



BOARD OF
NURSING FACILITY
ADMINISTRATORS

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF
EXECUTIVE MANAGEMENT

**BUREAU OF
ADMINISTRATION**

PMB 01234

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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: January 8, 2010

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

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

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

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

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

DEPARTMENT: Health
DIVISION: Boards
OFFICE: Nursing Facility Administrators
PROGRAM: _____
RECORDS OFFICER: Kari Weisbeck
RM CUSTOMER #: 1194

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

NFA-1. ADMINISTRATIVE REFERENCE FILES:

07-046

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, general correspondence and property management information; monthly reports; research materials; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; and other related information. This record series is maintained for reference purposes.

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

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

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NFA-2. ADMINISTRATIVE RULES PROMULGATION FILES:

07-046

This series is arranged by subject matter and contains administrative rules promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comment from the public, transcripts of hearings, and final decisions. Files have little reference activity once the hearing has been held unless someone requests a copy of the transcript. This record series is maintained for documenting the proper promulgation of administrative rules pursuant to SDCL 1-26.

RETENTION: FINAL DECISIONS: Retain permanently in office.

ALL OTHER DOCUMENTATION: Retain in office for as long as rules are in effect, then destroy.

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

(Consider maintaining on microfilm instead of paper and destroying paper after microfilm has been inspected and verified to meet quality standards.)

(Note: Previous record series number was NH-1.)

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NFA-3. ASSOCIATION FILES:

07-046

This series is arranged chronologically and contains current correspondence and newsletters from professional associations to which the Board of Examiners for Nursing Facility Administrators belongs. Information may include: minutes of association meetings, conference agendas, expense reports, participants names, and other state nursing facility legislation. This record series is used for reference purposes concerning ideas and policies suggested and used by these associations.

RETENTION: Retain 2 years in office, then destroy.

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

NFA-4. AUDIT REPORTS:

07-046

This series is arranged chronologically and contains Legislative Audit reports concerning the expenditure and administration of funds. Information may include: cover letters, statement of assets, revenues and expenditures, change of fund cash balances, and observations and recommendations. This record series is maintained for identifying problem areas and discrepancies so that corrective measures may be implemented.

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

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

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NFA-5. BOARD MEMBER FILES:

07-046

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

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

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

NFA-6. CASH RECEIPT TRANSMITTALS:

07-046

This series is arranged chronologically and contains the standard forms used to deposit funds into the State Treasury. Information may include: date, agency name, agency number, accounting codes, memorandums, dollar amounts, total deposits, and authorized signatures. The record series is maintained for documenting and crediting each account with the amounts deposited.

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

(Note: The State Treasurer's Office maintains the originals.)

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

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NFA-7. COMPLAINT FILES:

07-046

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

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

SUBSTANTIATED: Retain substantiated until case closed, then transfer to the respective "License Files, Nursing Facility Administrators" file, and maintain for 5 years after license expiration. Destroy 5 years after license expiration provided no litigation is pending.

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

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NFA-8. CONTINUING EDUCATION PROGRAM RECORDS:

07-046

This series is arranged numerically by date, which is approved annually to offer continuing education courses in nursing facility administration. Information may include: school or seminar name, course information, sample of text or handouts, correspondence, course outline, names of participants, date, and credit given. This record series is used to certify qualified classes, and review course data. The names of participants who have successfully completed the course is placed in their "License Files, Nursing Facility Administrators".

RETENTION: Retain 3 years in office, then destroy.

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

NFA-9. CONTRACTS AND AGREEMENTS:

07-046

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

RETENTION: Retain current in office. Destroy 6 years after terminated provided no litigation is pending.

(Note: SDCL 1-24A-1 requires consulting contracts be filed with the State Auditor.)

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

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NFA-10. EXAMINATION FILES:

07-046

This series is arranged chronologically and contains information on individuals taking the nursing facility administrator examinations. Information may include: names, addresses, testing firm scores, raw scores, national cut scores, test ID numbers, test location, and test date. This record series is used to document examination results, and for annual reporting purposes. Results are added to each respective "License Files, Nursing Facility Administrators".

RETENTION: Retain 2 years in office, then destroy.

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

NFA-11. FINANCIAL STATEMENTS:

07-046

Financial statements provide an overview of the agency's financial condition for a given year. Information may include: balance sheets, statement of revenues, expenditures, and changes in fund balances (budgeted and actual); statement of fixed assets; summary of significant accounting procedures; supplemental information and working papers. This record series is maintained for reference and audit purposes.

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

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

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NFA-12. LICENSE FILES, NURSING FACILITY ADMINISTRATORS:

07-046

This series is arranged alphabetically by last name and documents personal data for licensed nursing facility administrators. Information may include: original applications, college grade transcripts, renewal applications, verification of most current continuing education units, and verification of experience. This record series is used to document the licensing and renewal processes of all nursing facility administrators.

RETENTION: Retain in office for 1 year after expiration then transfer to storage for 4 years. Destroy 5 years after expiration.

(Note: Consider microfilming when volume warrants.)

(Note: Previous record series number was NH-13.)

NFA-13. MINUTES, BOARD OF EXAMINERS FOR NURSING FACILITY ADMINISTRATORS:

07-046

This series is arranged chronologically and contains the official minutes of the Board meetings. Information may include: dates of meetings, members present, topics discussed, and actions taken. This record series is used for occasional reference and documentation purposes.

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

(Note: Previous record series number was NH-14.)

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NFA-14. RECEIPT BOOKS:

07-046

This series is arranged chronologically and contains forms issued to document the receipt of money. Receipts are pre-numbered and may include: date money was received, amount received, funds and accounts to be credited, the amount to be credited, and signature of the person receiving the money. This record series is maintained for audit purposes.

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

(Note: Previous record series number was NH-15.)

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NFA-15. SOUTH DAKOTA FINANCIAL SYSTEM REPORTS:

07-046

These daily, weekly, monthly**, and year-end** Computer Output Microfiche (COM) reports are used to monitor and reconcile fiscal year receipts and expenditures. Information is may include: revenue and journal voucher reports*, open purchase order reports, available funds reports* revenue analysis reports, state general ledger trail balance*, company general ledger trial balance*, expenditure reports*, bank reconciliation reports*, employee receivable reports*, warrant register reports*, encumbrance detail reports*, accounts payable reports*, projects reports*, cash center reports*, object/sub-object reports*, budget adjustments reports, Special Bureau of Administration revenue reports, agency funds activity reports*, company 8,000 trail balance by center*, encumbrance balance report*, and special travel expenditure reports. This record series is maintained for audit purposes.

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

(Note: the asterisk (*) indicates reports maintained permanently on microfilm or COM by the Bureau of Finance and Management. (**) Many of the June monthly reports serve as the year-end reports.)

(Note: Previous record series number was NH-16.)

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NFA-15.1. SURPLUS PROPERTY FILES:

09-012

This series contains the form submitted to the director of South Dakota Property Management for approval to dispose of State-owned personal property and the written notification received from Property Management designating the manner of disposal. Information may include: agency name; date; address or location of property; phone number; name of individual requesting; Property Management Officer's name; description of item(s); quantity; serial number; equipment number; desired method of disposal as authorized; reason for declaring property as surplus; estimate of current value; suggested selling price; minimum acceptable price; statement of content; fixed asset number, if applicable; and any other information deemed necessary. This record series is maintained pursuant to SDCL 5-24A.

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

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NFA-16. VOUCHERS:

07-046

This series is arranged chronologically and may contain copies of travel, non-cash, direct, receiving, and journal vouchers. Information may include: purpose of the expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. This record series is maintained for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes. Audit copies of vouchers may also include attachments such as purchase orders, requisitions, invoices, and packing slips.

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

(Note: Previous record series number was NH-17.)