



UNIFIED JUDICIAL SYSTEM

SUPREME COURT

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589



DEPARTMENT OF
EXECUTIVE MANAGEMENT

BUREAU OF
ADMINISTRATION

PMB 01234

RECORDS MANAGEMENT PROGRAM
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MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: December 16, 2011

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

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

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

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

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, DJ Hanson (name), acting in my position as State Court Administrator (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 Unified Judicial System (Supreme Court) (department) consists of 32 pages and contains record series number(s) UJS-1 (consecutively re-numbered) through UJS-48.

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 Unified Judicial System (Supreme Court) (department) record series numbers(s) UJS-1, UJS-9, UJS-14, UJS-19, UJS-21, UJS-23 thru UJS-25, UJS-31, UJS-39, UJS-41 thru UJS-43, UJS-46, UJS-47, UJS-49 thru UJS-52, UJS-56 thru UJS-64, UJS-71 thru UJS-74, UJS-76, UJS-77, and UJS-79 thru UJS-82.

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.


DJ Hanson, State Court Administrator

12/6/07
Date

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


Dana Hoffer, State Records Manager

12/17/07
Date

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

12-18-07
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Patricia Duggan (name), acting in my position as State Court Administrator (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 Unified Judicial System (Supreme Court) (department) consists of 1 page and contains record series number(s) UJS-37.1.

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 Unified Judicial System (Supreme Court) (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.

Patricia Duggan
Patricia Duggan, State Court Administrator

12/10/08
Date

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

Dana Hoffer
Dana Hoffer, State Records Manager

12-11-08
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 11th day of December, 2008, and authorized the destruction of the records described in the foregoing Petition at the expiration time provided for their storage.

Steve P. Stover
Signature, Chairman of the Board

12-11-08
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Pat Duggan (name), acting in my position as State Court Administrator (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 Unified Judicial System (Supreme Court) (department) consists of 6 pages and contains record series number(s) UJS-1A, UJS-16, UJS-26, UJS-34, UJS-32, UJS-22, and UJS-33.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Unified Judicial System (Supreme Court) (department) record series numbers(s) UJS-27, UJS-28, UJS-29, and UJS-30.

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.

Pat Duggan
Pat Duggan, State Court Administrator

11-8-10
Date

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

Dana Hoffer
Dana Hoffer, State Records Manager

12-14-2010
Date

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.

Successor Duval
Signature, Chairman of the Board

12/15/10
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

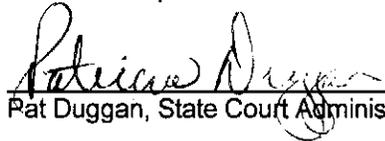
I, Pat Duggan (name), acting in my position as State Court Administrator (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Unified Judicial System (Supreme Court) (department) consists of 2 pages and contains record series number(s) UJS-32, and UJS-33.

The authority requested is to destroy each record described in the attached Schedule at the expiration of the time provided for the retention of each record.

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Unified Judicial System (Supreme Court) (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.



Pat Duggan, State Court Administrator

11-22-11

Date

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



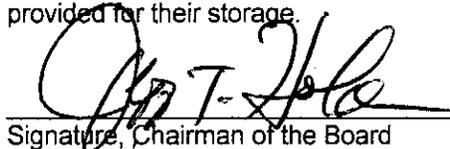
Dana Hoffer, State Records Manager

12-7-2011

Date

DESTRUCTION AUTHORITY th

I hereby certify that the State Records Destruction Board met on the 15 day of December, 2011, 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

12-15-11

Date

TABLE OF CONTENTS

SUPREME COURT:

Supreme Court:

| | |
|-----------------------------------|---|
| UJS-1A. ATTORNEY FILES: | 1 |
| UJS-1. SUPREME COURT FILES: | 1 |

Office: State Court Administrator

State Court Administrator:

| | |
|--|---|
| UJS-2. ANNUAL REPORT (BENCHMARK): | 2 |
| UJS-3. CIVIL CASE SUMMARIES (UJS-105): | 2 |
| UJS-4. CONFERENCE FILES: | 3 |
| UJS-5. CORRESPONDENCE, CIRCUITS: | 3 |
| UJS-6. CORRESPONDENCE, GENERAL: | 4 |
| UJS-7. LEGISLATION FILES: | 4 |
| UJS-8. MEETING FILES, PRESIDING JUDGES: | 5 |
| UJS-9. MINUTES, ADMINISTRATORS CONFERENCE/PRESIDING JUDGES: | 5 |
| UJS-10. NEWSLETTERS: | 6 |
| UJS-11. POLICIES AND PROCEDURES: | 6 |
| UJS-36. TRAVEL REQUESTS, OUT-OF-STATE: | 7 |

Budget and Finance:

| | |
|--|----|
| UJS-12. ACCOUNTING SUMMARIES: | 8 |
| UJS-13. AUDIT REPORTS: | 9 |
| UJS-14. BUDGET FILES: | 10 |
| UJS-15. BUDGET REQUESTS: | 10 |
| UJS-16. BUDGETARY ACCOUNTING/MSA REPORTS: | 11 |
| UJS-17. CASH RECEIPTS: | 12 |
| UJS-18. CONTRACTS AND AGREEMENTS: | 13 |
| UJS-19. CORRESPONDENCE, GENERAL: | 14 |
| UJS-20. FINANCIAL STATEMENTS: | 14 |
| UJS-21. OUTSIDE INCOME REPORTS, COURT REPORTERS: | 15 |
| UJS-23. REQUISITIONS, CAPITAL ASSETS: | 15 |
| UJS-23.1. SURPLUS PROPERTY FILES: | 16 |
| UJS-24. VOUCHERS: | 17 |

Human Resources:

UJS-25. APPLICATION RECORDS, UNSUCCESSFUL: 18
UJS-26. APPOINTMENTS, LAW TRAINED MAGISTRATES: 19
UJS-31. EQUAL EMPLOYMENT OPPORTUNITY RECORDS: 20
UJS-34. JOB ANNOUNCEMENT LOG: 20
UJS-32. PERSONNEL FILES: 21
UJS-22. PERSONNEL/PAYROLL REPORTS: 22
UJS-33. PERFORMANCE PLANNING AND REVIEW (PPAR): 22

Information and Technology:

UJS-37. BILLINGS, BIT: 23
UJS-37.1. CORRESPONDENCE, GENERAL: 23
UJS-38. REPORT OF DISPOSITION FROM CRIMINAL DOCKETS AND
SC26JS55 FILINGS AND DISPOSITIONS BY SDCL: 24
UJS-39. SYSTEM DOCUMENTATION BOOKS: 25
UJS-40. SYSTEM DOCUMENTATION PROGRAM COMPILES: 25

Trial Court Services:

UJS-41. ACTIVE CASELOAD REPORTS, JUVENILE/ADULT: 26
UJS-42. ACTIVITY REPORTS, COURT SERVICES OFFICERS,
JUVENILE/ADULT: 27
UJS-43. ADULT REFERRAL ACTION REPORTS: 28
UJS-44. CORRESPONDENCE, GENERAL: 29
UJS-45. JUVENILE REFERRAL ACTION REPORTS: 29
UJS-46. TRAINING FILES, COURT OFFICERS: 30
UJS-47. VOUCHERS: 30
UJS-48. WORK LOAD ACTIVITY SYSTEM REPORTS: 31

State Court Training:

UJS-35. TRAINING FILES: 32

EMAIL AND ELECTRONIC DOCUMENT MANAGEMENT POLICY:

If an email or electronic document qualifies as a record pursuant to SDCL 1-27-9, it must be filed and maintained in accordance with the records retention and destruction schedule as determined by content of the document just as any paper record would be managed. To avoid duplication of efforts, the person sending the email or creating the electronic document from within the Unified Judicial System is responsible for ensuring that it is retained according to this schedule. If the email or electronic document is received from an outside entity the recipient within UJS is responsible for ensuring the record is retained as provided by this schedule. Employees must actively manage their email and electronic documents just as they manage their paper records. Email and electronic documents may be managed and stored in an electronic format or through paper documentation. If retained only in electronic format, the records need to remain accessible for the entire retention requirement. Email and electronic documents that do not qualify as a record under SDCL 1-27-9 may be deleted in the ordinary course of business. Note: Record, whether electronic or paper, relevant to pending or reasonably anticipated litigation must be preserved even if the schedule allows for its destruction. Such records are subject to a litigation hold by the UJS Legal and Legislative Counsel.

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-1A. ATTORNEY FILES:

10-016

This series is arranged chronologically by year and contains attorney files maintained by the Supreme Court Clerk of Court. Information may include, but is not limited to: applications, National Conference of Bar Examiner's request for preparation of character report, character and fitness information, various letters from the Board of Bar Examiners, DCI criminal history background check, letters from clerks' offices, admittance materials, orders admitting applicants to the State Bar, photographs of applicants, scores from tests if they failed the exam before they were admitted, Bar applications from other States if they were admitted there, and reference materials. This record series is maintained in case there is disciplinary actions or transfer to another State.

RETENTION: Retain permanently or microfilm, as directed by SCAO.

UJS-1. SUPREME COURT FILES:

07-067

This series is arranged chronologically by year and contains Supreme Court action files. Information may include: summons, satisfactions, complaint, answers of the parties, orders, motions. Statements of judge, disqualifications, briefs, transcripts if requested, judgment, notice of appeal, and all other information pertinent to the case. This record series is maintained for reference and audit purposes.

RETENTION: Retain permanently or microfilm, as directed by SCAO.

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-2. ANNUAL REPORT (BENCHMARK):

07-067

This series is arranged chronologically and contains the yearly report published by the program summarizing all court activities. Information may include: overviews, caseload data, personnel listings, staffing allegations, receipts and disbursements both statewide and by county, and caseloads both statewide and by county. This record series is compiled yearly and published to provide interested individuals of the summary of court activity.

RETENTION: Retain 10 years in office, then destroy.

(NOTE: File thirteen copies of the publication with the State Library pursuant to SDCL 14-1A-3; and one copy with State Archives.)

(Note: Previous record series number was UJS-30.)

UJS-3. CIVIL CASE SUMMARIES (UJS-105):

07-067

This series is arranged numerically by circuit number and alphabetically by county within each circuit and gives a monthly summary of civil court case activity. Information may include: circuit number, name of county, month, year, number of civil cases a month, number to date, and court actions by judge. This record series is used to provide a monthly summary of civil court activity and to monitor for bottlenecks in caseloads.

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

(Previous record series number was UJS-55.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-4. CONFERENCE FILES:

07-067

This series is arranged alphabetically by name of conference and may contain information concerning conferences officials have attended concerning judicial administration. Information may include: agendas, handouts, seminar materials, classroom notes, lectures, brochures, and other related information. This record series is maintained for possible implementation of suggested ideas and for reference purposes.

RETENTION: Retain 3 years in office, then destroy.

(Previous record series number was UJS-2.)

UJS-5. CORRESPONDENCE, CIRCUITS:

07-067

This series is arranged chronologically and contains both copies of letters and memorandums sent to the various circuits throughout South Dakota and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 3 years in office, then destroy.

(Previous record series number was UJS-3.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-6. CORRESPONDENCE, GENERAL:

07-067

This series is arranged chronologically and may contain both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 3 years in office, then destroy.

(Previous record series number was UJS-4.)

UJS-7. LEGISLATION FILES:

07-067

This series is arranged chronologically and constitutes the agency's central file of all proposed legislation and legislation from previous years. Information may include: resource materials, correspondence, Bill Tracking Printouts, copies of House and Senate bills, preliminary bill drafts, and the final drafts of proposed legislation. This record series is used for bill drafting, submission, and tracking during the legislative session.

RETENTION: Retain 2 years in office, then destroy.

(Previous record series number was UJS-5.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-8. MEETING FILES, PRESIDING JUDGES:

07-067

This series is arranged chronologically and contains information concerning the meetings of the presiding judges of the courts. Information may include: agendas, copies of minutes, handouts, correspondence, draft materials, and other related information concerning the minutes of this entity. This record series is maintained for reference concerning actions taken by the group.

RETENTION: Retain 6 years in office, then transfer to storage for 2 years. Destroy after 8 years.

(Previous record series number was UJS-6.)

UJS-9. MINUTES, ADMINISTRATORS CONFERENCE/PRESIDING JUDGES:

07-067

This ring-binder series is arranged alphabetically by group name and contains copies of minutes from each. Information may include: group name, dates of meetings, members in attendance, topics discussed, actions taken, and authorized signatures. This record series is maintained for reference concerning actions taken by each of the entities.

RETENTION: Retain in office permanently.

(NOTE: Consider microfilming when volume warrants.)

(Previous record series number was UJS-7.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-10. NEWSLETTERS:

07-067

This series is arranged chronologically and contains copies of the quarterly newsletters issued by the Unified Judicial System. Information may include: date, volume, topics, and items discussed. This record series is maintained for reference to document the substance of the newsletters and for reference when preparing new newsletters.

RETENTION: Retain 5 years in office, then destroy.

(NOTE: File thirteen copies of the publication with the State Library pursuant to SDCL 14-1A-3; and one copy with State Archives.)

(Previous record series number was UJS-8.)

UJS-11. POLICIES AND PROCEDURES:

07-067

This series is arranged alphabetically by procedure name and contains current procedures for each. Information may include: United Judicial System policies and procedures, Bureau of Personnel policies, Bureau of Finance and Management policies, and others. This record series is used to determine the proper course of action to take in certain situations.

RETENTION: Retain current in office. Transfer terminated to storage for 4 years. Destroy 4 years after terminated.

(Previous record series number was UJS-10.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Administrator
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

| <u>RECORD</u> <u>SERIES NO.</u> | <u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u> | <u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u> |
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UJS-36. TRAVEL REQUESTS, OUT-OF-STATE:

07-067

This series is arranged chronologically and is maintained on an Excel- spreadsheet program and may contain a paper record of the out-of-state travel request form. Information may include: employee name, worksite, destination, purpose of trip, class, estimated travel expenses, and authorization signatures for travel. This record series is maintained to document proper authority was received prior to approving the expenditure for out-of-state travel.

RETENTION: Retain Excel spreadsheet in office permanently.

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

(Previous record series number was UJS-28.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

| RECORD SERIES NO. | <u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u> | R.D.B. AUTHORITY NUMBER |
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UJS-12. ACCOUNTING SUMMARIES:

07-067

This series is arranged alphabetically by name of county and contains accounting summaries submitted by clerks of courts for each county. Information may include: name of county, cash receipt journals summaries, cash disbursement journals, summaries, bank reconciliations, supporting ledger reconciliation records, accounts receivable ledger, cash bond detail report, accounts payable, restitution of receipts and dispersals, trust fund detail account summaries, and other accounts. This record series is summarized monthly or semi-monthly and forwarded to the budget and finance office for audit and account verifications.

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.

(Previous record series number was UJS-29.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

| <u>RECORD</u> <u>SERIES NO.</u> | <u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u> | <u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u> |
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UJS-13. AUDIT REPORTS:

07-067

This series contains both Department of Legislative Audit and private audit reports concerning the expenditure and administration of state funds. This record series contains the reports which are reviewed to identify problem areas and discrepancies so that corrective measures can be implemented. The auditing agency also maintains a copy of the report.

RETENTION: Retain 3 years in office, then destroy provided 1 year has passed since a new independent post-audit report has been received.

(NOTE: Legislative Audit maintains reports permanently in office on microfilm.)

(Previous record series number was UJS-32.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-14. BUDGET FILES:

07-067

This series is arranged chronologically and contains yearly budget summaries for the agency. Information may include: budget requests, budget drafts, operating budgets, and related working papers. This record series is used throughout the year in monitoring program activities and for preparing future budget requests.

RETENTION: Retain 3 years in office, then destroy.

(Previous record series number was UJS-33.)

UJS-15. BUDGET REQUESTS:

07-067

This series is arranged chronologically and contains the budget requests from the various programs throughout the department. Information may include: department hierarchy, dollar amount requested, justifications for increased request amounts, performance indicators, mission statements, goals and objectives, and revenue projections. This record series is used to formulate the newest budget request for the program and for reference to determine budget amounts from previous years.

RETENTION: Retain 3 years in office, then destroy.

(Previous record series number was UJS-34.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-16. BUDGETARY ACCOUNTING/MSA REPORTS:

10-016

These daily, weekly, monthly, and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures. Information may include, but is not limited to: Daily Revenue Journal Voucher Detail Report, Daily Transaction Register, Status Register, Advance Travel-Accounts Receivable, Monthly Revenue Journal Voucher Detail Report, General Ledger Trial Balance, Monthly Expenditure Report, Monthly Object/Subject Report, Payroll Distribution Register, and Available Funds Reports. This record series is maintained for reference and audit purposes.

RETENTION: Retain daily and monthly reports 1 year in office, then destroy.

Retain yearly report and Payroll Distribution Register in office 4 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Previous record series number was UJS-35.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-17. CASH RECEIPTS:

07-067

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

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.

(Previous record series number was UJS-36.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-18. CONTRACTS AND AGREEMENTS:

07-067

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

RETENTION: Retain originals current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated.

Retain copies current in office. Destroy terminated.

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

(Previous record series number was UJS-37.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

| <u>RECORD</u> <u>SERIES NO.</u> | <u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u> | <u>R.D.B.</u> <u>AUTHORITY</u> <u>NUMBER</u> |
|------------------------------------|---|--|
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UJS-19. CORRESPONDENCE, GENERAL:

07-067

This series is arranged chronologically and may contains both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

(Previous record series number was UJS-38.)

UJS-20. FINANCIAL STATEMENTS:

07-067

Financial statements provide an overview of the department's financial condition for a given year. Information may include, but is not limited to: 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. The statements are maintained for reference and audit purposes.

RETENTION: Retain 4 years in office, then destroy

(Previous record series number was UJS-40.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-21. OUTSIDE INCOME REPORTS, COURT REPORTERS:

07-067

This series is arranged chronologically and contains the yearly reports submitted by court reporters which list all outside sources of income. Information may include: name of reporter, reporting period, gross income, expenses, net income, date submitted, and signatures. The information is submitted in accordance with SDCL 16-2-23 to list outside sources of income for these individuals.

RETENTION: Retain 4 years in office, then destroy.

(Previous record series number was UJS-44.)

UJS-23. REQUISITIONS, CAPITAL ASSETS:

07-067

This series contains the formal requests to order supplies or equipment. A copy is submitted to the State Procurement Office in Pierre which results in a Purchase Order being prepared and submitted to a vendor. Information may include: requesting agency, fund coding, authorized signatures, description of items or services, cost amounts, vendor name, quantity, and date of requisition. This record series is used for reconciliation and audit purposes.

RETENTION: Retain 4 years in office, then destroy.

(Previous record series number was UJS-48.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

RECORD

SERIES NO. TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE

**R.D.B.
AUTHORITY
NUMBER**

UJS-23.1. 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.

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Budget & Finance
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-24. VOUCHERS:

07-067

This series may contain copies of referee vouchers, non-cash, and journal vouchers. Each voucher includes: purpose of the expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. Vouchers are used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes.

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

(Previous record series number was UJS-53.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Human Resources
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-25. APPLICATION RECORDS, UNSUCCESSFUL:

07-067

This series is arranged numerically by job announcement number and contains the application and other related information used to interview potential employees for vacant positions. Information may include: job applications, equal employment opportunity slips, listing of individuals who have applied for the position, disposition of each, interview notes, and other related information. This record series is maintained for documentation purposes concerning the status and disposition of each vacant position. This record series is maintained for successful applicants in the respective "Personnel Files" in the Human Resources Office, SCAO, Pierre.

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

(Previous record series number was UJS-12.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Human Resources
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-26. APPOINTMENTS, LAW TRAINED MAGISTRATES:

10-016

This series is arranged by appointee's name and contains law trained magistrates appointments. Information may include: name, effective dates, and position to which appointed. This record series is maintained for reference to correspondence relating to the confirmation of appointment, with approval signatures, and are filed in each employee's personnel file in the Human Resources Office, SCAO, Pierre. Information is sent to the individual to confirm the appointment process.

RETENTION: Retain in personnel file.

(NOTE: Correspondence is retained with personnel file.)

(Previous record series number was UJS-13.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Human Resources
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-31. EQUAL EMPLOYMENT OPPORTUNITY RECORDS:

07-067

This series is arranged in an Excel spreadsheet numerically by job announcement number and provides detailed information concerning hiring practices by the UJS. Information may include: job announcement number, position name, Veteran status, total number of applicants, and a breakdown of applicant data by race and sex. This record series is used to document that equal employment opportunity hiring practices are being used by the UJS and for audit purposes.

RETENTION: Retain in office permanently.

(Previous record series number was UJS-17.)

UJS-34. JOB ANNOUNCEMENT LOG:

10-016

This log series is arranged chronologically and provides a listing of individuals hired by the UJS. It is maintained on an Excel spreadsheet. Information may include: position number, salary of the individual who terminated, job announcement number, closing date, title, location, name of individual hired, starting date, and starting salary. This record series is maintained for statistical purposes.

RETENTION: Retain in office permanently.

(Previous record series number was UJS-20.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Human Resources
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-32. PERSONNEL FILES:

11-011

This series is arranged alphabetically by name and contains a folder for each employee in the UJS. Information may include, but is not limited to: applications for employment, personnel action notices, authorizations for payroll deductions, letters of reprimand and commendation, resumes, service records, notices of resignation, W-4 forms, supervisors' reports of employee separation, and clerk magistrate waiver requests/oath of office. These files serve as a history of the employees' service with the UJS and provide payroll information. This record series is maintained to review work history of former employees who apply for work and for audit purposes.

RETENTION: Retain active in office. Scan terminated employee files to Electronic Document Management System (EDMS) and maintain for 3 years. Destroy 3 years after terminated provided there is no pending litigation.

(Previous record series number was UJS-22.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Human Resources
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-22. PERSONNEL/PAYROLL REPORTS:

10-016

This series consists of semi-monthly computer printout reports concerning payroll. Reports may include, but are not limited to: Accumulated Earnings and Tax Report, Leave Account Balances, Earnings and Deductions Report, Lawson Export Report, Time Record Edit Reports. This record series is used to check the accuracy of the payroll system for proper expenditure and benefit money, to insure that accurate data on hours worked and compensation received are being generated for retirement purposes, and for audit purposes.

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

(Previous record series number was UJS-45.)

UJS-33. PERFORMANCE PLANNING AND REVIEW (PPAR):

11-011

This series is arranged alphabetically and is filed in each employee's personnel file in the Human Resources Office, SCAO, Pierre. It contains the standard performance appraisal form approved by SCAO. PPARs are required for certain employees pursuant to the UJS Personnel Rules and are used as documentation for commending deserved employees and for supporting termination decisions for unsatisfactory performance.

RETENTION: Transfer to the respective "Personnel File".

(Previous record series number was UJS-11.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Information and Technology
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-37. BILLINGS, BIT:

07-067

This computer printout series is generated monthly and contains a summary of services provided to the program. Information may include: date of services, type of services, transaction types, transaction number, job cost, and total cost. This record series is used to verify the accuracy of the bills prior to issuing payment.

RETENTION: Retain 4 year in office, then destroy.

(Previous record series number was UJS-54.)

UJS-37.1. CORRESPONDENCE, GENERAL:

08-015

This series is arranged chronologically and contains both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

(Previous record series number was UJS-57.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Information and Technology
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-38. REPORT OF DISPOSITION FROM CRIMINAL DOCKETS AND SC26JS55 FILINGS AND DISPOSITIONS BY SDCL:

07-067

This computer printout series is generated quarterly and provides a summary of criminal case actions throughout the State. Information may include: reporting period, circuit, county, judge, caseload, type of case, year-to-date totals, dispositions, charges, number of trials held, number of jury trials held, number of changes of pleas, number of preliminary hearings held, and number of guilty pleas received. This record series is used for reporting and statistical purposes.

RETENTION: Retain quarterly report 3 months in office, then destroy.

Retain yearly report 4 years in office, then destroy.

(Previous record series number was UJS-65.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Information and Technology
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-39. SYSTEM DOCUMENTATION BOOKS:

07-067

This series is arranged numerically by job stream number and contains documentation concerning program development and maintenance. Information may include: job stream number, name, job language listings, data specifications, objectives, samples of output, and other comments related to program operation and maintenance. This record series is maintained to document program structure and for reference when enhancing existing computer systems.

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.

(Previous record series number was UJS-66.)

UJS-40. SYSTEM DOCUMENTATION PROGRAM COMPILES:

07-067

This ring-binder series is arranged alphabetically by system name and may contain the program compiles of each computer system. This record series is maintained as the compiles are used for reference for program modification or problems.

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

(Previous record series number was UJS-67.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-41. ACTIVE CASELOAD REPORTS, JUVENILE/ADULT:

07-067

This computer printout report is generated monthly and provides a numeric listing by circuit of cases assigned to each court services officer. Information may include: circuit officer number and name, name of perpetrator, sentence date, offense, disposition, review date, length of probation, if restitution necessary, start of probation, and service codes. This record series is maintained as a quick summary to determine the name of the court services officer assigned to each offender and for staff supervision purposes.

RETENTION: Retain current and previous months in office. Destroy superseded or obsolete.

(NOTE: Consider receiving on computer output microfiche (COM) instead of paper.)

(Previous record series number was UJS-68.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-42. ACTIVITY REPORTS, COURT SERVICES OFFICERS,
JUVENILE/ADULT:

07-067

This computer printout series is generated monthly and provides a summary of services provided by court services officers. Information may include: name of court service officer, number of investigations conducted, number of preliminary hearings held, number of divorce custody investigations conducted, number of adoption investigations conducted, and other related activities. This record series is maintained for review purposes to monitor the quantity of work produced by each officer and for statistical purposes.

RETENTION: Retain monthly report 1 month in office, then destroy.

Retain yearly report 1 year in office, then destroy.

(Previous record series number was UJS-69.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-43. ADULT REFERRAL ACTION REPORTS:

07-067

This computer printout series is generated quarterly and annually and provides a summary of action and statistical trends concerning individuals who have had final disposition for court case actions. Information may include: circuit number, county, type of offense, number of prior cases, number of new cases, ethnic group statistics, marital status statistics, income statistics, age, and veteran status by type of offense. This record series provides general demographics concerning individuals who commit certain types of crimes and is used for trend comparison purposes.

RETENTION: Retain computer printout 1 year in office, then destroy.

Retain computer output microfiche 5 years in office, then destroy.

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

(Previous record series number was UJS-70.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-44. CORRESPONDENCE, GENERAL:

07-067

This series is arranged chronologically and may contain both copies of letters and memorandums sent and the originals of letters and memorandums received. This record series is used for occasional reference and documentation.

RETENTION: Retain 2 years in office, then destroy.

(Previous record series number was UJS-75.)

UJS-45. JUVENILE REFERRAL ACTION REPORTS:

07-067

This computer output microfiche series is generated yearly and provides a chronological listing of any actions which have taken place involving juveniles. Information may include: demographics of juveniles, offenses committed, activity, actions taken, circuit and state summary of actions and totals. This report provides a summary of the amount of juveniles served by the court and history concerning demographics and types of crimes committed by each. This record series is also used for statistical and reference purposes.

RETENTION: Retain 15 years in office on computer output microfiche, then destroy.

(Previous record series number was UJS-78.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-46. TRAINING FILES, COURT OFFICERS:

07-067

This series is arranged chronologically and contains information used in training new court officers. Information may include: handouts, lectures, outlines, pamphlets, visual aids, and other related information. This record series is maintained to aid in teaching the classes and for review when updating classes being taught.

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

(Previous record series number was UJS-83.)

UJS-47. VOUCHERS:

07-067

This series may contain copies of direct vouchers. Each voucher includes: purpose of the expenditure, amount, account code credited, date, to whom or to what account the funds were transferred, and authorized signatures. Vouchers are used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, and for audit purposes. The audit copy is maintained by the Budget and Finance program.

RETENTION: Retain 1 year in office, then destroy.

(Previous record series number was UJS-84.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: Trial Court Services
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

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

UJS-48. WORK LOAD ACTIVITY SYSTEM REPORTS:

07-067

This computer printout series is generated monthly and lists time study reports which summarize employee activities. Information may include: name of officer, description of work, amount, amount of time spent doing each activity, and standards for each. This record series is maintained to monitor caseloads and for staff administration.

RETENTION: Retain monthly report 1 year in office, then destroy.

Retain year-end report 1 year in office, then transfer to storage for 3 years. Destroy after 4 years.

(Previous record series number was UJS-85.)

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

DEPARTMENT: Unified Judicial System
DIVISION: Supreme Court
OFFICE: State Court Administrator
PROGRAM: State Court Training
RECORDS OFFICER: Tara Hicks
RM CUSTOMER #: 0162

| RECORD SERIES NO. | <u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u> | R.D.B. AUTHORITY NUMBER |
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UJS-35. TRAINING FILES:

07-067

This series is arranged alphabetically by name of position and contains training files used to provide new and current employees with a continuing understanding of each position. Records are maintained on UJS-created computer program. Paper information relative to training is filed in paper files, and is arranged alphabetically by name of position. Information may include: agendas, brochures, handouts, exhibits, evaluations and other information used in the training process. This record series is maintained to train individuals who are filling vacant positions within the UJS about the proper duties for each position and for records relative to the amount and type of training each employee and judge is receiving.

RETENTION: Retain computerized records in office permanently.

Retain paper records 4 years in office, then destroy.

(Previous record series number was UJS-27.)