ship to information; parcel weight; tariff fees; account billing information; special services requested; and summary totals. This record series is used for billing information and as a record of all shipping transactions.

RETENTION: Retain current fiscal year, then destroy.

(Note: Previous record series number was SOC-129.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-54.	**INVENTORY, CAPITAL ASSETS:**	**07-063**

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

RETENTION: Retain 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 SOC-123.)

DSS-55.	**PURCHASE ORDERS, LOCAL:**	**07-063**

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

RETENTION: Retain 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 SOC-127.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-56.	**RECORDS MANAGEMENT FILES:**	
	This series contains the completed forms used to track inactive records that have been sent to Records Management (RM) Storage; and the department's "Records Retention and Destruction Schedule" (RRDS). Information may include: standard records transfer receipt forms, microfilm project registration forms; and microfilm and box destruction authorization forms. This record series is maintained for tracking records sent to Records Management storage, to document the time each record series must be legally maintained, and to document authorization granted to RM for destruction of obsolete records.	**07-063**
	RETENTION: RECORD DESTRUCTION AUTHORIZATION FORMS: Retain 3 years in office, then destroy.	
	ALL OTHER INFORMATION: Retain current in office. Destroy superseded or obsolete.	
	(Note: Previous record series number was SOC-46.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-56.1.	**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.

DSS-59.	**WARRANTY INFORMATION:**	**07-063**

This series is arranged chronologically by date of purchase and contains warranty and product information for items purchased by the department. Information may include: name of equipment, purchase date, warranty information, product information, and related data. This record series is maintained to determine the course of action to pursue if equipment fails to operate properly during the warranty period.

RETENTION: Retain current. Destroy after warranty has expired.

(Note: Previous record series number was SOC-130.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-60.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-61.	**CASE FILES:**	
	This series contains all information related to recovery or investigation cases. Information may include: forms, correspondence, payments, narratives, TIPS, findings, evidence, notes, and other documents or documentation in areas of investigation, administrative hearings, recovery process, and legal arena. This record series is maintained to document the handling of recovery or investigation cases. **RETENTION:** Retain current records in office, then transfer to storage on a monthly basis. 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 SOC-163.)	**07-063**
DSS-62.	**ESTATE RECOVERY:**	
	This series contains all information regarding deceased recipients. Information may include: notices of death, medical claims, history, correspondence, forms, payments history, and legal documentation. This record series is maintained to document the handling of estate recovery cases. **RETENTION:** Retain current in office, then transfer to storage for 6 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 SOC-400.)	**07-063**

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-63.	**FEDERAL REPORTS:**	
	This series contains the Food Stamp Federal Quarterly Report (FSN-209) and the computer generated reports or printouts which are utilized in the creation of the report which documents information on overpayments and recipient fraud. This record series is maintained to comply with federal requirements. **RETENTION:** Retain current fiscal 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 SOC-168.)	**07-063**
DSS-64.	**PROBATE NOTICES (NON CLAIM):**	
	This series contains notices and documents regarding deceased individuals and department correspondence related to searches for Medicaid recipients. This record series is maintained to verify that appropriate notices were received. **RETENTION:** Retain 6 months, then destroy. (Note: Previous record series number was SOC-402.)	**07-063**

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-65.	**STATISTICAL COLLECTION REPORTS:**	**07-063**

This series contains computer printout reports which are generated on a daily or monthly basis for recoupments, voids, and collection analysis. Printouts are used to balance collections with Finance, to monitor collection activities in relation to goals, and complete federal reports.

RETENTION: Retain current fiscal year report in office, then transfer to storage for 3 years. Destroy after 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 SOC-174.)

DSS-66.	**THIRD PARTY LIABILITY CASES:**	**07-063**

This series contains case files where health benefits were provided by the department and a potential third party existed. Information may include: medical history, claims history, legal documentation, payment detail, explanation of benefits, narratives, and correspondence. This record series is used to document and verify collection activity from liable third parties.

RETENTION: Retain current records in office, then transfer to storage for 6 years. Destroy 6 years after final action 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 SOC-176.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-67.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-68.	**ADVISORY COUNCIL MINUTES:**	**07-063**

This series is filed chronologically and contains the official minutes and attachments of the South Dakota Advisory Council on Aging. The council meets three times yearly. The original minutes are maintained in the office for reference and historical purposes.

RETENTION: Retain in office for 10 years, then transfer to State Archives for final disposition.

(Note: Previous record series number was SOC-404.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-69.	**APPLICATIONS, ADVOCACY ASSISTANCE:**	**07-063**

This series is arranged by district and Adult Services & Aging Specialist and contains information used to document the Department's need to provide advocacy services for various individuals. Information may include: applications, need assessments, client data, and other related information. This record series is used to document approval received for the state's advocacy program.

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 SOC-179.)

DSS-70.	**CASE FILES, MEDICAL REVIEW TEAM:**	**07-063**

This series is arranged alphabetically by nursing home, then patient. Information may include: MDS, medical/nursing data, patient records, and other related data. These files are used by the Medical Review Team to evaluate the care each client is receiving, and to determine if a different level of care is necessary. This record series is maintained pursuant to 45 CFR CH. II 205.60.

RETENTION: Destroy 6 years after inactive 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 SOC-392.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-71.	**CASE-MIX ASSESSMENT REPORTS:**	**07-063**

This series contains assessments on residents who live in nursing facilities. Information may include: the client name, assessment criteria, assessment results, and comments. This record series is maintained to evaluate the classification of a resident in which Medicaid reimbursement rates are then established.

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 SOC-182.)

DSS-72.	**CLIENT ASSESSMENT FILES:**	**07-063**

This series is arranged chronologically and contains monthly and quarterly assessments on clients. Information may include: name of client, assessment criteria, assessment results, and comments. This record series is used to evaluate the progress clients have made and for reporting purposes.

RETENTION: Destroy 6 years after inactive 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 SOC-180.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-73.	**DRUG UTILIZATION REVIEW FILES:**	**07-063**

This series is arranged chronologically by month and contains Drug Utilization Forms completed by Medicaid providers including Physicians and Pharmacies. Information may include: case number, provider number, patient's ID, patients name, medical diagnosis, prescription drugs, and correspondence. This record series is maintained for administrative and reference purposes.

RETENTION: Retain 6 years, then destroy.

(Note: Previous record series number was SOC-421.)

DSS-74.	**GRANTS AND STATE PLANS:**	**07-063**

This series is arranged by grant or state plan and contains information used for application, administration, monitoring, and reporting of the grants and state plans administered by the department. Information may include: state plans, amendments and updates to state plans, application materials, correspondence, RFP's, attachments, surveys, federal review materials, and grant awards. This record series is maintained for audit purposes.

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

ALL OTHER INFORMATION: Retain 6 years, then destroy provided 3 years have passed since the date of the submission of closure of the single audit report, which covers the grant period; and 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
DSS-74.1.	**GUARDIAN CONSERVATOR CASES:**	**15-012**

This series is arranged alphabetically by consumer's last name and contains information relating to the guardianship and/or conservatorship cases involving the Department of Social Services, Division of Adult Services & Aging. Information may include: names of parties involved, court orders, motions, reports, medical information, investigation reports, and other related information. This record series is used to document guardianship and/or conservatorship cases involving the Department of Social Services, Division of Adult Services & Aging.

RETENTION: Retain 1 year in office after case has been closed, then transfer to storage for 4 years. Destroy after 5 years of closing provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DSS-75. OMBUDSMAN FILE: **07-063**

This series is arranged alphabetically by name of institution and contains documentation on complaints received concerning nursing homes and other facilities regulated by the program. Information may include: name of facility, nature of the complaint, investigation results, and conclusions. This record series is maintained to document the results of all investigations.

RETENTION: Destroy 6 years after inactive.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-76.	**PERFORMANCE REPORTS, PROGRAMS:**	**07-063**

This series is arranged chronologically and contains copies of program performance reports. Information may include: staffing data, financial data, meal statistics, Title III, Title IIIC programs, and other related reports. This information is required for audit, and reporting purposes and statistical reference.

RETENTION: Retain 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 SOC-187.)

DSS-77.	**PRE-ADMISSION ASSESSMENT:**	**07-063**

This series contains the results of assessments on persons requesting admission to a nursing facility. Information may include: the client name, client demographics, and Department recommendation for services. This record series is used to build a profile of client needs and to plan for future services needs for older Americans in the State. This series also contains status reports of clients after they enter a facility for a short period.

RETENTION: Destroy 6 years after inactive.

(Note: Previous record series number was SOC-188.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-78.	**PROGRAM REPORTS:**	
	This series is arranged chronologically and contains information concerning the administration of nutrition, transportation, adult daycare and homemaker services. Information may include: correspondence, and quarterly reports. This record series is maintained to document the administration of grants and annual negotiated contracts. **RETENTION:** Retain 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 SOC-184.)	**07-063**
DSS-79.	**SUB-GRANTS:**	
	This series is arranged alphabetically by type of sub-grant and contains sub-grant information. Information may include: applications, budgets, reports, and information submitted by entities who apply and/or receive grants from the department. This record series is maintained for audit purposes. **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.	**07-063**

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-80.	**VICTIM'S COMPENSATION CLAIM FILES:**	**07-063**

This series is arranged numerically by file number and contains victim's compensation applications and related materials. Information may include: application, law enforcement reports, medical records, employment records, correspondence, and award documents. This record series is used to monitor payments and reimbursements, to analyze supplemental requests, for documentation of fraudulent claims, and for audit purposes.

RETENTION: Destroy 6 years after closed 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 SOC-413.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-81.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-82.	**GRANTS AND STATE PLANS:**	**07-063**

This series is arranged by grant or state plan and contains information used for application, administration, monitoring, and reporting of the grants and state plans administered by the department. Information may include: state plans, amendments and updates to state plans, application materials, correspondence, RFP's, attachments, surveys, federal review materials, and grant awards. This record series is maintained for audit purposes.

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

ALL OTHER INFORMATION: Retain 6 years, then destroy provided 3 years have passed since the date of the submission of closure of the single audit report, which covers the grant period; and provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DSS-83. **MARKET RATE SURVEY:** **07-063**

This series is arranged chronologically by year and contains the market rate survey of all providers in South Dakota. Information may include: providers name and address, the number of full-time and part-time children, discounted rate, full-time rate, part-time rate, type of daycare, and comments. This record series is used for administrative purposes and to determine the current market rate for child care costs as required by the Federal Government.

RETENTION: Retain 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 SOC-419.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-84.	**PATHWAYS APPLICATIONS:**	**07-063**

This series is arranged by name and contains pathways applications. The Pathways Project is an incentive program for people who work in child care settings. Information may include: application, supporting documentation, press release and vouchers. This record series is maintained for reference purposes.

RETENTION: Retain 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 SOC-230.1.)

DSS-85. REGULATED CHILD CARE PROVIDER FILES: **09-008**

This series is arranged chronologically and contains information related to the application and monitoring of regulated child care providers. Information may include: inquires, applications, general correspondence, fire and health inspections, and contact summary sheets. This record series is maintained to document daycare centers approved by the State and are used for recertification purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 3 years. Destroy after 5 years.

(Note: Previous record series number was SOC-229.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-86.	**STATE REGISTERED AND LICENSED CHILD CARE PROVIDERS:**	
	This computer printout series is generated monthly and contains information regarding registered and/or licensed child care providers. Information may include: name of regulated program or provider, address, and phone number. This record series is maintained for reference to assist parents in selecting a child care provider, to determine the number of providers in each category, and their capacity.	07-063
	RETENTION: Retain current in office. Destroy superseded or obsolete.	
	(Note: Previous record series number was SOC-226.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-87.	**SUB-GRANTS:**	**07-063**

This series is arranged by type of sub-grant and contains sub-grant information. Information may include: applications, budgets, reports, and information submitted by entities who apply and/or receive grants from the department. This record series is maintained for audit purposes.

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.

DSS-88. SUBSIDY CASE FILES-CHILD CARE SERVICES: **07-063**

This series contains Subsidy Child Care Services case files. Information may include: subsidy application and eligibility support documents (check stubs, school and work schedules); worksheet; correspondence; certificate; and payment vouchers. This record series is maintained for federal audit, possible litigation, and reference purposes.

RETENTION: Destroy 4 years after closed 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 SOC-225.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-89.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-90.	**CLIENT CASE FILES:**	
	This series is arranged alphabetically in paper form, then numerically when microfilmed and contains client case files for Protective Service, Foster Care, Adoption, and Licensing Screening. Information may include: investigative records, narratives, case management records, birth certificates, medical and psychological evaluations, placement records, legal documents, Interstate Compact documents, final custody records, Child Abuse and Neglect Central Registry documents, and documentation of dispositions regarding licensing screening reviews for abuse and neglect history. This record series is maintained for documentation of activities related to determinations of child abuse and neglect, actions taken to protect children, placement of children, and individual names being placed on the Child Abuse and Neglect Central Registry.	**07-063**

RETENTION: Retain permanently on microfilm.

(Note: Previous record series number was SOC-235.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-91.	**CHILD ABUSE/NEGLECT, OUT-OF-HOME INVESTIGATION REPORTS:**	
	This series is arranged alphabetically by facility/provider name and contains copies of information on child abuse/neglect investigations involving children placed in out-of-home care. Information may include: referrals, investigation reports, other supporting documentation, and letters to and from the facility/provider. This record series is maintained as a facility/provider record separate from the child(ren)'s files.	07-063

RETENTION: Retain permanently on microfilm.

(Note: Previous record series number was SOC-238.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-92.	**FBI CRIMINAL RECORD CHECKS:**	**07-063**

This series is arranged alphabetically and contains FBI Criminal Record Checks. Information may include: fingerprint cards, statements of prior criminal convictions and military history, criminal record reports, notice of results of record check, documentation relating to convictions, and documentation relating to fair hearings. This record series is used for the licensing of foster parents.

RETENTION: DOCUMENTATION RELATING TO FAIR HEARINGS AND DISQUALIFYING CONDITIONS: Retain documentation for applicants for whom a criminal record was found or that have a fair hearing permanently.

(Note: Microfilm Fair Hearings and Disqualifying Conditions when volume warrants.)

DOCUMENTATION RELATING TO APPLICANTS, WHICH ARE LICENSED: Retain 5 years, then destroy.

(NOTE: APPLICATION OF RESTRICTION APPLY TO THESE FILES. THEY MAY BE ACCESSED ONLY WITH THE APPROVAL OF A PROGRAM SPECIALIST, ASSISTANT DIVISION DIRECTOR, OR THE DIVISION DIRECTOR FOR THE DEPARTMENT OF SOCIAL SERVICES/CHILD PROTECTION SERVICES.)

(Note: Previous record series number was SOC-406.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-93.	**GRANTS AND STATE PLANS:**	**07-063**

This series is arranged by grant or state plan and contains information used for application, administration, monitoring, and reporting of the grants and state plans administered by the department. Information may include: state plans, amendments and updates to state plans, application materials, correspondence, RFP's, attachments, surveys, federal review materials, and grant awards. This record series is maintained for audit purposes.

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

ALL OTHER INFORMATION: Retain 6 years, then destroy provided 3 years have passed since the date of the submission of closure of the single audit report, which covers the grant period; and provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DSS-94. **LICENSING FILES:** **07-063**

This series is arranged alphabetically by name of agency and contains licensing information concerning child placement agencies, group care centers for minors, residential treatment centers, independent living preparation programs, and maternity homes. Information may include: applications, licensing studies, fire and health inspections, reports, general correspondence, contact summary sheets, and licensing standards. This record series is maintained to document those facilities licensed by the State and are used for license renewal purposes.

RETENTION: Retain 15 years, then destroy.

(Note: Microfilm when volume warrants.)

(Note: Previous record series number was SOC-242.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-95.	**REQUEST FOR PAYMENT FORMS, SSIS SYSTEM:**	**07-063**

This series is arranged numerically by claim number and contains the actual request for payments submitted by each provider. Information may include: provider's name and identification number, month and year of service, client's name and identification number, type of service provided, amount of payment to be made, and provider's signature. This record series is maintained for audit purposes.

RETENTION: Retain 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 SOC-116.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-96.	**ADOPTIVE PARENTS, PROSPECTIVE FILE:**	**07-063**

This series is arranged alphabetically by name and includes related documentation for parents desiring the adoption of children. Information may include: application for adoption, determinations of eligibility, related correspondence, payment agreement for adoptive services, pictures of the prospective parents, criminal checks, and family profile and certificate of completion of training. If adoption occurs, this file is placed with the "Client Case File". If there is no action, the file is reevaluated every three years and either reactivated or terminated.

RETENTION: Transfer to State Office to be retained as Child Protection Services' "Client Case Files".

(Note: Previous record series number was SOC-344.)

DSS-97.	**CLIENT FILES, ADOPTION:**	**07-063**

This series is arranged alphabetically by client name and contains the records involved with placing a child for adoption or foster care. Information may include: legal section, eligibility section, service plans and contracts section, medical section, and related correspondence. This record series documents all actions relating to placement and care.

RETENTION: Transfer to State Office to be retained as Child Protection Services' "Client Case Files".

(Note: Previous record series number was SOC-351.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-98.	**FOSTER CARE CLIENT FILES (CHILDREN):**	**07-063**

This series contains individual records kept on children that enter foster care. Information may include: legal documents, medical records or evaluations, initial reports, family and social histories, narrative reports, school records, tribal enrollment, Social Security information, and correspondence. This record series is used to track children's stays in the foster care system.

RETENTION: Transfer to State Office to be retained as Child Protection Services' "Client Case Files".

(Note: Previous record series number was SOC-355.)

DSS-99.	**FOSTER CARE LICENSING FILES:**	**07-063**

This series is arranged alphabetically by foster care name and contains information concerning the administration of each. Information may include: inquiry and fact sheet, comment sheet, license application, reference forms, health forms, criminal background checks, related training materials, family profile and certificate of training, and correspondence. This record series is used to administer and monitor each respective foster care home.

RETENTION: Transfer to State Office to be retained as Child Protection Services' "Client Case Files".

(Note: Previous record series number was SOC-356.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-100.	**PROTECTIVE SERVICES CASE FILES:**	**07-063**

This series contains information on families and children referred to the Department of Social Services because of child abuse or neglect. Information may include: request for service; investigation and assessment documents; determination for need for protection; narratives; medical records; legal documents; case plans; and other related information.

RETENTION: UNSUBSTANTIATED: Retain 3 years after closed, then destroy.

SUBSTANTIATED: Transfer to State Office to be retained as Child Protection Services' "Client Case Files".

(Note: Previous record series number was SOC-361.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-101.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-102.	**GRANTS AND STATE PLANS:**	**07-063**

This series is arranged by grant or state plan and contains information used for application, administration, monitoring, and reporting of the grants and state plans administered by the department. Information may include: state plans, amendments and updates to state plans, application materials, correspondence, RFP's, attachments, surveys, federal review materials, and grant awards. This record series is maintained for audit purposes.

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

ALL OTHER INFORMATION: Retain 6 years, then destroy provided 3 years have passed since the date of the submission of closure of the single audit report, which covers the grant period; and provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DSS-103. MSA RECONCILIATION DATA: **07-063**

This series is arranged chronologically and contains the financial records relating to the MSA Reconciliation Data. Information may include: IRS adjustment reports, disbursement amounts by day and week reports, deposits made by the Office of Child Support Enforcement (OCSE), NSF check reports, ADC allocation reports, disbursements not disbursed reports, payments in suspense reports, MSA accounting reports, and other miscellaneous reports needed to accurately balance OCSE accounts with MSA. This record series is maintained to provide justification to Legislative Audit on reconciling the OCSE collection account with the MSA account.

RETENTION: Retain 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 SOC-435.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-104.	**CASE FILES, CHILD SUPPORT ENFORCEMENT:**	**07-063**

This series contains the original case files of Child Support Enforcement activities. Information may include: investigation notes, counseling sheet, child support assignments, absent parent information sheets, correspondence, copies of court orders, application data, wage history, and other related data. This record series documents the proceedings and actions involved in the attempt to collect child support monies in arrears as well as any collections made.

RETENTION: Destroy 4 years after closed 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 SOC-363.)

DSS-105. TRANSMITTALS, SUPPORT PAYMENTS: **07-063**

This series contains copies of the "Support Payment Transmittal Sheet" which accompanies support payment collections to the State Child Support Enforcement Office. Information may include: authorizing signature, date, amount collected for each case, the total amount transferred, receipt numbers, and absent parent name. The State Office maintains the originals for four years. This copy is maintained for statistical comparisons and State reporting purposes.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was SOC-366.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-106.	**AUXILIARY PLACEMENTS STUDENT RECORDS:**	**07-063**

This series is arranged alphabetically by student's last name and contains Special Education student records of children who are under the care and custody of the State, tribal courts, or other Social Service agencies. Information may include: student identifiable information, court orders, financial service agreement, education evaluation and psychological evaluation reports, individual education plans, and progress reports. Records are used to verify service, funding eligibility, and special education services provided. This record series is maintained for Special Education compliance and for reference purposes.

RETENTION: Destroy 3 fiscal years after discharged from the program.

(Note: Previous record series number was SOC-420.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-107.	**BENDEX RECORDS:**	
	This computer output microfiche (COM) series is generated monthly and provides a means to monitor discrepancies in Social Security Administration recipient files and State Assistance Payment files. Information may include: Social Security Administration client name, surname, first name, gender, date of birth, date eligible, payment status, state control information, and whether rejected or accepted. This record series is maintained to monitor for possible abuse of services.	**07-063**
	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.	
	(Note: Previous record series number was SOC-192.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-108.	**EA ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

DSS-109.	**EA SUB-GRANTS:**	**07-063**

This series is arranged by type of sub-grant and contains sub-grant information. Information may include: applications, budgets, reports, and information submitted by entities who apply and/or receive grants from the department. This record series is maintained for audit purposes.

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.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-110.	**GRANTS AND STATE PLANS:**	
	This series is arranged by grant or state plan and contains information used for application, administration, monitoring, and reporting of the grants and state plans administered by the department. Information may include: state plans, amendments and updates to state plans, application materials, correspondence, RFP's, attachments, surveys, federal review materials, and grant awards. This record series is maintained for audit purposes.	**07-063**
	RETENTION: STATE PLAN: Retain current in office. Destroy superseded or obsolete.	
	ALL OTHER INFORMATION: Retain 6 years, then destroy provided 3 years have passed since the date of the submission of closure of the single audit report, which covers the grant period; and 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
DSS-112.	**PAYROLL REPORTS (SB-32):**	
	These computer printouts are used to monitor and reconcile payroll accounting records. Information may include, but is not limited to: Payroll Budgetary Records Reported, Payroll Statistic Extract Report, Payroll Treasurer's Transfer Report, Payroll Voucher Number Report, and Payroll Warrant Register Report. Reports are maintained for reference and/or audit purposes.	**07-063**
	RETENTION: PAYROLL VOUCHER NUMBER REPORTS: 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.	
	PAYROLL STATISTIC EXTRACT REPORTS: Retain 6 months in office, then destroy.	
	ALL OTHERS: Retain 1 year in office, then destroy.	
	(Note: Consider receiving on computer output microfiche (COM) instead of paper.)	
	(Note: Previous record series number was SOC-204.)	

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-113.	**SS35, SS37, SW87, AND DATABASE FILES:**	**07-063**

SS35--Database Files - This series contains various daily, weekly, and monthly reports pertaining to the TANF and TANF-related programs. Reports include, but are not limited to: interim and regular payrolls, statistical reports, auto-close notices, unearned income data, WIC notifications, and other management reports.

SS37--This record series contains various weekly and monthly reports pertaining to the SDX system (State Data Exchange). Information includes, but is not limited to: recipient number match reports, ID number assignment for new recipients, closing notices, approval notices, purge lists, etc.

SW87--Database Reports - This record series contains various weekly and monthly computer generated reports pertaining to Medicaid eligibility. Reports include, but are not limited to: audit trails, alphabetical/numerical medical ID card lists, error reports, roll-off information, dates of Medicaid eligibility, etc.

RETENTION: SS35: Retain paper or COM 3 years, then destroy.

SS37: Retain 6 years, then destroy.

SW87: Retain COM 6 years, then destroy.

(Note: Previous record series number was SOC-214.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-114.	**SUPPLEMENTAL SECURITY INCOME CASE FILES:**	**07-063**

This series is arranged alphabetically and contains case files concerning Supplemental Security Income recipients. Information may include: awards letters, notices from social security regarding eligibility dates, private health insurance, computer update forms, and other related correspondence.

RETENTION: Retain 4 years after inactive 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 SOC-217.)

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

DSS-115. CLIENT FILES, LIEAP & ECIP: **07-063**

This series contains Low Income Energy Assistance Program (LIEAP) and Energy Crisis Intervention Program (ECIP) client files. Information may include: client application, income verification, verification of heat expense, heat source, and household heating supplier. This record series is used as reference for subsequent applications and audit purposes.

RETENTION: Retain 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 SOC-271.)

DSS-116. CLIENT NOTIFICATION LISTING (SS80JS11): **07-063**

This COM series report lists name of client, address, benefit amount, and name of vendor and notification date. Also, this report lists clients who have exhausted their benefit for the current heating season. This record series is used for reference.

RETENTION: Retain 1 year in office, then destroy.

(Note: Previous record series number was SOC-272.)

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

DSS-117. CLIENT STATUS REPORTS (SS80JS12 & SS80JS13): **07-063**

This COM series is a listing of eligible and ineligible clients for each county and includes client name, address, eligibility status, benefit amount, and vendor. The information is sent on a weekly basis to county caseworkers for reference.

RETENTION: WEEKLY REPORT: Retain current. Destroy superseded or obsolete.

YEAR-END REPORT: Retain 1 year, then destroy.

(Note: Previous record series number was SOC-273.)

DSS-118. COUNTY MONITORING FILES: **07-063**

This series is arranged alphabetically by county and contains a monitoring report for each client file reviewed. This record series is used to determine accuracy of casework and for audit purposes.

RETENTION: Retain 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 SOC-274.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-119.	**INSPECTION FILES, WEATHERIZATION:**	**07-063**

This series contains inspection forms. Information may include: name of client, address, housing type, dollar amount of materials used in weatherization of dwelling, etc. This record series is used to verify weatherization completions.

RETENTION: Destroy 4 years after final expenditure report has been submitted 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 SOC-277.)

DSS-120.	**SPECIAL PROJECTS, WEATHERIZATION:**	**07-063**

This series contains special projects. Information may include: client applications, income verification, energy audit results, and weatherization measures performed in special weatherization projects undertaken by the State Office of Energy Assistance. This record series is used for reference and audit purposes.

RETENTION: 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 SOC-280.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-121.	**VENDOR CLAIM RECORDS (LIEAP):**	**07-063**

This series contains claims submitted by vendors. Information may include: client's name and case number, date of service, fuel type, amount, and cost. The information is encoded to generate vendor payments and is kept for reference and audit purposes.

RETENTION: Destroy 4 years after final expenditure report has been submitted 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 SOC-281.)

DSS-122.	**VENDOR MONITORING FILES:**	**07-063**

This series contains vendor monitoring files. Information may include: vendor review letter, evaluation sheet, rate schedule, printout of vendor claims paid, and letter documenting audit findings. This record series used for reference and audit purposes.

RETENTION: Destroy 4 years after final expenditure report has been submitted 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 SOC-282.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-123.	**VENDOR PAYROLL LISTING (SS80JS25):**	**07-063**

This COM series is a summary of all warrants issued from the Low Income Energy Assistance Program. Information may include: the warrant number, name of vendor, and amount. This record series is used for reference.

RETENTION: Retain 2 years, then destroy.

(Note: Previous record series number was SOC-283.)

DSS-124.	**VENDOR WARRANT REPORTS (SS80JS25):**	**07-063**

This COM series is generated weekly and lists claims paid to vendors by name of client, address, amount billed, and amount paid. This record series is used to verify claims paid to vendors and the hard copy accompanies warrants sent to vendors.

RETENTION: Retain 1 year, then destroy.

(Note: Previous record series number was SOC-284.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-125.	**WEATHERIZATION AGENCY REPORTS:**	**07-063**

This series provides a monthly summary of account status by agency and fund source. Information may include: units in progress, completed, and clients served. This record series is used to monitor expenditures and completions for statistical purposes and audit.

RETENTION: Destroy 4 years after final expenditure report has been submitted 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 SOC-285.)

DSS-126. YEAR END LIEAP CASES ON FILE (SS80JS16): **07-063**

This COM series lists each Low Income Energy Assistance Program (LIEAP) client information. Information may include: client's name, address, case number, benefit amount, vendor, amount paid, and date of notification. This record series is maintained for reference.

RETENTION: WEEKLY REPORT: Retain current. Destroy superseded or obsolete.

YEAR-END REPORT: Retain 4 years, then destroy.

(Note: Previous record series number was SOC-278.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-127.	**AUTHORIZATION REPRESENTATIVE REPORTS:**	**07-063**

This computer output microfiche (COM) series (JS20) is generated daily as well as monthly and provides an alphabetical listing by county of individuals who are authorized representatives. Information may include: representative's name and address, name of food stamp recipient, and case number. The State Office maintains this information for reference purposes.

RETENTION: Retain 3 years, then destroy.

(Note: Previous record series number was SOC-252.)

DSS-128.	**FOOD STAMP RECIPIENT LIST FOR COMMODITIES:**	**07-063**

This monthly printout and COM series is arranged alphabetically and contains information on food stamp recipients residing on reservation lands. Information may include: household name, household members, and case number. The printout is sent to Tribal Commodity Offices to restrict duplicate participation and is required by federal regulation 7 CFR 253.7(e)(1).

RETENTION: COM: Retain 3 years, then destroy.

PRINTOUT: Send to Tribal Commodity Office upon receipt.

(Note: Previous record series number was SOC-251.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-129.	**MANAGEMENT AND EVALUATION REVIEWS:**	**07-063**

This series contains management and evaluation review packages. Information may include: case record reviews, on-site interviews, civil rights review, and corrective action plan for each full-time certification office.

RETENTION: Retain 3 years, then destroy.

(Note: Previous record series number was SOC-261.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-130.	**BUY-IN RECORDS:**	**07-063**

This series contains information concerning the State's Buy-In Account. (Buy-in is the term used in reference to the State's obligation to pay the Medicare premium for certain Title XIX recipients.) Information may include: names of individuals who are being accreted or deleted from the Buy-In, the effective dates of such actions, the premium amount, and various error messages identifying individuals who were not accreted or deleted by the system.

RETENTION: Retain paper copy 1 month in office, then destroy.

Retain COM 6 years in office, then destroy.

(Note: Previous record series number was SOC-194.)

DSS-131.	**DISABLED CHILD PROGRAM CASE FILES:**	**07-063**

This series contains case files for the Disabled Child Program. Information may include: application forms, computer forms, medical information, financial statements, and other related correspondence. This record series is maintained pursuant to 45 CFR CH. II 205.60.

RETENTION: Destroy 6 years after inactive 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 SOC-198.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-132.	**DISABILITY/INCAPACITY FILES:**	**07-063**

This series contains information used by the Disability/Incapacity Consultation Team to determine program eligibility due to incapacity or disability. Information may include: transmittals, social and medical reports, determinations and notices. Records are established for the following Social Service programs: TANF/Incapacity, Long Term Care, Retroactive Medical Payments, and the TANF Work Program. This record series is maintained pursuant to 45 CFR CH. II 205.60.

RETENTION: Destroy 6 years after inactive 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 SOC-199.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-133.	**REFUGEE REPORTS/CORRESPONDENCE:**	**07-063**

This series contains: Refugee Resettlement Federal Reports, Refugee Resettlement General Correspondence, and Refugee Resettlement Monthly Data Reports.

General Correspondence - This series is arranged chronologically and contains correspondence sent and received regarding the Refugee Resettlement Program.

Federal Reports - This series contains quarterly and annual reports submitted to the Office of Refugee Resettlement in Washington, D.C. These reports contain statistical data including number of active cases, increases, decreases, national origin, case county (adult and children), etc.

Monthly Data Reports - This series is filed chronologically and presents data on refugees arriving in the United States. Information includes recent arrivals, summary data, year to date tables, and refugee status.

RETENTION: Retain 6 years, then destroy.

(Note: Previous record series number was SOC-208.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-134.	**SS09 INTERIM PAYROLL:**	**07-063**

This computer printout is generated monthly and contains a listing of Assisted Living and Optional Supplement cases who were paid an interim warrant. Information may include: case name, number, address, warrant number, amount, and pay type.

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

Retain COM 6 years in office, then destroy.

(Note: Previous record series number was SOC-213.)

DSS-135.	**SUPPLEMENTAL SECURITY INCOME CONVERSION CASES:**	**07-063**

The federal government took this program over in 1981 and continues to deny destruction authority of these case files. Record volume no longer grows.

This series is arranged alphabetically by name of recipient and contains Supplemental Security Income files for individuals for whom the State is making payment. Information may include: county, name and address, case number, social security number, claim number, medical information, application date, basic supplemental security income amounts, and converted amounts. This record series is used to document the State's payment to these individuals. The federal government is now responsible for these payments.

RETENTION: Retain indefinitely until federal approval has been granted for disposal of records.

(Note: Previous record series number was SOC-219.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-136.	**COMPUTER REPORTS, VARIOUS:**	**07-063**

This series is arranged chronologically and contains quality control reports relating to the review of the determination of food stamp eligibility. Reports may include, but are not limited to: weekly disposition lists and monthly random samples. This record series is maintained for reference when conducting compliance audits.

RETENTION: Retain 3 years, then destroy.

(Note: Previous record series number was SOC-306.)

DSS-137. QUALITY CONTROL REVIEW SCHEDULES: **07-063**

This series is arranged alphabetically by name of client and contains review schedules that are the data entry form for quality control review of food stamp case files. This record series is used for fully integrated, partially integrated, or separate quality program review documentation.

RETENTION: Destroy 5 years after end of sample month.

(Note: Previous record series number was SOC-307.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-138.	**WORKSHEETS FOR REVIEW, POSITIVE/NEGATIVE:**	**07-063**

This series is arranged alphabetically by name of recipient and contains continuous reviews of TANF, Food Stamps, and Medicaid recipients. Information may include: name of recipient, worksheets, field investigations, payment amounts, permissible State practices, eligibility findings, and payment status. The worksheets are used to document and evaluate each step of the full field investigations to determine eligibility and amount of payments available under State practice. This record series is used to substantiate findings of the worksheet.

RETENTION: Destroy 5 years after end of sample month.

(Note: Previous record series number was SOC-309.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-139.	**DAKOTA EBT CARD ISSUANCE LOG (DSS-EA-352):**	**07-063**

This series is arranged chronologically and contains Dakota EBT card issuance log (DSS-EA-352). Information may include: case name, case number, card number, replacement card, client/authorized representative signature, verify ID, and worker's initials. This record series is used to account for and document the issuance of cards.

RETENTION: Retain 4 years, then destroy.

(Note: Previous record series number was SOC-366.1.)

DSS-140.	**DAKOTA EBT CARD STOCK ADVICE OF TRANSFER:**	**07-063**

This series is arranged chronologically and contains a copy of Dakota EBT card stock advice of transfer. Information may include: county name and number, address, first card number, last card number, batch number, number of cards/sleeves, date of transfer, signature of authorized transferring official, date of receipt, and signature of authorized receiving official. This record series is used to account for and document the receipt of cards from the EBT State Office. The original is maintained by the EBT State Office for four years.

RETENTION: Retain 1 year, then destroy.

(Note: Previous record series number was SOC-366.2.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-141.	**FOOD STAMP ONLY CASE FILES:**	**07-063**

This series is arranged numerically by case number and contains all related documentation for food stamp recipients. Information may include: food stamp application, income verification, individual participant records, and related correspondence. This record series is maintained to review and to document the application and subsequent verification of eligibility to participate in the Food Stamp Program. Information is maintained pursuant to 7 CRF 271.1 (f).

RETENTION: Retain 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 SOC-382.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-142.	**CASE FILES, MEDICAL ELIGIBILITY:**	**07-063**

This series is arranged alphabetically by client name and contains medical services case files. Information may include: client application, consent to release information, review forms, narrative, and related correspondences. This record series is used to document the eligibility and services provided to each client by the Title XIX program. Information is maintained pursuant to 45 CFR CH. II 205.60.

RETENTION: Destroy 4 years after inactive 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 SOC-393.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-143.	**CLIENT FILES, TANF ASSISTANCE PAYMENTS:**	**07-063**

These files are divided into six sections: current eligibility history, support services, payment verification, corrective action, and post eligibility. Information may include: narratives, forms, related correspondence, child support information, and other related data. This record series is maintained to review and document services provided to each client. Information is maintained pursuant to 45 CFR CH. II 205.60.

RETENTION: Destroy 4 years after inactive 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 SOC-367.)

DSS-144.	**REGULAR TANF PAYROLL VOUCHER REPORT (SW10JS01):**	**07-063**

This computer printout series is generated daily and contains the regular TANF payroll voucher report. Information may include: county name, program name, case number, payee name, address, special fees, warrant number, grant amount, and date. This record series is used to verify the payment which will be issued to the TANF recipients.

RETENTION: Retain 1 month, then destroy.

(Note: Previous record series number was SOC-372.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-145.	**CUSTOMER CASE FILES, STFRP:**	**07-063**

This series is arranged numerically by case number and contains all related documentation for Sales Tax on Food Refund Program (STFRP) recipients. Information may include: Sales Tax on Food Refund Program applications, addendums, quarterly reports, and related correspondence. This record series is maintained to review and document the application; and subsequent verification of eligibility to participate in the Sales Tax on Food Refund Program.

RETENTION: Retain 4 years, then destroy 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
DSS-146.	**CASE MANAGERS REPORT (SS34JS14):**	**07-063**

This monthly printout (SS34JS14) series is arranged alphabetically and contains a listing of all TANF cases that have an Employment Specialist (ES) assigned. Information may include: client name, program type, city, SSN, case number, narrative, eligibility dates, and case status. This record series is maintained for better case management of individual ES caseloads.

RETENTION: Retain current. Destroy superseded or obsolete.

(Note: Previous record series number was SOC-316.)

DSS-147.	**CORRESPONDENCE, TANF CLIENT FILES:**	**07-063**

This series contains letters written to the Department regarding Temporary Assistance for Needy Families recipients or from the general public requesting information; and responses from the Department. Information is used to determine if the agencies are receiving several letters regarding the same client or regarding the same issues and are taking corrective action as necessary. It also documents the agency's response to inquiries and is maintained for reference purposes.

RETENTION: Retain 3 years, then destroy.

(Note: Previous record series number was SOC-197.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-148.	**E & T WORK REGISTRANT LISTING (SS34JS19):**	**07-063**

This monthly printout (SS34JS19) series is arranged alphabetically and contains a listing of all Employment and Training (E & T) registrants for Food Stamps. Information may include: county, client name, SSN, case number, and Benefits Specialist name. This records series is used for managing the number of E & T recipients and caseload size by county.

RETENTION: Retain current. Destroy superseded or obsolete.

(Note: Previous record series number was SOC-315.)

DSS-149.	**RECIPIENT RECEIVING CWEP PAYMENTS REPORTS:**	**07-063**

This computer printout series is generated monthly and lists recipients who receive a Community Work Experience Program (CWEP) allowance. Information may include: case name, case number, regular or interim payroll covered month, and amount. The report is used to detect problems and possible erroneous payments.

RETENTION: Retain 6 years, then destroy.

(Note: Consider receiving data on computer output microfiche (COM) instead of paper and maintaining fiche in office the entire 6 years prior to disposal.)

(Note: Previous record series number was SOC-320.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-150.	**SUPPORTIVE SERVICE MONTHLY WARRANT REPORT (SS34JS12):**	**07-063**

This computer printout (SS34JS12) series contains a listing of all supportive service warrants paid by total and by type. Information may include: months, number of recipients, and number of payments. This record series is maintained for managing the use of supportive services by type and the number of recipients receiving each type of payment as well as monitoring the amount of money paid out for each type of supportive service.

RETENTION: Retain 1 year, then destroy.

(Note: Previous record series number was SOC-325.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-151.	**ADMINISTRATIVE REFERENCE FILES:**	**07-063**

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; 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: FEDERAL CORRESPONDENCE: 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.

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

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

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-152.	**ADD-PAYMENT ADJUSTMENTS:**	**07-063**

This series is arranged chronologically and contains payments made throughout the year which require special handling. Information may include: claim forms, supporting documentation, and reason for special handling. This record series is maintained for processing and reference purposes.

RETENTION: Retain 6 State fiscal years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

When litigation or audit is complete maintain an additional 3 state fiscal years, then destroy.

(Note: Previous record series number was SOC-414.)

DSS-153.	**CLAIMS AND PAYMENTS, MISCELLANEOUS:**	**07-063**

This series is arranged chronologically and contains miscellaneous claims and payments received throughout the year which required special handling. Information may include: claim forms, supporting documentation, and reason for special handling. This record series is maintained for processing and reference purposes.

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.

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

(Note: Previous record series number was SOC-289.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-154.	**CONSENT FORMS:**	**07-063**

This series is arranged alphabetically and contains surgical consent forms. The adequate consent forms are first followed by inadequate forms. Information may include: the Medicaid sterilization/hysterectomy consent forms containing the recipients signature for consent to sterilization/hysterectomy, interpreter's statement, statement of person obtaining consent, physician's statement, and date the procedure is to be performed. This record series is maintained for reference and audit purposes.

RETENTION: Retain 8 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 SOC-411.)

DSS-155.	**COMPLETED PENDING CLAIMS:**	**07-063**

This series is arranged chronologically, then numerically and contains the daily and weekly pending audit trail, which indicates the pending resolution (supporting documentation attached if necessary). Information may include: claim reference number, recipient number, recipient name, provider number, provider name, total charges, date of service, drg, type of service, diag code, procedure code, place of service, number of services, and override codes. The record series is maintained for processing and reference purposes.

RETENTION: Retain 7 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 SOC-412.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-156.	**ELECTRONIC MEDIA CLAIMS (EMC) (SW85JS25, 36, 37, 38, 39, 46):**	**07-063**

This computer output microfiche (COM) series is generated weekly and provides a listing of claim information submitted by providers using some type of electronic media (magnetic tape, floppy disk, etc.) rather than paper. Information may include: run date, name of client, name of provider, client and provider identification, charges, and miscellaneous data for claims. This record series is maintained for reference concerning amounts paid.

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

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

(Note: Previous record series number was SOC-290.)

DSS-157.	**GRANTS AND STATE PLANS:**	**07-063**

This series is arranged by grant or state plan and contains information used for application, administration, monitoring, and reporting of the grants and state plans administered by the department. Information may include: state plans, amendments and updates to state plans, application materials, correspondence, RFP's, attachments, surveys, federal review materials, and grant awards. This record series is maintained for audit purposes.

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

ALL OTHER INFORMATION: Retain 6 years, then destroy provided 3 years have passed since the date of the submission of closure of the single audit report, which covers the grant period; and 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
DSS-158.	**HOSPICE ELECTION FORMS:**	**07-063**

This series is arranged chronologically, then alphabetically and contains hospice election forms and related documents for recipients who choose hospice care. These files/forms show that the recipient has selected hospice service. Information may include: hospice election forms, certificates of terminal illness, plans of care and other medical information, and correspondence. This record series is maintained to verify coverage and 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.

DSS-159.	**MARS REPORTS (SW86JW57/SW86TT57):**	**07-063**

Management and Administrative Reporting Systems (MARS)

This computer output microfiche (COM) series is arranged chronologically and consists of a large number of management activity reports used in the administration of the Medicaid program. Information may include: financial status, expenditure analysis, provider participation, claims process performance analysis, nursing home cost analysis, third party payments, drug usage analysis, client participation, cost sharing summary, IHS services, renal services, sterilizations, and federal data. This record series is maintained for reference and is used for the administration of the program.

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 SOC-291.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-160.	**MEDICAID MANAGED CARE PROVIDER FORM:**	**07-063**

This series is arranged chronologically and contains actual claims received from Medicaid recipients choosing a Primary Care Provider(s) for themselves and/or their dependents. Information may include: recipient name(s), Medicaid ID number(s), and provider name(s) and number(s). This record series is used for verification purposes to indicate recipient choice of their Primary Care Provider(s) for themselves and/or their dependents.

RETENTION: Retain 6 State fiscal years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

When litigation or audit findings of the records are complete maintain an additional 3 state fiscal years, then destroy.

(Note: Previous record series number was SOC-415.)

DSS-161. MEDICAL ELIGIBILITY LISTING (SW87JS07): **07-063**

This computer output microfiche (COM) report is generated monthly and provides an alphabetical listing by client name and a numeric listing by identification number of individuals eligible for medial assistance during the month. Information may include: name of recipient, identification number, case status, dates of eligibility, date of birth, social security number, and health insurance indicator. This record series is maintained for reference to determine the date the individuals were eligible for assistance.

RETENTION: Retain 6 years, then destroy provided no litigation or audit is pending.

When litigation or audit is complete maintain for an additional 3 years then destroy.

(Note: Previous record series number was SOC-292.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-162.	**MEDICAL REVIEW SURGICAL REPORTS:**	**07-063**

This series is arranged alphabetically by recipient name and contains information that pertains to medical services submitted for processing. Information may include: claim form, operative report, supporting documentation, and determination of payment from Medicaid's medical consultant. This record series is maintained for processing and reference purposes.

RETENTION: Retain 6 State fiscal years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

When litigation or audit findings of the records are complete maintain for an additional 3 state fiscal years, then destroy.

(Note: Previous record series number was SOC-416.)

DSS-163. MEDICAL PROVIDER CLAIMS: **07-063**

This series is arranged chronologically and contains actual claims received from medical providers requesting payment for services rendered to eligible recipients. Information may include: name of provider, name of recipient(s), identification number, description of service, and total amounts due. This record series is used for verification purposes and to initiate the payment process for the eligible hospitals, physicians, pharmacies, dentists, and other providers.

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.

When litigation or audit is complete maintain for an additional 3 years then destroy.

(Note: Previous record series number was SOC-293.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-164.	**PAID CLAIMS HISTORY REPORTS (SW85JM45):**	**07-063**

This computer output microfiche (COM) series is generated monthly and provides a listing of paid claims broken down by provider sequence and by recipient number. Information may include: provider number, recipient number, dates of service, types of claims, claim reference and numbers, prescription/diagnostic number, NDC/procedure/tooth codes, units/type/place of service, date paid, and amount paid. This record series provides a history of all paid claims for the previous fifteen months and is used for reference purposes to insure duplicate claims are not paid.

RETENTION: Retain 6 years, then destroy provided no litigation or audit is pending.

When litigation or audit is complete maintain for an additional 3 years then destroy.

(Note: Previous record series number was SOC-297.)

DSS-165.	**PREMIUM ASSISTANCE FILES:**	**07-063**

This series is arranged chronologically, then alphabetically and contains the case files for those who qualify for the Premium Assistance Program. For those eligible, Medicaid pays the premium cost for private health insurance for the individual in order to lessen Medicaid's cost. Information may include: notes from telephone conversations, correspondence, financial information, private health insurance information, and medical information. This record series is maintained to verify coverage and 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.

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-166.	**PROCESSING REPORTS, DAILY/WEEKLY (SW85JM30/SW89JM33):**	07-063

Weekly Claims-This computer output microfiche (COM) series is generated weekly and summarizes warrant registers concerning claims paid, weekly denied claims, report, and weekly pending reports. Information may include: warrant number, payee, amount, BA/MSA codes and expenditure amounts, claim information, reason for denial of certain claims, and claim information and reason for pending claims. This record series is used for reference to determine the status of various claims processed throughout the week.

Daily Claims-This computer output microfiche (COM) series is generated daily and provides a summary of daily pending claims, of reference file changes, of claim dispositions, and of coordination of benefits or TPL reports. Information may include: provider and recipient identifiers, service dates, reference numbers, codes identifying problems on pending claims, before and after images of reference files, reference numbers and status of claims entered into the system, and claimant information versus recipient information on the COM report. This record series is maintained for reference to document all changes made to the system.

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.

When litigation or audit is complete maintain for an additional 3 years then destroy.

(Note: Previous record series number was SOC-298.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-167.	**PROVIDER AGREEMENTS, ACTIVE:**	**07-063**

This series is arranged alphabetically and contains copies of agreements made between the program and individuals/companies who have agreed to provider services. Information may include: terms and conditions of the agreements, effective dates, assigned provider number, and authorized signatures. All provider agreements are maintained in the office for reference and audit purposes.

RETENTION: Destroy 6 years after termination.

(Note: Previous record series number was SOC-299.)

DSS-168.	**REFUNDS AND WARRANTS:**	**07-063**

This series is arranged chronologically and contains documentation of miscellaneous payments or returned payments from throughout the year. Information may include: written correspondence received, claim forms, and supporting documentation for returned payments. This record series is maintained for processing and reference purposes.

RETENTION: Retain 6 State fiscal years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

When litigation or audit findings of the records are complete maintain for an additional 3 state fiscal years, then destroy.

(Note: Previous record series number was SOC-417.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-169.	**REMITTANCE ADVICE REPORTS (SW85JM3L):**	**07-063**

This computer output microfiche (COM) series is generated weekly and provides a listing of warrants issued to providers. Information may include: pay period, claim numbers, claim amounts, warrant number, and amounts. The information is provided to providers to inform them of claims which have been paid and the warrant numbers and amounts for each.

RETENTION: Retain 6 years, then destroy.

(Note: Previous record series number was SOC-300.)

DSS-170.	**RENAL SERVICE LIMIT MONITORING REPORT (SW85JS53):**	**07-063**

This computer output microfiche (COM) report is generated weekly and provides service limit data on Renal recipients. Information is arranged numerically and includes: recipient name, service dates, service limits, service amounts used, and service amounts remaining.

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 SOC-301.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-171.	**SURS INVESTIGATION CASE RECORDS:**	**07-063**

Surveillant Utilization Review Subsystems (SURS)

This series is arranged numerically by recipient number and/or provider number. It contains investigations of possible misuse of program services. Information includes: name and number of provider/recipient, dates and description of case activities, and case documentation. This record series is used for possible reference to original documents in cases due to provider appeal, new case opening, and request of court.

RETENTION: Destroy 6 years after closed 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 SOC-303.)

DSS-172.	**SURS PROVIDER REPORTS (SW92JM13):**	**07-063**

Surveillant Utilization Review Subsystems (SURS)

This quarterly generated report is arranged chronologically and contains statistics related to peer groups and individual participants. Information may include: specific provider exceptions, recipient exceptions, and information the federal government may request during an audit. This record series is used in surveillance and utilization reviews of provider payments to detect or reduce fraud, abuse, or waste.

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.

(Note: Previous record series number was SOC-304.)

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
DSS-173.	**SURS RECIPIENT REPORTS (SW92JM34):**	**07-063**

Surveillant Utilization Review Subsystems (SURS)

This quarterly generated report is arranged chronologically and contains statistics related to peer groups and individual recipients. Information may include: specific recipient exceptions, provider exceptions, and required monitoring information the federal government may request during an audit. This record series is used for surveillance and utilization review of provider payments to detect or reduce fraud, abuse, or waste.

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.

(Note: Previous record series number was SOC-305.)