



DEPARTMENT
OF
HUMAN SERVICES

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

PBM 01234

RECORDS MANAGEMENT PROGRAM

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Phone: (605) 773-3589

MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE: December 19, 2013

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

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

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

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

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Jerry C. Hofer (name), acting in my position as Secretary of the Department of Human 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 Human Services (department) consists of 47 pages and contains record series number(s) DHS-1 (consecutively re-numbered) through DHS-65.

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 Human Services (department) record series numbers(s) HS-1, HS-7 thru HS-14, HS-18 thru HS-20, HS-22 thru HS-28, HS-31 thru HS-41, HS-51 thru HS-57, HS-66, HS-68, HS-69, HS-71, HS-72, HS-81 thru HS-86, HS-90, HS-99 thru HS-101, and HS-115 thru HS-117.

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.



Jerry C. Hofer, Secretary of the Department of Human Services

11/5/2007
Date

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



Dana Hoffer, State Records Manager

11-13-07
Date

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 14th day of November, 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

11-14-07
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Jerry C. Hofer (name), acting in my position as Secretary of the Department of Human 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 Human Services (department) consists of 3 pages and contains record series number(s) DHS-39, DHS-41, and DHS-44.

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 Human 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.



Jerry C. Hofer, Secretary of the Department of Human Services

11/16/2010
Date

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



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.



Signature, Chairman of the Board

12/15/10
Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Laurie R. Gill (name), acting in my position as Secretary of the Department of Human 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 Human Services (department) consists of 1 page and contains record series number(s) DHS-38.

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 Human Services (department) record series numbers(s) DHS-7.

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.

Laurie R. Gill 11-21-11
Laurie R. Gill, Secretary of the Department of Human Services Date

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

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

DESTRUCTION AUTHORITY

I hereby certify that the State Records Destruction Board met on the 15th 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] 12-15-11
Signature, Chairman of the Board Date

PETITION FOR AUTHORITY TO DESTROY RECORDS

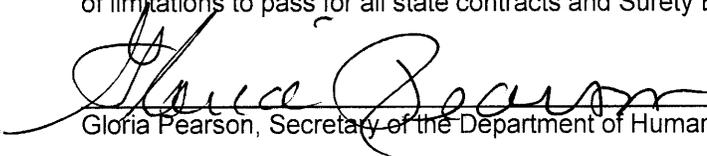
I, Gloria Pearson (name), acting in my position as Secretary of the Department of Human Services (title), request that the South Dakota State Records Destruction Board consider the attached "Records Retention and Destruction Schedule" pursuant to SDCL 1-27-13, 1-27-14, 1-27-19 and ARSD 10:03:01-02.

The records petitioned to be destroyed are described in the "Record Retention and Destruction Schedule" Authorization of the Department of Human Services (department) consists of 1 page and contains record series number(s) DHS-38.

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 Human 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.



Gloria Pearson, Secretary of the Department of Human Services

11-19-13

Date

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



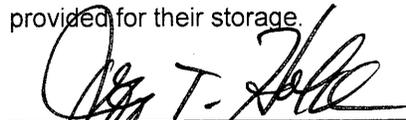
Dana Hoffer, State Records Manager

12/5/13

Date

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

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

DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

<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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DHS-1. ADMINISTRATIVE HEARING CASE FILES:

07-050

This series is arranged alphabetically by case name and 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 hearings.

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

(NOTE: Previous record series number was HS-2.)

DHS-2. ADMINISTRATIVE HEARING FINAL DECISIONS:

07-050

This series is arranged alphabetically by case name and contains the final decisions of "Administrative Hearing Case Files." Information may include: names of parties, issues at hand, law relied on, summary of evidence, findings of fact, explanation of law, conclusion of law, and final decision. This record series is used to summarize decisions made concerning "Administrative Hearing Case Files."

RETENTION: Retain permanently in office on microfilm.

(NOTE: Previous record series number was HS-3.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
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DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

<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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DHS-3. ADMINISTRATIVE REFERENCE FILES:

07-050

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, and 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: Retain current in office. Destroy superseded or obsolete.

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

(NOTE: Previous record series number was HS-4.)

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

DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

<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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DHS-4. ADMINISTRATIVE RULES PROMULGATION FILES:

07-050

This series contains administrative rules promulgation files. Information may include: notices of public hearings, affidavits of publication of notices, written comments 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 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. Consider maintaining on microfilm instead of paper and destroying paper after microfilm has been inspected and verified to meet quality standards.)

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

(NOTE: Previous record series number was HS-5.)

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

DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

<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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DHS-5. AFFIRMATIVE ACTION PLANS:

07-050

This series is arranged chronologically and contains the plan developed by the agency for affirmative action. Information may include: correspondence, committee meeting notes, drafts of plans, and finalized plan of action. This record series is used to monitor compliance with existing affirmative action plans and to develop new affirmative action plans as needed.

RETENTION: Retain in office 2 years after superseded, then destroy provided no litigation is pending.

(NOTE: Previous record series number was HS-6.)

DHS-6. GUARDIANSHIP PROGRAM FILES:

07-050

This series is arranged alphabetically by consumer's last name and contains files for a specific individual for whom the Department of Human Services is a Guardian. Information may include: client's name, legal documents, financial documentation, medical history, psychological assessments, guardian representative reports, annual meeting minutes, application to the Guardianship Program, and correspondence. Representative records may include: contracts, applications, W-9 forms, performance documents, and correspondence. This record series is maintained for reference purposes, to document the work of guardian representatives, for federal requirements, and pursuant to ARSD Rule 46:11:04:04.

RETENTION: Retain active in office. Transfer inactive files to storage of 6 years. 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 HS-15.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
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DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

<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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DHS-8. LEGAL CASE FILES:

07-050

This series is arranged alphabetically by the individual's last name and contains files for a specific individual for whom the Department of Human Services has been involved in legal proceedings on or has been Court ordered to the Human Services Center. Information may include: individual's name; legal and medical documents; psychological and psychiatric evaluations; case notes; and personnel records. This record series is maintained for reference purposes for on-going and repeat litigation issues.

RETENTION: Retain active in office. Transfer inactive files to storage of 6 years. 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 HS-17.)

DHS-9. MINUTES, BOARDS AND COMMISSIONS:

07-050

This series contains minutes of various board and commission meetings. Information may include: board or commission name, dates of meetings, members present, topics discussed, actions taken, and authorized signatures. This record series is maintained for documentation purposes.

RETENTION: Retain 20 years in office, then transfer to the State Archives for review and final disposition.

(NOTE: Consider microfilming to provide security for these vital records.)

(NOTE: Previous record series number was HS-21.)

STATE OF SOUTH DAKOTA
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DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

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

DHS-10. RECEIPT BOOKS:

07-050

This series contains forms issued to document the receipt of money. Receipts are pre-numbered and 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 5 years. Destroy after 6 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-29.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
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DEPARTMENT: Human Services
DIVISION: Administrative Records
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0069

<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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DHS-11. RECORDS MANAGEMENT FILES:

07-050

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.

RETENTION: RECORD DESTRUCTION AUTHORIZATION FORMS: Retain 6 years in office, then destroy.

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

(NOTE: Previous record series number was HS-30.)

- **Pursuant to Executive Reorganization Order No. 2011-01, the Division of Alcohol and Drug Abuse under the Department of Human Services was transferred to the Department of Social Services effective April 12, 2011. Record series numbers DHS-12 thru DHS-18 have been removed from this manual.**

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-19. AUDIT REPORTS:

07-050

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

RETENTION: FINANCE OFFICER: Retain 3 years in office, then destroy.

ALL OTHERS: Retain 1 year in office, then destroy.

(NOTE: Audit reports must be kept 3 years from the date of the audit report or the final expenditure report specific to the fund source related to the identified written audit finding.)

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

(NOTE: Previous record series number was HS-49.)

STATE OF SOUTH DAKOTA
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DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-20. BANK STATEMENTS:

07-050

This series is arranged chronologically and contains records sent from individual banks to use for reconciliation purposes, quarterly reports to the State Auditor and State Treasurer, and the June 30th ending statement kept as documentation for the comprehensive annual financial report. Information may include: date of statement, canceled checks, deposit records, and bank balances. This record series is used to reconcile checking accounts with bank balances and for reference and audit purposes.

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-50.)

STATE OF SOUTH DAKOTA
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DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-21. CONTRACTS AND AGREEMENTS:

07-050

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 provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

Retain reference 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 into 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.)

(NOTE: Previous record series number was HS-58.)

STATE OF SOUTH DAKOTA
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DESTRUCTION SCHEDULE
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(Std Form RM-1 Rev 1/03)

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-22. COST ALLOCATION FILE:

07-050

This quarterly series contains the proposal, acceptance, and actual allocation of costs to the division by grant. Information may include: time study results; Task Summary by center and by employee; institution cost summaries; list of cost allocation voucher; contract listing; summary of cost allocation; and division cost allocation by quarter. This record series is used for allocating costs to the various grants, for grant sheet support, and for audit purposes.

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

(NOTE: Previous record series number was HS-59.)

DHS-23. COST REPORTS:

07-050

This series is arranged chronologically and contains cost reports submitted by provider agencies. Information may include: audited financial statements; expense, revenue, staffing attachment; and computer disks. This record series is maintained to document and support the rates established for services, for developing contracts, and for possible litigation.

RETENTION: Retain current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was HS-60.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-24. DEPRECIATION FILES:

07-050

This annual cumulative report contains depreciation information on equipment owned by the department or division. Information may include: buildings and/or building equipment name, purchase price, life expectancy, annual depreciation, balances, and maintenance and repair files for the institutions projects. This record series is maintained for the comprehensive annual financial statements, governmental accounting standards board, and audit purposes.

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-61.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-25. FEDERAL ACCOUNTING REPORTS:

07-050

This series is arranged chronologically and contains a copy of record of all federal accounting reports submitted by the department. Reports may include, but are not limited to: Annual Report of Vending Facility Program (RSA-15), Annual Vocational Rehabilitation Program/Cost Report (RSA-2), Financial Status Report (SF269, SF269A or ADD-02), Federal Cash Transaction Report (PSC-272, and other federal financial reports. Information may include: reports of monies received and a breakdown of expenditures. This record series is maintained for audit purposes.

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

(NOTE: Previous record series number was HS-62.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-26. FEE SCHEDULES:

07-050

This series contains the fee schedules published by doctors, hospitals, and clinics for the services they offer. Information may include: office visits, new patient contracts, audiology evaluations, x-rays, vestibular tests, and lab work. These fees may be in areas of: medical, psychological, psychiatric, and ophthalmology. This record series is used to verify the accuracy of medical bills prior to authorizing their payment.

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

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-63.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-27. FINANCIAL STATEMENTS:

07-050

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

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-64.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-28. GRANT FILES:

07-050

This series is arranged alphabetically by grant name and contains information concerning the administration of funded grants. Information may include: grant applications, working papers, grant documentation, correspondence, monitoring and accounting reports, and programmatic/progress reports. This record series is used for administering current grants, for reference when requesting new grants, and for audit purposes.

RETENTION: DIRECTOR OF PROVIDER REIMBURSEMENTS AND GRANTS: Retain in office until final expenditure report has been submitted, then microfilm and maintain film for 6 years. Destroy film 6 years after the final expenditure report was submitted provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-65.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<u>RECORD SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>R.D.B. AUTHORITY NUMBER</u>
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DHS-29. LEASE FILES:

07-050

This series is arranged alphabetically by facility and contains information regarding leased equipment. The Business Enterprise program maintains this file for each food vendor. Information may include: copies of the lease or rental contracts, insurance records, equipment lists, and other miscellaneous records specific to each location. This record series is maintained for reference, for documentation, and to insure compliance with lease agreements.

RETENTION: Retain originals current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Leases have the same force and effect as contracts.)

(NOTE: Previous record series number was HS-67.)

DHS-30. RATE SETTING FILES:

07-050

This series is arranged chronologically and contains annual rate setting information by division/service. Information may include: supporting documentation, working papers, correspondence, and computer disks. This record series is maintained to document and support the rates established for services, for developing contracts, and for possible litigation. Information from these files become part of the "Fee Schedules" which are maintained for five years after submission of the final expenditure report.

RETENTION: Retain current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

(NOTE: Previous record series number was HS-70.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

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

DHS-31. REVIEW FILES:

07-050

This series is arranged chronologically and contains reviews of facilities and or services provided by a provider/vendor. Information may include: financial and/or programatic information. This record series is maintained to comply with federal audit requirements for oversight and monitoring responsibilities under federal OMB Circular A-128.

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-73.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-32. SOUTH DAKOTA FINANCIAL SYSTEM REPORTS:

07-050

These daily, weekly, monthly**, and year-end** computer output microfiche (COM) reports are used to monitor and reconcile fiscal year receipts and expenditures electronically. Information may include but is not limited to: open purchase order report, available funds report*, expenditure report*, warrant register report*, cash center report*. This record series is maintained for audit purposes.

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

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

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-74.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-32.1. 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.

DHS-33. TIME STUDIES:

07-050

This series is arranged numerically by program number and contains individual time studies used to allocate cost allocation. Information may include: study date, employee name, division, program code, total time, time certification documents, and Task Summary by center and by employee. This record series is used to comply with A-87 and for audit purposes.

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

(NOTE: Previous record series number was HS-75.)

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

DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0549

<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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DHS-34. VOUCHERS:

07-050

This series contain direct vouchers, receiving vouchers, non-cash vouchers and journal vouchers, along with copies of any supporting invoices or receipts. Vouchers are used to enter transactions on the central accounting.

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

(Note: Federal Mandate)

(NOTE: Previous record series number was HS-76.)

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

DEPARTMENT: Human Services
DIVISION: Developmental Disabilities
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0536

<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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DHS-35. COMMUNITY AGENCY FILES:

07-050

This series is arranged alphabetically by agency name and contains information concerning each community based facility in the state. Information may include: correspondence, state health department reviews, ARSD surveys, HCBS reviews, statements of deficiencies and plans of corrections, copies of Title XIX and XX Community Training Service agreements, and site visit reports. This record series is maintained for reference concerning the certification of review of these facilities.

RETENTION: Retain active for 3 years. Transfer inactive to storage for 3 years. Destroy 6 years after inactive.

(NOTE: Previous record series number was HS-77.)

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

DEPARTMENT: Human Services
DIVISION: Developmental Disabilities
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0536

<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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DHS-36. MATCH REPORTS, TITLE XIX:

07-050

This series contains Title XIX match reports used to track money to be recovered from local schools for home and community based services. Information may include: provider number, participant number, participant name, reference number, date paid, service from and through dates, match (amount to be recover), total charges, credit amount, paid amount, amount to recover, and signature of authorized agency representative. This record series is maintained for audit purposes and for Medicaid requirements.

RETENTION: Retain 2 years in office, then microfilm and maintain film for 6 years. Destroy film after 8 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-79.)

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

DEPARTMENT: Human Services
DIVISION: Developmental Disabilities
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0536

<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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DHS-37. PARTICIPANT FILES:

07-050

This series is arranged alphabetically by participant name and contains files used by the department to document the need to provide advocacy functions for each. Participant files include: Pre-Admission Screening and Annual Resident Reviews (PASARR), Annual Resident Reviews, and individuals with developmental disabilities. Information may include: name of individual, placement data, discharge/termination summaries, unusual incident reports, county board of mental retardation legal documents, referrals, interstate compact agreements, and miscellaneous correspondence relating to individual. This record series is maintained to provide the advocacy service and to follow up on services provided to individuals.

RETENTION: Retain active in office. Destroy 6 years after individual leaves service or individual expires.

(NOTE: Consider microfilming when volume warrants.)

(NOTE: Previous record series number was HS-78.)

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

DEPARTMENT: Human Services
DIVISION: District Office
OFFICE: DRS/SBVI
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0541

<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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DHS-38. CLIENT FILES:

13-007

This paper and computer database series is arranged alphabetically by client name and documents services provided to each client for the Vocational Rehabilitation Program and the Older Blind Independent Living Program. Information may include: name of client, number, authorizations, all original HIPPA documentation, transmittal sheets, referral forms, applications, medical information reports, cover letters, copies of bills and vouchers issued to pay for services, and a plan. This record series is used to document services provided to each client, for verification of payment authorizations, and to provide information to the state office when reviewing cases. Summary data is also available on the computer "VRFACES Management System."

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

(NOTE: Previous record series number was HS-80.)

- **Pursuant to Executive Reorganization Order No. 2011-01, the Division of Mental Health under the Department of Human Services was transferred to the Department of Social Services effective April 12, 2011. Record series numbers DHS-39 thru DHS-45.1 have been removed from this manual.**

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

DEPARTMENT: Human Services
DIVISION: Planning Council on
Developmental Disabilities
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0539

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

DHS-46. GRANT REVIEW SHEETS:

07-050

This series contains the grant review sheets and working papers. This record series is used to document ratings given to the grants.

RETENTION: Retain 1 year after grant approval or denial, then destroy.

(NOTE: Previous record series number was HS-94.)

DHS-47. PLANNING COUNCIL ON DEVELOPMENTAL DISABILITIES:

07-050

This series is arranged chronologically and contains various information relating to the Planning Council on Developmental Disabilities. Information may include: correspondence, minutes of the meetings, agendas, exhibitions, and other information relating to council activities. This record series is maintained as mandated by federal law and provides guidelines on developmental disability functions.

RETENTION: Retain 3 years in office, then transfer to State Archives for screening and final disposition.

(NOTE: Previous record series number was HS-95.)

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

DEPARTMENT: Human Services
DIVISION: Rehabilitation Services
OFFICE: Pierre
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0541

<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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DHS-48. ATTENDANT SERVICES PROGRAM:

07-050

This series is filed by client name and is maintained to determine eligibility for the attendant care program. Information may include: eligibility forms, billings and correspondence. This record series is maintained to determine eligibility for the program and for audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-96.)

DHS-49. CASE FILES, TRAUMATIC BRAIN INJURY:

07-050

This series is arranged by client name and documents services provided each client in the Traumatic Brain Injury (TBI) program. Information may include: evaluations, progress reports, correspondence, and Title XIX billings. This record series is maintained for audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-97.)

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

DEPARTMENT: Human Services
DIVISION: Rehabilitation Services
OFFICE: Pierre
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0541

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

DHS-50. INDEPENDENT LIVING CENTER

07-050

This series is arranged alphabetically and contains monthly client data received from the South Dakota Independent Living Centers. Information may include: consumer name, period of service, case status and amount paid. This record series is used to generate monthly payments, and to document the level of payment and history.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

DHS-51. REGISTRY OF CERTIFIED INTERPRETERS:

07-050

This paper and computer series is arranged alphabetically and contains a registry of certified interpreters for individuals who are deaf or hard of hearing. Information may include: social security number, address, phone number, and certification level. This record series is maintained pursuant to SDCL 1-26-A-11.

RETENTION: Retain inactive in office for 2 years, then transfer to storage for 4 years. Destroy 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

<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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DHS-52. ACCOUNTING RECORDS, VENDORS:

07-050

This series is arranged alphabetically by business name and contains accounting records for each vendor. Information may include: profit and loss statements, income statements, summary of receipts and expenditures, monthly vendor recaps, sales tax records, personal withdrawals, bank balances, revenues, expenditures, and vending machine commissions. This record series is compiled and maintained for tax reporting and for audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-101.)

DHS-53. BUSINESS ENTERPRISE PROGRAM FILES:

07-050

This series contains information used to set up visually impaired persons in business and help them with operations. Information may include: federal guidelines for eligibility, a copy of Randolph-Sheppard Act, and copies of state rules and regulations for the program. This record series is maintained for reference purposes and as documentation to support accounting records.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-102.)

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

<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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DHS-54. CASE FILES:

07-050

This series contains a file for each client served by the Rehabilitation Center for the Blind. Information may include: copies of medical records, referral forms, acceptance forms, rehabilitation teacher's reports, overall counselor summaries, work adjustment records, correspondence, requests for payment, and payment authorizations. This record series is maintained to document the history of each client who has received services or benefits.

RETENTION: Retain 3 years in office, then destroy.

(NOTE: Previous record series number was HS-103.)

DHS-55. FEDERAL RSA FILES:

07-050

This series contains information regarding the federal regional Rehabilitation Services Administration. Information may include: correspondence; training service standards; current operating procedures, laws, rules, and regulations; and other documentations concerning federal agency dealings. This record series is used by the director for administrative decision making according to proper federal guidelines.

RETENTION: Retain current in office. Destroy 5 years after superseded or obsolete.

(NOTE: Previous record series number was HS-110.)

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

<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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DHS-56. INSPECTION FILES, HEALTH:

07-050

This series contains both federal and state health inspection reports of food vendor establishments operating under this program. Information may include: routing slips, inspection reports (food, personnel, food equipment, utensils, sewage, lighting, ventilation, etc.), scores, and reasons for deficiencies. This record series is maintained to monitor deficiencies and insure improvements are being made by vendors.

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

(NOTE: Previous record series number was HS-104.)

DHS-57. INVENTORY SHEETS, VENDORS:

07-050

This series is maintained to document current inventory value for the quarterly profit and loss statements for vendors. Information may include: product description, type, quantity, unit cost, extension costs, and date of inventory. Each vendor's shop is inventoried a maximum of four times a year. This record series is maintained for audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-105.)

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

<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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DHS-58. INVOICES:

07-050

This series is arranged alphabetically by vendor and contains copies of invoices submitted by vendors who use the state office for record keeping services and for paying bills. Invoices are paid from the respective vendor's checking account. Information may include: payment due date, vendor number, vendor name, purchase order number, invoice number, invoice date, terms, discount allowable, item description, quantity, unit price, total invoice amount, work order or equipment number (if applicable), and vendor's signature. This record series is maintained to verify accounts payable distribution amounts and for audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-106.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
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OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

<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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DHS-59. LEAVE BALANCE PRINTOUTS:

07-050

This monthly report contains blind and visually impaired vendors leave balance record. Information may include: vendor's name, starting date, number of hours of leave earned, hours of leave used, and the balance of leave hours still available for use. This record series is used for reference to determine if an employee can be granted leave permission for the number of hours he/she has requested.

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

(NOTE: Previous record series number was HS-107.)

DHS-60. LOCATION FILES:

07-050

This series is arranged alphabetically both by town and facility and contains documentation used to allow operation of a business at a particular location. Information may include: copies of the instruction letter, correspondence, profit and loss statements, and proof of liability insurance; and the originals (copies of record) of permits or contracts, field inspection forms, and initial and final inventories. This record series is maintained as a central depository for quick reference to information regarding each location.

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

Retain originals (copies of record) current in office. Transfer terminated to storage for 6 years. Destroy 6 years after terminated.

(NOTE: Previous record series number was HS-108.)

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

RECORD SERIES NO.	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	R.D.B. AUTHORITY NUMBER
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DHS-61. LOW VISION RECORDS:

07-050

This series is arranged alphabetically and contains a file for each client referred by counselors across the state to the Rehabilitation Center for the Blind. The files document the vision testing results and what subsequent corrective actions were taken. Information may include: low vision referral forms, eye medical examination reports, correspondence, copies of vouchers for services, and copies of billing receipts. This record series is maintained to screen clients who do not need rehabilitative services or to initiate services. Those persons who receive services are considered "clients." The information for each client is transferred to the respective "Case File" and maintained for five years after closed.

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

(NOTE: Previous record series number was HS-109.)

DHS-62. REST AREA FILES:

07-050

This series is arranged alphabetically by rest area and contains information regarding monies received from pop companies as commissions on the sale of pop. Information may include: copies of contracts, sales information, check stubs, financial reports, bids, and a vendor journal (which includes check number, date, amount received, paid out, and current balance of vendor). This record series is maintained for reference and audit purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-111.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
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DEPARTMENT: Human Services
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OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

<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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DHS-63. SET ASIDE DEPOSIT LOGS:

07-050

This bound journal series is maintained to document (set aside funds) a percentage of profits have been received and subsequently deposited in the State Treasury. Funds are used for future vendor obligations for capitol improvements, sick and vacation leave, benefits, new equipment, and equipment repairs. Information may include: name, amount, date, fund, sub-fund, revenue source, receiving agency, agency coding, and total amount deposited. This record series is used for reference to amounts set aside for benefits, for new equipment, and for making repair or improvements; and for audit purposes. The State Treasurer and the State Auditor maintain similar information.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-112.)

DHS-64. SET ASIDE FEE LOGS, VENDORS:

07-050

This journal series is arranged alphabetically by vendor business name and contains information regarding set aside fee amounts held for each vendor. Information may include: date, check number, set aside amount received, and total current balance. This record series is used to document amounts received, amounts spent for upkeep and tax payments, and for federal reporting purposes.

RETENTION: Retain 2 years in office, then transfer to storage for 4 years. Destroy after 6 years provided all litigation, claims, or audit findings involving the records have been resolved and final action taken.

(NOTE: Previous record series number was HS-113.)

STATE OF SOUTH DAKOTA
RECORDS RETENTION &
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AUTHORIZATION FORM
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DEPARTMENT: Human Services
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OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Crystal Stonesifer
RM CUSTOMER #: 0802

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

DHS-65. VENDOR PERSONNEL FILES:

07-050

This series is arranged alphabetically and includes personnel information for each vendor operating under the Business Enterprise program. Information may include: applications; correspondence; copies of permits or contracts; operation agreements; initial inventory; vendor certifications, I-9 (immigration form); eye information authorizations; eye & medical reports; Individual Retirement Account (IRA) reports; transfer or promotion verifications; and copies of the current semi-annual vendor narratives and profit and loss statements. This record series is maintained to review vendor activity and progress.

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

(NOTE: Consider microfilming when volume warrants.)

(NOTE: Previous record series number was HS-117.)