

South Dakota

Records Destruction Board Meeting

December 3, 2025 10:00 a.m.

**4th Floor Room 412
Capitol Building**

**UNAPPROVED RECORDS DESTRUCTION
BOARD MEETING MINUTES
July 29, 2025, at 10:00am
Capitol Building – Room 412 & Microsoft Teams**

The following members present: Steven Blair, Office of the Attorney General; Jenna Latham, Office of the State Auditor; Russ Olson, Department of Legislative Audit; Chelle Somsen, Department of Education, State Archives; and Chairman Jason Kettwig, Bureau of Human Resources and Administration (BHRA). Rick Augusztin, BHRA, was the recording secretary.

Others attended from agencies: Dana Hoffer, State Records Manager, BHRA; Gregg Engler, Counsel, BHRA; Missy Lock, Office of the State Auditor; Nikole Miller, Department of Transportation; Kate Boyd, South Dakota Board of Massage Therapy; Olivia Waggoner, Department of Education; Jim Dornbusch, Department of Labor and Regulation; Frank Marnell, Department of Labor and Regulation; Dino Brooks Bureau of Information and Telecommunications (BIT) and Tony Rae (BIT).

Attending via Microsoft Teams: Steven Blair, Office of the Attorney General; Tim Engle with May, Adam, Gerdes & Thompson, LLP on behalf of JQC; Sarah Rust, from South Dakota Investment Council; Dawn Dovre, Department of Labor and Regulation; Melissa Miller, South Dakota Real Estate Commission and Deni Martin, South Dakota Board of Examiners in Optometry.

Call to Order and Roll Call

Chairman Kettwig called the meeting to order at 10:00 a.m. Roll call was taken. Chairman Kettwig announced that a quorum was present.

Introduction of BIT Staff

Dino Brooks and Tony Rae from BIT were present to assist in any technology related aspects of retention rules.

General Conflict of Interest Disclosure

Chairman Kettwig requested that board members declare any conflict of interest at this time.

Jenna Latham recused herself from discussion or action on the Office of State Auditor items on the agenda.

Chelle Somsen recused herself from discussion or action on the Department of Education items on the agenda.

Steven Blair recused himself when the board got to the South Dakota Board of Massage Therapy portion of the agenda, at which time, he did not engage in discussion or action on these items on the agenda.

Approval of Agenda

Russ Olson moved and Jenna Latham seconded to approve the agenda. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Approval of Minutes

Russ Olson moved and Jenna Latham seconded to approve the minutes from the July 29, 2024 meeting. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Vice Chair opening

Russ Olson volunteered to be the Vice Chair for the South Dakota Records Destruction Board.

Jenna Latham moved to appoint Russ Olson as Vice Chair, and Chelle Somsen seconded.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Abstain
Steven Blair	Aye

Public Comment

Chairman Kettwig asked for public comment.

No public comment. Chairman Kettwig closed the Public Comment section.

Department of Transportation

Chairman Kettwig asked the Board to consider the current petition to revise three existing record series for the Department of Transportation having the record series number(s) of DOT-091, DOT-092, and DOT-093.

The floor was open for discussion and/or motion.

Russ Olson moved and Jenna Latham seconded to approve the petition. The motion passed unanimously by roll call vote. The motion passed by 5-0 by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-001.

Unified Judicial System-Supreme Court

Chairman Kettwig asked the Board to consider the current petition to revise one existing record series for the Supreme Court having the record series number(s) of UJS-1A.

The floor was open for discussion and/or motion.

Jenna Latham moved and Chelle Somsen seconded to approve the petition. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-002.

Commission on Judicial Qualifications

Chairman Kettwig asked the Board to consider the current petition to approve the Commission on Judicial Qualifications' records retention and destruction schedule with seven record series having the record series numbers of JQC-1 through JQC-7.

The floor was open for discussion and/or motion.

Motion by Russ Olson to amend JQC-2 by adding Standard Audit Language (SAL) for both Paper and Electronic files. SAL "provided all litigation, claims, and audit findings

involving the records have been resolved and final action has been taken.” Seconded by Chelle Somsen. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-003.

Department of Labor and Regulation – Division of Insurance

Chairman Kettwig asked the Board to consider the current petition to revise thirty-one existing record series for the Division of Insurance having the record series number(s) of INS-2, INS-3, INS-4, INS-5, INS-6, INS-8, INS-9, INS-10, INS-12, INS-13, INS-11, INS-15, INS-16, INS-17, INS-18, INS-19, INS-20, INS-21, INS-22, INS-23, INS-24, INS-25, INS-26, INS-27, INS-28, INS-29, INS-30, INS-31, INS-32, INS-33, and INS-34; and *add* eleven record series having the record series number(s) of INS-3.1, INS-12.1, INS-11.1, INS-15.1, INS-24.1, INS-26.1, INS-29.1, INS-30.1, INS-30.2, INS-32.1, and INS-35.

The floor was open for discussion and/or motion.

Motion by Russ Olson to amend INS-29, INS-29.1, and INS-30 by adding standard audit language (SAL). SAL – “provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.” Seconded by Chelle Somsen. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-004.

South Dakota Investment Council

Chairman Kettwig asked the Board to consider the current petition to revise twenty-three existing record series for the South Dakota Investment Council having the records series number(s) of SIC-1, SIC-3, SIC-4, SIC-5, SIC-6, SIC-7, SIC-8, SIC-13, SIC-14, SIC-15, SIC-17, SIC-18, SIC-19,

SIC-25, SIC-37, SIC-26, SIC-31, SIC-32, SIC-35, SIC-44, SIC-39, SIC-40, and SIC-47; and *delete* three existing record series having the record series number(s) of SIC-22, SIC-28, and SIC-45.

The floor was open for discussion and/or motion.

Motion by Russ Olson to change the retention for Monthly Report listed as part of SIC-17 from 2 years to 4 years. Seconded by Jenna Latham. Russ Olson moved to approve the petition as amended. Seconded by Jenna Latham. The motion was passed unanimously by roll-call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-005.

Office of the State Auditor

Chairman Kettwig asked the Board to consider the current petition to *revise* one existing record series for the Office of the State Auditor having the records series number(s) of AUD-36; and *add* one record series having the record series number(s) of AUD-38.1.

The floor was open for discussion and/or motion.

Russ Olson moved and Chelle Somsen seconded to approve the petition. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Recused
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-006.

Department of Education

Chairman Kettwig asked the Board to consider the current petition to *revise* thirty-nine existing record series for the Department of Education having the records series number(s) of DOE-1A, DOE-1D, DOE-81, DOE-73, DOE-238, DOE-96, DOE-68, DOE-68.3, DOE-143, DOE-241,

DOE-243, DOE-244, DOE-245, DOE-246, DOE-247, DOE-79.2A, DOE-79.2, DOE-228, DOE-14, DOE-19, DOE-229, DOE-230, DOE-231, DOE-12, DOE-36, DOE-37, DOE-34, DOE-35, DOE-40, DOE-232, DOE-233, DOE-236, DOE-235, DOE-102.1, DOE-103, DOE-157.2, DOE-165, DOE-171, and DOE-170; and **add** six record series having the record series number(s) of DOE-64.1A, DOE-79.3, DOE-79.4, DOE-79.5, DOE-79.6, and DOE-79.7.

The floor was open for discussion and/or motion.

Russ Olson moved and Jenna Latham seconded to approve the petition. The motion passed 4 – 0 by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Recused
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-007.

Department of Health – Board of Examiners in Optometry

Chairman Kettwig asked the Board to consider the current petition to **revise** eleven existing record series for the Board of Examiners in Optometry having the records series number(s) of BEO-1, BEO-5, BEO-7, BEO-8, BEO-10, BEO-15, BEO-16, BEO-18, BEO-9, BEO-18.1, and BEO-19; and **delete** two existing record series having the record series number(s) of BEO-11 and BEO-12.

The floor was open for discussion and/or motion.

Russ Olson moved and Jenna Latham seconded to approve the petition. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-008.

Department of Health – Board of Massage Therapy

Chairman Kettwig asked the Board to consider the current petition to *revise* eleven existing record series for the Board of Massage Therapy having the records series number(s) of BMT-4, BMT-5, BMT-8, BMT-9, BMT-10, BMT-12, BMT-13, BMT-18, BMT-23, BMT-28, and BMT-33; and *delete* one existing record series having the record series number(s) of BMT-25.

The floor was open for discussion and/or motion.

Steven Blair disclosed conflict of interest. Russ Olson moved and Chelle Somsen seconded to approve the petition. The motion passed 4 – 0 by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Recused

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-009.

Department of Labor and Regulation – Real Estate Commission

Chairman Kettwig asked the Board to consider the current petition to *revise* fifteen existing record series for the Real Estate Commission having the record series number(s) of REC-1, REC-2, REC-3, REC-4, REC-6, REC-7, REC-8, REC-9, REC-10, REC-12, REC-14, REC-16, REC-17, REC-18, and REC-22.

The floor was open floor for discussion and/or motion.

Jenna Latham moved and Chelle Somsen seconded. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-010.

Department of Labor and Regulation

Chairman Kettwig asked the Board to consider the current petition to *revise* fifteen existing record series for the Department of Labor and Regulations having the record series number(s) of DOL-25.2, DOL-27, DOL-27.1, DOL-27.2, DOL-27.3, DOL-26.1, DOL-26.2, DOL-26.3, DOL-26.4, DOL-26.5, DOL-26.6, DOL-33, DOL-4, DOL-64, and DOL-76.1.

The floor was open for discussion and/or motion.

Russ Olson moved and Jenna Latham seconded. The motion passed unanimously by roll call vote.

Chairman Kettwig	Aye
Chelle Somsen	Aye
Jenna Latham	Aye
Russ Olson	Aye
Steven Blair	Aye

Chairman Kettwig authorized the destruction of the records as described in the foregoing petition provided the retention period of each record has been met. Records destruction authority is granted under Records Destruction Board number (RDB) 25-011.

Jenna Latham moved to adjourn, and Russ Olson seconded.

Adjourned meeting at 10:46a.m.


PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Joel Jundt, acting in my position as the Secretary of the Department of Transportation, 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 Transportation consists of 2 page(s) and contains record series number(s) DOT-031, and DOT-209.1A.

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

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.


Joel Jundt, Secretary of the Department of
Transportation

11-14-25
Date

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


Dana Hoffer, State Records Manager

11/18/2025
Date

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

DEPARTMENT:	<u>Transportation</u>
DIVISION:	<u>Secretary</u>
OFFICE:	<u>Legal</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Nikole Miller</u>
RM CUSTOMER #:	<u>1072</u>

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

DOT-031. ON THE JOB TRAINING (OJT) FILES:

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This spreadsheet and paper series is arranged chronologically by year then alphabetically by trainee and contractor and contains on the job training files. Information may include: registration form, monthly status report, correspondence, completion certificates, and pay letters. This record series is maintained for purposes of reporting accomplishments to the Federal Highway Administration (FHWA).

RETENTION: YEARLY REPORTS: Retain 7 years in office, then destroy.

INDIVIDUAL TRAINEE FILE: Retain electronically in EDMS for 50 years, then destroy.

EXCEL SPREADSHEET REPORTS: Retain 50 years, then destroy.

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

DEPARTMENT:	<u>Transportation</u>
DIVISION:	<u>Planning and Engineering</u>
OFFICE:	<u>Right of Way</u>
PROGRAM:	
RECORDS OFFICER:	<u>Nikole Miller</u>
RM CUSTOMER #:	<u>1055</u>

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

DOT-209.1A. RIGHT OF WAY BORROW AGREEMENTS:

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This series contains right of way borrow agreements. Information may include: agreement number, agreement date, county, owner, project number, PCN, and termination affidavit date. This series is used for tracking and terminating borrow agreements. Record is necessary to record termination affidavits one year after project completion and remove private property title/deed restrictions.

RETENTION: Retain electronically in EDMS. Destroy 10 years after project completion provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Barb Abeln, acting in my position as the Director of the South Dakota Developmental Center, 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 South Dakota Developmental Center consists of 53 page(s) and contains record series number(s) SDDC-21, SDDC-22, SDDC-142, SDDC-143, SDDC-36, SDDC-44, SDDC-41, SDDC-42, SDDC-38, SDDC-39, SDDC-50, SDDC-51, SDDC-53, SDDC-54.1, SDDC-57, SDDC-59, SDDC-64, SDDC-67, SDDC-68, SDDC-69, SDDC-72, SDDC-73, SDDC-76, SDDC-78, SDDC-80, SDDC-79, SDDC-81, SDDC-87, SDDC-88, SDDC-89, SDDC-90, SDDC-94, SDDC-96, SDDC-97, SDDC-100, SDDC-109, SDDC-119, SDDC-120, SDDC-121, SDDC-130, SDDC-131, SDDC-135, SDDC-137, SDDC-141, SDDC-144, SDDC-147, SDDC-147.1, SDDC-149, SDDC-149.1, SDDC-152, SDDC-151, SDDC-154, SDDC-155, SDDC-158, SDDC-159, SDDC-160, SDDC-161, SDDC-162, SDDC-166, SDDC-163, SDDC-164, SDDC-157, SDDC-167, SDDC-168, SDDC-156, SDDC-169, SDDC-170, SDDC-171, SDDC-172, SDDC-173, SDDC-174, SDDC-176, SDDC-177, SDDC-180, SDDC-184, SDDC-186, SDDC-187, SDDC-188, SDDC-190, SDDC-191, SDDC-193, and SDDC-202.

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 South Dakota Developmental Center consists of 10 page(s) and contains record series number(s) SDDC-47, SDDC-70, SDDC-71, SDDC-75, SDDC-83, SDDC-84, SDDC-85, SDDC-111, SDDC-113, SDDC-128, SDDC-139, SDDC-145, and SDDC-145.1.

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.


Barb Abeln, Director of the South Dakota
Developmental Center

11.10.2025
Date

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


Dana Hoffer, State Records Manager

11/18/2025
Date

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Budget and Finance</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-21. PACKING SLIPS:

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This series is arranged alphabetically by vendor name and contains the original form sent with merchandise. Information may include: vendor name and address, shipping address, number of items sent, description, and signatures of person filling orders. This record series is used to reconcile orders received with the packing slips. The invoices are paid if packing slips reconcile, or steps are taken to insure the receipt of items which were not sent.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Budget and Finance</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-22. PAYROLL DISTRIBUTION LISTINGS, INDIVIDUALS:

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This alphabetical paper and electronic series is generated monthly to list amounts of money individuals have been paid to attend vocational opportunities. Information includes: individual name, social security number, and amount each was paid for attendance in these workshops or training sessions. This information is then provided to the Department of Social Services and the Social Security Administration to report income for each individual.

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

ELECTRONIC FILES/IMAGES: Retain permanently in Electronic Health Record System.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Budget and Finance</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-142. REQUEST FOR TRAVEL AUTHORITY:

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This paper series is arranged alphabetically by employee name and contains the request for authority to travel. Information may include: date of application; names of persons requesting travel; destination; purpose; date and time of travel; signature of traveler and supervisor and initials of the director; and the Department of Human Services travel rates including motels, mileage, and food. This record series is maintained for budgeting, scheduling of vehicles, and training information 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.

SDDC-143. REQUEST TO ATTEND TRAINING/WORKSHOP:

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This paper series is arranged chronologically by date and contains the request to attend training/workshop. Information may include: traveler's name, meeting or training title, location of meeting or training, if attending for continuing education or maintaining license, credit hours, how the traveler feel the trip will benefit the employee, how will it benefit the South Dakota Developmental Center, whether or not the employee would be willing to do a presentation on the information, and steps that need to be taken on return from travel. This record series is maintained for training information 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.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Director</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-36. CEMETERY RECORDS:

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This database series is arranged chronologically by date of death and lists the location of deceased individuals buried in the facility cemetery. Information may include: date of death, date of birth, individual name, medical record number, section, lot, and grave number. This record is used to determine gravesite locations of deceased individuals and for reference purposes.

RETENTION: Retain permanently in electronic format.

SDDC-44. CLIENT EVENT REPORTS:

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This paper and electronic series is arranged chronologically in Administration. The series contains events involving abuse, neglect, exploitation and/or mistreatment of clients, (which occur at the SDDC) concerning employees and/or clients; Injury/Event of an Unexpected Nature; Unapproved Restraint; Policy and/or Procedure Not Followed; Client Left Unattended; Injury of Unknown Source, AWOL Off Campus, Missing Client, Client to Client Physical Altercations, Client to Client Sexual Contact, Injury from Highly Restrictive Procedures, Allergic Reaction, Diabetic Reaction, Choking, Ingestion of Harmful Substance, Wrong Diet Consistency, Open Wounds Not of a Superficial nature, Unusual Swelling or Bruising, Head Injury, Burns, Falls, and Unexplained Injury of clients.. Documentation to support the event is kept in the Human Rights Specialist office and may include: client's name, living or work area, event and/or injury cause, interview notes, interdisciplinary notes, medical log, and responder log, correspondence, pictures, and other related information. This series is used to determine patterns of events, behavior or medical concern.

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

ELECTRONIC FILES/IMAGES: Retain permanently in Electronic Health Records System.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Director</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-41. CLIENT LEGEND:

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This paper and electronic series is arranged chronologically and contains a listing of each client who has been admitted to the South Dakota Developmental Center (SDDC). Information may include: county of admission, date and place of birth, family information, religious preference, baptism and confirmation information, dates of stay, and discharge/decease information. This record series is used as an electronic history of clients at SDDC, statistical information, and for reference and documentation purposes.

RETENTION: Retain permanently in Electronic Health Records System.

SDDC-42. CLIENT REGISTER:

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This leather-bound book series is arranged numerically by identification number and contains lists of assigned client identification numbers. Information may include: identification number, client name, date admitted, date discharged/expired, names of individual's parents, and county of residence. This record series provides a quick reference of client background history and is used to determine the next available number for assignment purposes.

RETENTION: Retain permanently.

(Note: Consider microfilming bound books when volume warrants.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Director</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-38. CORRESPONDENCE, DIRECTOR:

!@#\$

This series is arranged by subject matter, then chronologically within and contains both copies of correspondence sent by the director and correspondence received by the same. This record series is used to document all correspondence that is sent and received by the director.

RETENTION: Retain electronically for 4 years, then destroy.

SDDC-39. HUMAN RIGHTS COMMITTEE MINUTES:

!@#\$

This paper series is arranged chronologically by date of Human Rights Committee meeting and contains the minutes. Information may include but not limited to the review/approval/disproving of plans related to clients supported, review of plans involving the use of highly restrictive procedures, review of emergency restraints, review of psychotropic medications, review of safety precautions and limitations associated with them, review of admissions and limitations associated with them, review/approval/disproving of restitution.

RETENTION: Retain electronically for 4 years, then destroy.

(Note: The actual Behavior Intervention is kept in the Master Record and retained as such.)

(Note: Supporting information is maintained by QIDP, Behavior Therapist, Program Secretary and kept according to their retention requirements.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Director</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-50. UNIFORM MONTHLY POPULATION STATISTICS:

!@#\$

This paper and electronic series is arranged chronologically and contains the monthly reports sent electronically to the Department of Human Services to report population statistics. Information may include: number of clients admitted, discharged or readmitted; client leave information; authorized leaves or temporary transfers; population on and off campus, male to female ratios, and age range; and client impairments, diagnosis, race, cognitive functioning levels, religion and guardianship status. This record series is saved for reporting purposes and is used for statistical comparison.

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

ELECTRONIC FILES/IMAGES: Retain permanently in Electronic Health Records System.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Director</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-51. UNIFORM YEARLY POPULATION STATISTICS REPORT (UPS):

!@#\$

This yearly paper and electronic generated series is arranged chronologically and summarizes the yearly population statistics for the South Dakota Developmental Center, which is sent electronically to the Department of Human Services. Information may include: number of clients admitted, discharged or readmitted; population on and off campus, male to female ratios, and age range; client impairments, diagnosis, race, cognitive functioning levels; client discharge living arrangements and training/working arrangements, and client by county. This record series is saved for reporting purposes and used for reporting and yearly analysis.

RETENTION: PAPER: Retain 7 years in office, then destroy.

ELECTRONIC FILES/IMAGES: Retain permanently in Electronic Health Records System.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>General</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-53. CORRESPONDENCE, FEDERAL:

!@#\$

This paper and electronic series is arranged chronologically and contains letters, memorandums and electronic mail sent to and received from any federal agency. This record series is maintained for reference and for possible use when litigation, claims, or audits are pending.

RETENTION: Retain 1 year in Administrative Office, then scan, and maintain electronically for 3 years under the Administration folder provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken. Destroy after 4 years.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>General</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-54.1. CORRESPONDENCE, LEGAL:

!@#\$

This paper and electronic series is arranged chronologically and contains letters, correspondence and electronic mail sent to and received regarding any legal issues. This record series is maintained for reference and for possible use when litigation, claims, or audits are pending.

RETENTION: Retain 1 years in Director's Office, then scan and save under the Administration folder for 3 years. Destroy and delete after 4 years provided all litigation, claims, or audit findings involving the records have been resolved and final action has been taken.

SDDC-57. MINUTES, COMMITTEE:

!@#\$

This electronic series is arranged alphabetically by committee name, then chronologically within and contains minutes of committee meetings on campus. Information may include: date, committee name, members present, topics discussed, and action taken. This record series is used for reference concerning committee action.

RETENTION: Retain electronically for 4 years, then delete.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>General</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-59. POLICIES AND PROCEDURES:

!@#\$

This paper and electronic series is arranged by calendar year, then by procedural name and contains copies of the current policies and procedures. Information may include: South Dakota Developmental Center policies on abuse/neglect, client's rights, disaster plan, and others. This record series is used to determine the proper course of actions to take in certain situations. The signed originals of current South Dakota Developmental Center policies and procedures, as well as the obsolete policies and procedures are maintained in the Administrative Office.

RETENTION: Retain current in administration office. Transfer terminated to storage for 10 years for legal purposes, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Communications</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-64. INDIVIDUAL DATA SHEETS:

!@#\$

This series is arranged alphabetically by name of client and contains personal information concerning each client that the Speech/Language Pathologists relate to in the Speech Therapy Program. Information may include: client's name, activity level awareness, response, and corrective perimeters. This record series is used to determine the communication skills each client possesses and for reference concerning programs to be developed for each.

RETENTION: Retain 1 year in office, then destroy.

SDDC-67. TREATMENT SCHEDULES:

!@#\$

This series is arranged chronologically by appointment date and contains the names of clients who are scheduled for Speech Therapy. Information may include: client's name, date, time, and comments. This record series is maintained for scheduling purposes.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Dental</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-68. APPOINTMENT BOOKS:

!@#\$

This appointment-book series is arranged chronologically by date and time and provides a listing of clients who have dental appointments. Information may include: date, client's name, time of appointment, and procedure administered. This record series is used for summaries concerning the dates clients are seen, and for scheduling and reporting purposes.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Medical</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-69. CONSENT FORMS, EMPLOYEE IMMUNIZATIONS:

!@#\$

This series is arranged alphabetically by name of employee and documents consent given by employee for immunizations. Information may include: employee's name, immunization to be administered, date, drug, lot number, manufacturer, date given, and signature of employee giving informed consent. This record series is also maintained for legal purposes to document that permission was given by the employees for the agency to administer vaccinations.

RETENTION: Retain in office. Destroy 30 years after termination or death.

(Note: Consider storing electronically when volume warrants.)

(Note: Occupational Safety and Health Administration requires these records be kept 30 years after termination or death of employee. The National Vaccine Injury Compensation Program, established by the National Childhood Vaccine Injury Act of 1986 requires physicians and other health-care providers who administer vaccines to maintain permanent vaccination records and to report occurrences of certain adverse events to the U.S. Department of Health and Human Services.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Medical</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-72. EMPLOYEE IMMUNIZATION RECORD:

!@#\$

This computer database series is arranged alphabetically by name of employee to document immunizations given to employees and contains employee immunization records. Information may include: employee name, immunization administered, date, drug, lot number, manufacturer, and date given. This record series is maintained to ensure immunizations are kept up to date in order to prevent unnecessary illness and in case of an adverse reaction to immunizations.

RETENTION: Retain in office. Destroy 30 years after termination or death of employee.

(Note: Consider storing electronically when volume warrants.)

(Note: Occupational Safety and Health Administration requires these records be kept 30 years after termination or death of employee. The National Vaccine Injury Compensation Program, established by the National Childhood Vaccine Injury Act of 1986 requires physicians and other health-care providers who administer vaccines to maintain permanent vaccination records and to report occurrences of certain adverse events to the U.S. Department of Health and Human Services.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Medical</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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		<u>NUMBER</u>

SDDC-73. MEDICAL IDENTIFICATION CARDS:

!@#\$

This card series is arranged alphabetically by name of client and contains current Medicaid identification cards for each. Information may include: client's name, Medicaid identification number, date of birth, and sex. This record series is maintained to determine proper identification number when submitting Medicaid claims.

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

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Pharmacy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-76. DAILY AUDIT LOG:

!@#\$

This computer printout series is arranged chronologically and contains the daily audit log. Information may include: prescription number, client name, doctor prescribing, transaction number, drug name, drug strength, amount dispensed, original amount, pharmacist, original date, refill date, price, and initials and signature of pharmacist. This log indicates the daily work of the pharmacist, by listing the prescriptions filled daily to the clients in the agency.

RETENTION: Retain 10 years, then destroy.

(Note: CMS 42 CFR 423.505 requires records be kept for ten years.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Pharmacy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD
SERIES NO.

TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE

R.D.B.
AUTHORITY
NUMBER

SDDC-78. INVOICES:

!@#\$

This paper series is arranged chronologically and constitutes the instrument used by vendors to petition for payment. Information may include: vendor name, company name, date order received, ship date, invoice date, invoice number, purchase order number, quantity, description, Program price, amount, terms and total. This record series is maintained by the pharmacy for reference purposes. The Office of Budget and Finance maintains the audit copies.

RETENTION: Retain 10 years, then destroy.

(Note: CMS 42 CFR 423.505 requires records be kept for ten years.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Pharmacy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-80. MINI-PHARMACY SIGN OUT SHEETS:

!@#\$

This (8 ½" x 3 ½" red) series is arranged chronologically and provides a notification sent to the Pharmacy to replace an item. Information may include: item description, individual assigned, and amount. The information is summarized on the individual's chart and "Drug Requisitions." This record series is used to inform the Pharmacy of the need to restock a drug item.

RETENTION: Retain 2 years, then destroy.

(Note: ARSD 20:51:15:13 requires records be kept for two years.)

SDDC-79. OFF CAMPUS MEDICATION FORM:

!@#\$

This series is arranged chronologically by date of outing and is used to order medications for clients who go off campus during scheduled medication times. Information may include: name of the person who requests medications, date requested, name of event requiring off campus trip, date of event, time leaving, time returning, medication times needed, client's name, and client's dorm. Instructions for use of the form are included at the bottom. This record series enables pharmacy to obtain information needed to correctly provide outing medications.

RETENTION: Retain 2 months after outing, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Pharmacy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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		<u>NUMBER</u>

SDDC-81. PHYSICIAN ORDER FORM-PRESCRIPTIONS:

!@#\$

This paper series is arranged chronologically and contains doctor orders for an individual. Information may include: name of individual, module, diagnosis, lab work, doctor, pharmacist's comments, drug strength, prescription number, direction for use, and original date. This record series is maintained for consultant purposes, to review and evaluate patient records.

RETENTION: Retain 10 years in office, then destroy.

(Note: CMS 42 CFR 423.505 requires records be kept for ten years.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Psychology</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-87. BEHAVIOR DATA SHEETS:

!@#\$

This paper and electronic series are arranged alphabetically by name of client and contains notations concerning behaviors exhibited by clients. Information may include: client's name, date reported, description of behavior. The information is sent to psychology on a weekly basis and entered into a behavior database. This record series is used to determine behavioral progress and to measure effectiveness of psychotherapeutic medication.

RETENTION: Retain "behavioral data" permanently in the Electronic Health Records System.

SDDC-88. BEHAVIOR INTERVENTION STRATEGY:

!@#\$

This paper and electronic series are arranged alphabetically by name of client and contains the plans developed to regulate client behavior. Information may include: client's name, purpose, target behaviors, baseline, objectives, and instructions. The plans are developed by the psychologists and behavior therapists to attempt to correct maladaptive behavior patterns and for peer reviews. The information is retained in the respective "Master Record."

RETENTION: Retain permanently in the Electronic Health Records System.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Psychology</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-89. PSYCHOLOGY ANNUAL REVIEWS:

!@#\$

This paper and electronic series is arranged alphabetically by name of client and contains psychology annual reviews. Information may include: client's name, Case Manager, evaluator, staffing date, diagnostic impression, medications client receives, behavior intervention strategy, objectives of the client's training intervention, results, and recommendations. This record series is used to determine the individual's behavioral patterns in the day-to-day living environment.

RETENTION: Retain permanently in the Electronic Health Records System.

SDDC-90. PSYCHOLOGICAL TESTING REPORT:

!@#\$

This electronic series is arranged alphabetically by name of client and contains psychological evaluations for each. Information may include: personal data, test results, test behavior, test interpretations, summaries, and recommendations. The record series is used to review current treatments and to review the progress of clients. The document is retained in the "Master Records."

RETENTION: Retain permanently in the Electronic Health Records System.

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(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Psychology</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD
SERIES NO.

TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE

R.D.B.
AUTHORITY
NUMBER

SDDC-94. INDIVIDUAL CARDEX FILES:

!@#

This cardex series is arranged alphabetically by name of client and program and contains a summary of nutritional needs. Information may include: client's name, module, diet type, type of utensils required, beverage needs, nourishments allowed, review notes, and weight records. These cards provide a quick reference of nutritional histories and are useful in monitoring weight control.

RETENTION: Retain active in office. Transfer discharged/expired to storage for 4 years. Destroy 4 years after discharged/expired.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Food Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-96. MENUS:

!@#\$

This series is arranged chronologically and contains copies of menus prepared by nutritionists in the Food Service Program. Information may include: menu, week, puree, high calorie, bland, low sodium, scoop size, and reduction desserts. This record series is maintained to document nutrition of meals provided to clients and to track specific food in the event of food poisoning.

RETENTION: Retain the current and previous cycle menus 1 year in office. Destroy superseded or obsolete.

SDDC-97. NOURISHMENT SHEETS:

!@#\$

This paper series is arranged alphabetically by client's name and contains nourishment sheets. Information may include: client's name, module, snacks allowed, if snacks are discouraged or encouraged and the times to give them. This record series is maintained to monitor patient weight and nutrition and for Title XIX reviews.

RETENTION: Retain 1 year in office, then transfer to storage for 6 years. Destroy after 7 years.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Food Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-100. WEIGHT SHEETS:

!@#\$

This series is arranged alphabetically and contains the monthly weight sheets submitted by each module and lists each client's weight. Information may include: client's name, height, normal weight for height, and client's weight. The modules send this information to the nutritionist so that employees can make modifications for each client's diet to bring the client's weight within noted norms.

RETENTION: Retain 1 month in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Powerhouse</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-109. BUILDING FILES:

!@#\$

This series is arranged alphabetically by building name and contains a quick reference of any remodeling or refurbishing of any of the building(s). Information may include: building name, type of construction, costs, bids, specifications, correspondence, and status of construction. This record series is maintained for reference concerning the status of all construction and to provide a history of all building remodeling and modifications.

RETENTION: Retain in office for the life of the building. Destroy when building is demolished.

(Note: Consider storing electronically when volume warrants.)

(Note: Building plans and specifications are maintained permanently in the Office of the State Engineer.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Powerhouse</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-119. POOL WATER QUALITY REPORTS:

!@#\$

This series is arranged chronologically and contains results of the pool water tests conducted by the State Health Laboratory. Information may include: name, address, telephone number, name of person collecting water sample, date collected, location collected, purpose of the test, and result of the test. This record series is used to document the quality of the water at the facility and to note whether corrective action is necessary. The originals are maintained by the Department of Agriculture and Natural Resources.

RETENTION: Retain 2 years in office, then destroy.

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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Powerhouse</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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SDDC-120. WASTEWATER DISCHARGE REPORTS:

!@#\$

This series is arranged chronologically and contains copies of wastewater quality reports. Information may include: name, address, location, permit number, monitoring period, and results of the test. This record series is maintained to document water quality and to determine if corrective actions are necessary for any noted deficiencies. The originals are maintained by the Department of Agriculture and Natural Resources.

RETENTION: Retain 4 years in office, then destroy.

SDDC-121. WORK ORDERS:

!@#\$

This electronic series is arranged chronologically and contains the standard form used to request repairs. Information may include: department, date, work location, description of work, requested by, approved by, completed by, and parts used. The Operations Manager must approve all repair requests prior to their initiation. The originals document the approval given to each. This record series is maintained to assure the timely completion of all requested repairs.

RETENTION: Retain 2 years in computerized maintenance management software, then automatically purge.

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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program/Coordinator Support</u>
PROGRAM:	<u>Coordinator's Office</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-130. CEMETERY MAPS:

!@#\$

This series is maps and provides location of deceased client graves located in the two cemeteries on campus. Information may include: cemetery, client name, and grave number. This record series is maintained for convenience of visitors looking for particular gravesites.

RETENTION: Retain permanently.

SDDC-131. DAILY REPORTS:

!@#\$

This series is arranged chronologically and contains the original "Daily Reports" submitted by each module to the Coordinator's Office. Information may include: date, module, number of clients listed, number in module, number on vacation, number admitted, number discharged, number of deaths, number in hospital, and number Absent Without Leave (AWOL). This record series is used by the Coordinator's Office to generate daily Admissions/Discharges/Transfers Report (ADT) and for Medicare/Medicaid reviews.

RETENTION: Retain 1 month in office, then transfer to storage for 3 years and 11 months. Destroy after 4 years.

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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program/Coordinator Support</u>
PROGRAM:	<u>Coordinator's Office</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-135. WORK SCHEDULES:

!@#\$

This electronic spreadsheet series is arranged by name in work areas and contains work schedules for each DSP employee. Information may include: work period, name, days on, days off, hours on, hours off, and place of assignment. This record series is maintained to inform employees of dates and times each is scheduled to work, to verify proper staffing levels, and to verify time and attendance. Schedules are maintained in workforce management software.

RETENTION: Retain 3 years in work management software, then automatically purge.

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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program/Coordinator Support</u>
PROGRAM:	<u>Coordinator's Office</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-137. WORKSHEETS, DAILY ASSIGNMENT:

!@#\$

This series is arranged chronologically and contains summaries of employee assignments per program and module, per shift. Information may include: program and module name, people assigned, job duty, and client on leave. This record series is maintained for Medicare purposes to verify proper staffing levels for each area and to insure proper care is provided.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided Medicare review has occurred.

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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program/Coordinator Support</u>
PROGRAM:	<u>Training & Develop Resources</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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SDDC-141. EMPLOYEE TRAINING FILE:

!@#\$

This paper series is arranged alphabetically by name and contains a folder for each employee of the agency and is stored in the Training and Development Resources office. Information in the file may include but not limited to: Employee Training Checklist, NVCI Post-tests, most current NVCI Due Care form, most current CPR/AED Skills Testing checklist, HIV/HBV Risk Factor Assessment form and Responder Training Resources Register. As forms in the folder are replaced by more recent forms, the older forms are destroyed. This series is kept as a history of the employee's training as outlined by the SDDC Classifications for Staff Training manual and is used to verify training attendance.

RETENTION: Retain 5 years following termination of employment, then destroy.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program/Coordinator Support</u>
PROGRAM:	<u>Training & Develop Resources</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-144. TDR TRAINING DATABASE:

!@#\$

This database is located in the learning management software system. Information may include, but is not limited to: the employee name, employee ID, position number, supervisor, required SDDC courses, dates required SDDC courses were attended, employee training classification and dates of upcoming courses. The database is used to schedule employees into courses, to ensure employees are current in required courses for their classification as outlined in the SDDC Classification for Staff Training manual and for reporting purposes. It allows supervisors the ability to check training requirements and to schedule employees into courses. Reports are generated from the database on compliance with required training for employees.

RETENTION: Retain employee information current, delete upon termination provided no pending litigation.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Case Manager</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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SDDC-147. BOWEL MOVEMENT (BM) CHARTS:

!@#\$

This series is arranged chronologically in the client's Active Treatment Service Binder and contains bowel movement charts. Information may include: name, month, day, shift, size, and whether a suppository was given. This record series is used if requested by medical staff to track bowel movements.

RETENTION: Retain 1 month in Active Treatment Service Binder, then transfer to Qualified Intellectual Disabilities Professional office to be retained for 1 year. Destroy after 1 year and 1 month.

SDDC-147.1. CLIENT CONTACT VISITOR LIST:

!@#\$

This electronic series is arranged alphabetically by name and contains client contact visitor list. Information may include: contact's name, address and names for emergency contact, secondary contact, and third contact, burial information, and financial benefits. Information drawn from the database is for other documents that then become part of the Master Records. This record series is used to keep in contact with contacts and family members of the client for various purposes.

RETENTION: Retain permanently in the Electronic Health Records System.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Case Manager</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-149. CLIENT DISBURSEMENT VOUCHER:

!@#\$

This series is arranged chronologically and is a worksheet for cash disbursements. Information may include: names of clients, their signatures, and amount of money disbursed. This record series is used to provide accurate accounting of money for the Budget and Finance Office.

RETENTION: Retain in Qualified Intellectual Disabilities Professional office until money is disbursed. Transfer to Budget and Finance Office to be retained for 7 years, then destroyed.

(Note: Cash Disbursement Vouchers must be returned to Budget and Finance before any more money is given out.)

SDDC-149.1. MASTER RECORD:

!@#\$

This electronic series is arranged alphabetically by name of client and contains all treatments each client has received. Information may include: client's name, social, legal, consents, financial, assessments, support plans, medical, admission/discharge information, correspondence, commitment orders, psychological, and other related information. This record series is maintained to document day to day care, treatment that all clients receive at the facility, to monitor progress, to develop or revise care plans, and for planning and reviewing purposes.

RETENTION: Retain permanently in Electronic Health Records System.

Retain existing microfilm permanently.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Case Manager</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-152. MONTHLY DATA SHEET:

!@#\$

This paper series is arranged chronologically, then alphabetically by name of person supported and is a monthly data worksheet. Information may include: name, date of last Individual Support Plan meeting, objective, data recorded, plus or minus (indicating pass or fail), service intervention, staff signature, and date and time of data collection. This record series is then used to enter monthly data into the electronic health record for data probes.

RETENTION: Retain monthly data sheets in the case managers office for 1 year, then destroy.

SDDC-151. PERSONAL BELONGINGS RECORDS:

!@#\$

This paper and electronic series is arranged chronologically and is a list of belongings of each client supported. Information may include: name, dates, record #, unit, Qualified Intellectual Disabilities Professional, description of clothing, description of non-clothing items, reason for being discarded. This record series is used to keep an accurate account of client supported personal possessions.

RETENTION: PAPER: Retain in the Active Treatment Service Binder. Destroy superseded or obsolete.

ELECTRONIC FILES: Retain current on M: drive. Destroy superseded or obsolete.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Case Manager</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-154. SHIFT REPORT FORMS:

!@#\$

This paper series is arranged chronologically and is a reporting tool between staff, of activities and care provided/needed for the clients on the module and staff. Information may include: date, names of clients on the module, three shift periods to document, summary comments on client, signatures of persons receiving keys for each shift, staff communications, appointments, and a list of possible medication side effects. This record series is used to assure continuity of care for all the clients.

RETENTION: Retain 1 year in the Developmental Support Professional Supervisor office, then destroy.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-155. ALCOHOL DEPENDENCE:

!@#\$

This paper series is arranged numerically by client's medical record number and is a diagnostic tool. Information may include: a checklist of criteria to determine the degree of alcohol dependence of the client, the client's medical records and name, signature of counselor, and date. This record series is used to determine that a client meets the criteria of an alcohol dependent client.

RETENTION: Retain 6 years in office after client is discharged or deceased, then destroy.

SDDC-158. AUTHORIZATION OF THE RELEASE OF INFORMATION:

!@#\$

This paper series is arranged numerically by client's medical record number and is a legal consent to release information. Information may include: name of client, agency releasing information, list of information being released, statement of understanding and content to release, date, signature of client, signature of guardian if needed, and signature of witness. This record series is used to provide information and/or progress to interdisciplinary team members and guardians.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-159. CHEMICAL SCREENING REQUEST/REPORTING:

!@#\$

This paper series is arranged numerically by client's medical record number and is a formal request to acquire a medical order for urinary analysis testing. Information may include: name of client, date sample collected, staff member supervising collection, checklist of chemical screening requested, chemical health staff person, physician/PA-C, date testing is completed, signatures, initials of staff who received results of test, and date received. This record series is used to offer voluntary testing to determine possible chemical use.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-160. CHEMICAL USE ASSESSMENT SUMMARY:

!@#\$

This paper series is arranged numerically by client's medical record number and is the title page to the client's file. Information may include: date, client's medical record number, Case Manager assigned, diagnosis, recommendations, and chemical dependency counselor. This record series is used as a quick reference on the client at the beginning of the file.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-161. CHILDREN OF ALCOHOLICS SCREENING TEST:

!@#\$

This paper series is arranged numerically by client's medical record number and is a questionnaire. Information may include: client's name and medical record number, a checklist of questions, client's signature, and date. This record series is used to determine parental chemical use and its effects on the client.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-162. CLIENT/GROUP INFORMATION FORM:

!@#\$

This paper series is arranged numerically by client's medical record number and is the duplicate form required by the Division of Alcohol and Drug Abuse. Information may include: client's medical record number, demographic information, chemical use history and diagnosis, dates of intake, and end of service and services provided. This record series is used to provide the Division of Alcohol and Drug Abuse information regarding treatment/services and data about client group services.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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SDDC-166. CLIENT INFORMATION:

!@#\$

This paper series is arranged numerically by client's medical record number and contains client information. Information may include: client's name, medical record number, diagnosis, and a list of specific reviews/assessments and dates. This record series acts as a reminder to the counselor of specific review dates.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

**SDDC-163. CLIENT/MANAGEMENT INFORMATION SYSTEM
INFORMATION FORM:**

!@#\$

This paper series is arranged numerically by client's medical record number and is general information sheet on the client being served. Information may include: name of client, medical record number, address, date of birth, age, date of commitment, county, sex, social security number, race, education, indication of insurance, source of income, yearly family income, living arrangements, marital status, pregnancy, number of children, drugs used, drugs of choice at what age, frequency and route, last use frequency, number of prior treatments, where treated, suicide attempts, number of minor consumptions, number of driving under the influence, number of convictions, types of consumptions, gang affiliation, gambling preference, Adolescent Alcohol Involvement Scale, Adolescent Drug Use Survey, Children of Alcoholics, diagnosis, counselor, unit, and date. This record series is used for providing statistical information to the Division of Drug and Alcohol.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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SDDC-164. CRITICAL LIFE AREA ASSESSMENT:

!@#\$

This paper series is arranged numerically by client's medical record number and is a substance abuse history and assessment. Information may include: client's name and initials, date of birth, race, sex, county, education, driving under the influence, convictions, frequency of use grid, questions on substance abuse, checklist of specifics on use, test scores, Adolescent Alcohol Involvement Scale, Adolescent Drug Use Survey, summary, recommendations, signatures, date, placement, and counselor. This record series is used to determine how drug/alcohol use has affected critical life areas.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-157. DAST (DRUG ABUSE SCREENING TEST):

!@#\$

This paper series is arranged numerically by client's medical record number and is a questionnaire. Information may include: name of client, date, a series of questions with multiple choice answers, scoring grid, and interpretation guide. This record series is used to determine severity of drug use by the client.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-167. LEVEL 1-OUTPATIENT SERVICES/ADOLESCENT/ADULT
ADMISSION CRITERIA:

!@#\$

This paper series is arranged numerically by client's medical record number and contains Level 1-Outpatient Services/Adolescent Admission Criteria. Information may include: client's name, date, diagnosis, dimensional admission criteria, and determination of type of treatment. This record series is used at admission to determine eligibility for the program or to recommend another support system.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-168. LEVEL 1-OUTPATIENT/ADOLESCENT/ADULT CONTINUED
SERVICE CRITERIA/TREATMENT PLAN REVIEW:

!@#\$

This paper series is arranged numerically by client's medical record number and contains Level 1-Outpatient/Adolescent continued service criteria/treatment plan review. Information may include: client's name, medical record number, review period, diagnosis, dimensional continued service criteria, and progress/problem/plan. This record series is used to justify continued services to the client.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD		R.D.B.
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SDDC-156. MAST (MICHIGAN ALCOHOLISM SCREENING TEST):

!@#\$

This paper series is arranged numerically by client's medical record number and is a questionnaire. Information may include: name of client, date, a series of questions with multiple choice answers, and a scoring grid. This record series is used to assess alcohol involvement or degree of severity.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-169. NOTICE TO CLIENTS OF FEDERAL CONFIDENTIALITY LAW:

!@#\$

This paper and electronic series is arranged numerically by individual's medical record number and contains notices to clients of federal confidentiality law. Information may include: written notice of confidentiality law, statement of understanding and having received a copy of said law, client's signature, witness signature, and date. This record series is a notification of the client's confidentiality rights and confirmation that said client understands these rights.

RETENTION: Retain hard copy 6 years in office after client is deceased or discharged, then destroy.

ELECTRONIC FILES/IMAGES: Retain permanently in Electronic Health Record System.

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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-170. ORIENTATION CHECKLIST:

!@#\$

This paper series is arranged numerically by client's medical record number and is an orientation checklist. Information may include: list of materials and expectations necessary to participate in group counseling, client's signature, chemical dependency counselor's signature, and date. This record series is used to determine that the client has been given the necessary information and materials needed to participate in group counseling.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-171. PATIENT BILL OF RIGHTS:

!@#\$

This paper series is arranged numerically by client's medical record number and contains a patient bill of rights. Information may include: a list of the client's rights including confidentiality rights. This record series is required by the American Society of Addiction Medicine and is used to familiarize the client with their rights during treatment.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-172. PATIENT PLACEMENT CRITERIA FOR THE TREATMENT OF PSYCHOACTIVE SUBSTANCE USE DISORDERS:

!@#\$

This paper series is arranged numerically by client's medical record number and contains patient placement criteria for the treatment of psychoactive substance use disorders. Information may include: criteria listing for different levels of treatment and their exceptions. This record series is used to determine the correct level of treatment for the new client.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-173. PRE-TREATMENT INDIVIDUAL CONTRACT AND RESPONSIBILITIES:

!@#\$

This paper series is arranged numerically by client's medical record number and is an agreement between the counselor and the client. Information may include: name of client, list of responsibilities, statement of understanding the agreement, client's signature, counselor's signature, and date. This record series is used to clarify the responsibilities and exceptions of the client during treatment and counseling.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Chemical Health Services</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-174. PROGRAM RULES:

!@#\$

This paper series is arranged numerically by client's medical record number and contains program rules. Information may include: list of program rules, date, client's name, counselor's name, and credentials. This record series is used to acquaint clients to the rules of the program.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-176. RELEASE FOR URINE ANALYSIS TESTING:

!@#\$

This paper series is arranged numerically by client's medical record number and is a release for urine analysis testing. Information may include: client's name, statement giving Chemical Health Services permission to take the urine analysis, client's signature, date, and counselor's name. This record series is used as formal permission to collect urine.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

SDDC-177. TREATMENT PLAN:

!@#\$

This paper series is arranged numerically by client's medical record number and is a treatment plan. Information may include: client's name, level of treatment, medical record number, date of birth, diagnostic statement, review date, strengths, problems, goals, objectives, achievement dates, staff responsible, counselor's name, and date. This record series is used to plan a client's treatment and how to meet the objectives/needs.

RETENTION: Retain 6 years in office after client is deceased or discharged, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Industrial Workshop Manager</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-180. VOCATIONAL ACTIVITY RECORD:

!@#\$

This paper series is arranged chronologically by payroll date and contains the record of job activity. Information may include: client's medical record number, client's name, payroll period dates, total hours of non-work activity, total hours/units of work activity, and type of activity. This record series is used as the client's payroll report.

RETENTION: This information is maintained on the TKS system.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Program Manager</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-184. SUPERVISORY WORKING FILES:

!@#

This paper and/or electronic series is arranged alphabetically by name and contains information kept by the employee's supervisor used in supervision of employees in the agency. Information may include: copies of letters of reprimand and commendation, performance reviews, meeting notes, training records, sick call in emails, and other related information relating to the day-to-day supervision of employees. This record series is maintained for reference purposes and for review during employee evaluation process.

RETENTION: SUPERVISOR: At your discretion, retain current in office. Destroy superseded or obsolete or no longer working in the department.

(Note: Originals are maintained by the Bureau of Human Resources and Administration in the official personnel file.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Program Supervisor</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-186. EVACUATION REPORT FORM:

!@#\$

This paper series is arranged chronologically and is a report of the evacuation of a dormitory for drill/actual - fire, bomb threat, tornado. Information may include: date; description of drill; number of clients; number evacuated; number of refusals; time needed for evacuation; an evaluation of the procedures, the success of each drill, and signatures of person making report, area supervisor, program supervisor/manager. This record series used for an internal check to evaluate the success and procedures of each evacuation.

RETENTION: PROGRAM SUPERVISOR: Retain 1 years in office, then destroy.

ENVIRONMENTAL SERVICES SECRETARY: Retain 3 years in office, then destroy.

SDDC-187. ENVIRONMENTAL CONDITIONS REVIEW:

!@#\$

This paper series is arranged chronologically and is a list of problems of environmental issues to look for in each building. Information may include: area of the building, room number, problem noted, action, severity (cosmetic or life/safety issue), action (administrative or corrective), responsible person or department, and completion date. This record series is used quarterly as an internal inspection of each living area and building.

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

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Therapeutic Recreation</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-188. ACTIVITY CENTER CHECK-IN:

!@#

This paper series is arranged chronologically and lists clients attending activities on a specific date. Information may include: date, list of the modules on campus, clients present from each module, and during which shift they attended. This record series is kept for tracking the use of the Activity Center.

RETENTION: Retain 60 days in office, then destroy.

SDDC-190. ASSORTED ITEMS CHECKOUT:

!@#

This series is arranged chronologically and contains a list of items checked out at the Activity Center. Information may include: date, client receiving the item, module of residence, checkout date, name of item, return date, and date overdue notice was sent. This record series is kept for tracking various items available for checkout in the Activity Center.

RETENTION: Retain until all items listed on the sheet have been returned, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Therapeutic Recreation</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-191. COMPACT DISK/DVD CHECKOUT:

!@#\$

This series is arranged chronologically and contains a list of CDs/DVDs checked out at the Activity Center. Information may include: date checked out, client receiving CDs/DVDs, module of residence, title of CD/DVD, date returned, and date overdue notice was sent. This record series is kept for tracking specific materials checked out from the Activity Center.

RETENTION: Retain until all items on the sheet have been returned, then destroy.

SDDC-193. CHAPEL CHECK-IN:

!@#\$

This series is arranged chronologically and contains a list of the modules with clients present at the Chapel activities on a specific date listed by module and shift. Information may include: date of event, list of modules on campus, number of clients present from each module, and during which shift they attended. This record series is used for tracking attendance at the Chapel.

RETENTION: Retain 60 days in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program Services</u>
PROGRAM:	<u>Therapeutic Recreation</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

SDDC-202. SWIMMING POOL USAGE FORM:

!@#\$

This paper series is arranged chronologically and provides information concerning the use of the swimming pool at the Activity Center. Information may include: date, time in, time out, module, number of clients in the water, number of clients observing, names of staff in the water, names of staff observing from the pool deck, and the names of the lifeguards. This record series is used to track pool use.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Director</u>
PROGRAM:	<u>Director</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-47. Department of Human Services maintains and manages.**

SDDC-47. PLANNING FILES:

00-021

This series is arranged chronologically and contains plans developed by Developmental Disabilities Committee of the South Dakota Developmental Center and the Department of Human Services. Information may include: Strategic Plans, Developmental Disabilities Council Plan, State Plans, Developmental Disabilities Council Strategic Plan, State Strategic Plan, and the Department of Human Services Strategic Plan. This record series is used to monitor and implement the existing plan, and to formulate and improve future plans.

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

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

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Medical</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-70. SDDC no longer posse's lab equipment that requires calibration.**
- **SDDC-71. Test/Lab results are part of the client's master record located in the electronic health record.**

SDDC-70. CONTROL GRAPHS:

00-021

This ring-binder series is arranged chronologically and contains daily control graphs used to calibrate laboratory equipment. Information may include: date, equipment name, type of test, test results, if in acceptable range, and control lot number. This record series is maintained to document the proper calibration and operation of all lab equipment used to make tests and to certify accuracy of the test results.

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

SDDC-71. DRAWING STATION LOG:

19-004

This ring-binder series is arranged chronologically and is used to record the results of all tests conducted at the Drawing Station. Information may include: date, test name, test number, patient name, and test results. This record series is used to document the results of all tests conducted, to verify that the number of tests conducted reconciles with test number logs, and for Medicare purposes.

RETENTION: Retain 2 years then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Pharmacy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-75.** Reports are part of the client's master record located in the electronic health record.

SDDC-75. CONSULTANT PHARMACY REPORT:

00-021

This computer printout series is generated quarterly by Program Area and contains the consultant pharmacy report. Information may include: individuals' names, module, dates, and significant and insignificant irregularities and drug administration errors. This record series is maintained for review purposes, to monitor drug usage, and for Medicare reviews.

RETENTION: Retain 2 years, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Physical/Occupational Therapy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-83. Charts are part of the client's master record located in the electronic health record.**
- **SDDC-84. Records are part of the client's master record located in the electronic health record.**

SDDC-83. INDIVIDUAL CHARTS:

19-004

This series is arranged alphabetically by name of individual and contains documentation on physical/occupational therapy and progress. Information may include: assessment summaries, evaluations, consultation reports, activity plans, progress notes, and comments. This record series is used to document progress each individual achieves in the Physical/Occupational Therapy Program and to evaluate the physical/occupational therapy plan. The information is summarized in the respective "Master Record".

RETENTION: Retain in office until discharged or deceased. Transfer to the Master Record to be retained permanently.

SDDC-84. INDIVIDUAL MONTHLY PROGRAM ATTENDANCE:

19-004

This paper series is arranged alphabetically by name of individual and contains an itemized list of days provided to each individual for physical therapy/occupational therapy. Information may include: individual's name, module, date, service rendered, and physical therapy/occupational therapy doctor orders. This record series is maintained for reporting purposes to document the number of individual's service hours provided to each and for Medicare reviews.

RETENTION: Retain 1 year in office, then transfer to storage for 3 years. Destroy after 4 years provided Medicare review has occurred.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Health Services</u>
PROGRAM:	<u>Physical/Occupational Therapy</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- SDDC-85. Calendars are part of the client's master record located in the electronic health record.

SDDC-85. NUTRITION PROGRAM CALENDARS (OCCUPATIONAL THERAPY):

00-021

This series is arranged chronologically and contains daily account of nutrition changes for individuals. Information may include: individual's name, module, date, and diet change requested. This record series is used to document the facility's attempt to improve individual nutrition by encouraging the individuals to go from a ground to a regular diet and is useful in preparing meals on the tray line.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Powerhouse</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-111. Bureau of Human Resources and Administration-Fleet and Travel Management utilizes fleet vehicle management software to track date of use, beginning and ending miles, total miles, driver, purpose, and cost.**

SDDC-111. CAR USAGE REPORTS:

00-021

This series is arranged chronologically and contains copies of the standard report issued by the Business Office to report car usage. Information may include: date of use, beginning and ending mileage, total miles driven, driver's name, purpose of trip, and costs. The program uses this record series to determine costs associated with travel, to monitor usage, and for budget preparation purposes. The originals are sent to the Fleet and Travel Office in Pierre.

RETENTION: Retain 2 years in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Powerhouse</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-113. Bureau of Human Resources and Administration-Office of the State Engineer-State Energy Manager utilizes Energy Cap software to track energy needs.**

SDDC-113. ENERGY MANAGEMENT REPORTS:

00-021

This computer printout series is arranged chronologically and provides information on energy needs and consumption in each building. Information may include: date, time, building name, and status of energy needs and consumption. This record series is used to monitor building temperatures and to note any deviations from the usual norms for each building.

RETENTION: Retain 1 year in office, then destroy.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Plant Operations</u>
PROGRAM:	<u>Warehouse/Purchasing</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-128. Bureau of Human Resources and Administration-Office of Procurement Management lists all State contract notice of award on Open SD website.**

SDDC-128. CONTRACTS, STATE (NOTICE OF AWARDS):

00-021

This series is arranged alphabetically by item type and contains a copy of the contract awarded by the State Purchasing and Printing Program. Information may include: supply name, buyer name, telephone number, contractor name and address, contract number, itemized listing of goods for sale, and prices. This record series is maintained for reference purposes when ordering supplies on state contract.

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

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

DEPARTMENT: Human Services
DIVISION: SD Developmental Center
OFFICE: Program/Coordinator Support
PROGRAM: Training & Develop Resources
RECORDS OFFICER: Shane Wright
RM CUSTOMER #: 0206

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- **SDDC-139. Moved to the Learning Management System managed and maintained by Bureau of Human Resources and Administration.**
- **SDDC-145. Moved to the Learning Management System managed and maintained by Bureau of Human Resources and Administration.**

SDDC-139. TRAINING HISTORY:

19-004

This computer series is arranged chronologically and summarizes all classes held and employees trained monthly. Information may include: date, number of classes taught, and number of individuals trained. This record series is maintained for reporting purposes and performance indicators.

RETENTION: Enter into the Bureau of Human Resources training module, then destroy provided data has been verified to be accurate and complete.

SDDC-145. TRAINING ROSTER:

19-004

This paper series is located in the Training and Development Resources office and is arranged alphabetically and by date. Information may include: course title, name of instructor(s), participants' names and participants' signatures. The rosters are used to input information into the Bureau of Human Services Training module and for reporting purposes.

RETENTION: HIPPA COURSES: Retain roster for 7 years, then destroy.

ALL OTHER COURSES: Retain until entered into Bureau of Human Resources training module, then destroy provided data has been verified to be accurate and complete.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SD Developmental Center</u>
OFFICE:	<u>Program/Coordinator Support</u>
PROGRAM:	<u>Training & Develop Resources</u>
RECORDS OFFICER:	<u>Shane Wright</u>
RM CUSTOMER #:	<u>0206</u>

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the SD Developmental Center.

Reason for Deletion:

- SDDC-145.1. Moved to the Learning Management System managed and maintained by Bureau of Human Resources and Administration.

SDDC-145.1. SDDC REQUIRED TRAINING ROSTERS:

19-004

This paper series is arranged alphabetically and by date and contains training rosters entered into (the Bureau of Human Resources Training module and the TDR Training Database.) Information may include: course name, course code, participants' name, employee ID and participants' signatures. This series is maintained to verify training and for reporting purposes.

RETENTION: Retain 2 years, the destroy.

(Note: Required SDDC courses completed every two years as outlined in SDDC Classifications for Training manual.)

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Shawnie Rechtenbaugh, acting in my position as the Secretary of the Department of Human Services, 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 consists of 29 page(s) and contains record series number(s) DHS-1 (consecutively re-number) through DHS-57.

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

Authority is also requested to delete "Records Retention and Destruction Schedule" Authorization of the Department of Human Services consists of 27 page(s) and contains record series number(s) DHS-24, DHS-28, DHS-29, DHS-32, DHS-36, DHS-36.1, DHS-38, DHS-48, DHS-49, DHS-50, DHS-51, DHS-52, DHS-55, DHS-56, DHS-57, DHS-58, DHS-59, DHS-61, DHS-62, DHS-63, DHS-64, DHS-65, DSS-67, DSS-68, DSS-69, DSS-70, DSS-71, DSS-72, DSS-73, DSS-74, DSS-74.1, DSS-75, DSS-76, DSS-77, and DSS-78

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.

Shawnie Rechtenbaugh
Shawnie Rechtenbaugh, Secretary of the
Department of Human Services

11/7/25
Date

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

Dana Hoffer
Dana Hoffer, State Records Manager

11/18/2025
Date

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: Linda Binstock
RM CUSTOMER #: 0549

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-24. Included as part of reporting. Addressed in the Financial Reporting series.**

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: Linda Binstock
RM CUSTOMER #: 0549

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-28. No longer current practice.**

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: Linda Binstock
RM CUSTOMER #: 0549

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-29. No longer current practice.**

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.)

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: Linda Binstock
RM CUSTOMER #: 0549

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-32. No longer current practice.**

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: Developmental Disabilities
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-36. No longer done by the Division of Developmental Disabilities (DDD).**

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: Linda Binstock
RM CUSTOMER #: 0536

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-36.1. DDD contracts outside for this, no longer in-house.**

DHS-36.1. NATIONAL CORE INDICATOR SURVEYS:

16-013

This series is arranged alphabetically by survey type and contains the National Core Indicator Surveys which are mailed out annually to all families receiving Home and Community Based Services (HCBS). Surveys may include: Adult Consumer, Adult Family, Child Family, and Family/Guardian. This record series is maintained for reference purposes.

RETENTION: Retain 2 years after the completion of the data cycle, then destroy.

(Note: Data cycle runs from July to June.)

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: Linda Binstock
RM CUSTOMER #: 0541

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-38. This is a combined series for SBVI and DRS. Inaccurate and separating into each Division.**

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.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>Rehabilitation Services</u>
OFFICE:	<u>Pierre</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0541</u>

<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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-48. Combining to handle all client files in the Division of Rehabilitation Services (DRS) the same.**
- **DHS-49. Combining to handle all client files in DRS the same.**

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:	<u>Human Services</u>
DIVISION:	<u>Rehabilitation Services</u>
OFFICE:	<u>Pierre</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0541</u>

<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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-50. Combining to handle all client files in DRS the same.**
- **DHS-51. Handled as part of Administrative Files.**

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: Linda Binstock
RM CUSTOMER #: 0802

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-52. Maintained within the Business Enterprise Program Files.**

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.)

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>SBVI</u>
OFFICE:	<u>Administration</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0802</u>

<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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-55. Maintained within the Administrative Files.**
- **DHS-56. Maintained within the Business Enterprise Program Files, referenced as “inspection reports”.**

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.)

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.)

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: Linda Binstock
RM CUSTOMER #: 0802

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-57. Maintained within the Business Enterprise Program Files, referenced as “vendor inventory sheets”.**

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: Linda Binstock
RM CUSTOMER #: 0802

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-58. Maintained within the Administrative Files.**

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 &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: Administration
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-59. No longer current practice.**

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.)

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: Linda Binstock
RM CUSTOMER #: 0802

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-61. Maintained within the Case Files, referenced as “medical records”.**

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.)

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: Linda Binstock
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>

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-62. Maintained within the Business Enterprise Program Files, referenced as “rest area accounting files”.**

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 &
DESTRUCTION SCHEDULE
AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

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

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-63. Maintained within the Business Enterprise Program Files, referenced as “set aside accounting”.**

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.)

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: Linda Binstock
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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-64. Maintained within the Business Enterprise Program Files, referenced as “set aside accounting”.**

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
(Std Form RM-1 Rev 1/03)

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

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- **DHS-65. Maintained within the Business Enterprise Program Files.**

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.)

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(Std Form RM-1 Rev 1/03)

DEPARTMENT: Human Services
DIVISION: Long Term Services & Supports
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0132

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-67. New series created.

DSS-67. ADMINISTRATIVE REFERENCE FILES:

07-063

This series may be arranged by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget; equipment; inventory; legislation; organization/association; property management information; monthly reports; policies and procedures; reference manuals; logs; rules and regulations; mailing lists; general correspondence; and any other related information. This record series is maintained for reference purposes.

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

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

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

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DEPARTMENT: Human Services
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OFFICE: _____
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RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0132

<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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-68. Maintained in the Minutes, Boards and Commissions series.
- DSS-69. New series created.

DSS-68. ADVISORY COUNCIL MINUTES:

07-063

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

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

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

DSS-69. APPLICATIONS, ADVOCACY ASSISTANCE:

07-063

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

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

(Note: Previous record series number was SOC-179.)

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-70. New series created.
- DSS-71. New series created.

DSS-70. CASE FILES, MEDICAL REVIEW TEAM:

07-063

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

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

(Note: Previous record series number was SOC-392.)

DSS-71. CASE-MIX ASSESSMENT REPORTS:

07-063

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

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

(Note: Previous record series number was SOC-182.)

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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-72. New series created.
- DSS-73. No longer done by LTSS.

DSS-72. CLIENT ASSESSMENT FILES:

07-063

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

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

(Note: Previous record series number was SOC-180.)

DSS-73. DRUG UTILIZATION REVIEW FILES:

07-063

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

RETENTION: Retain 6 years, then destroy.

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

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RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0132

<u>RECORD</u>		<u>R.D.B.</u>
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-74. New series created.

DSS-74. GRANTS AND STATE PLANS:

07-063

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

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

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

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OFFICE: _____
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RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0132

<u>RECORD</u>		<u>R.D.B.</u>
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-74.1. No longer done by LTSS.
- DSS-75. New series created.

DSS-74.1. GUARDIAN CONSERVATOR CASES:

15-012

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

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

DSS-75. OMBUDSMAN FILE:

07-063

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

RETENTION: Destroy 6 years after inactive.

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<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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

Reason for Deletion:

- DSS-76. New series created.
- DSS-77. New series created.

DSS-76. PERFORMANCE REPORTS, PROGRAMS:

07-063

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

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

(Note: Previous record series number was SOC-187.)

DSS-77. PRE-ADMISSION ASSESSMENT:

07-063

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

RETENTION: Destroy 6 years after inactive.

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

- DSS-78. New series created.

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RECORDS OFFICER: Linda Binstock
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RECORD		R.D.B.
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Human Services.

DSS-78. PROGRAM REPORTS:

Reason for Deletion:

07-063

This series is arranged chronologically and contains information concerning the administration of nutrition, transportation, adult daycare and homemaker services. Information may include: correspondence, and quarterly reports. This record series is maintained to document the administration of grants and annual negotiated contracts.

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

(Note: Previous record series number was SOC-184.)



DEPARTMENT
OF
HUMAN SERVICES

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Human Resources and Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Human Resources and Administration
Records Management Program
1320 East Sioux Avenue
Pierre, South Dakota 57501

2025

PROJECT STAFF

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Department of Human Services

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Department of Human Services

Linda Binstock, Records Officer
Department of Human Services

The employees of the Department of Human Services who contributed their time to explain the purpose and review the content of each record.

Dana Hoffer
State Records Manager

STATE RECORD DESTRUCTION BOARD

Jason Kettwig, Deputy Commissioner
Bureau of Human Resources and
Administration (Chairman)

Chelle Somsen, State Archivist
Department of Education

Russell Olson, State Auditor General
Legislative Audit

Ryan McFall
Office of the Attorney General

Jenna Latham
Office of the State Auditor

Dana Hoffer
State Records Manager

South Dakota Codified Laws:

1-27-1. Public records open to inspection and copying. Except as otherwise expressly provided by statute, all citizens of this state, and all other persons interested in the examination of the public records, as defined in § 1-27-1.1, are hereby fully empowered and authorized to examine such public record, and make memoranda and abstracts there from during the hours the respective offices are open for the ordinary transaction of business and, unless federal copyright law otherwise provides, obtain copies of public records in accordance with this chapter.

Each government entity or elected or appointed government official shall, during normal business hours, make available to the public for inspection and copying in the manner set forth in this chapter all public records held by that entity or official.

1-27-1.1. Public records defined. Unless any other statute, ordinance, or rule expressly provides that particular information or records may not be made public, public records include all records and documents, regardless of physical form, of or belonging to this state, any county, municipality, political subdivision, or tax-supported district in this state, or any agency, branch, department, board, bureau, commission, council, subunit, or committee of any of the foregoing. Data which is a public record in its original form remains a public record when maintained in any other form. For the purposes of §§ 1-27-1 to 1-27-1.15, inclusive, a tax-supported district includes any business improvement district created pursuant to chapter 9-55.

1-27-9. Records management programs--Definition of terms. Terms used in §§ 1-27-9 to 1-27-18, inclusive, mean:

(2) "Record," a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in §§ 1-27-9 to 1-27-18, inclusive.

1-27-11. Board to supervise destruction of records--State records manager as ex officio member--Permission required for destruction. There is hereby created a board consisting of the commissioner of administration, state auditor, attorney general, auditor-general, and state archivist to supervise and authorize the destruction of records. The state records manager shall also serve as an ex officio member in an advisory capacity only. No record may be destroyed or otherwise disposed of by any agency of the state unless it is determined by majority vote of the board that the record has no further administrative, legal, fiscal, research, or historical value.

1-27-15. Destruction of non-record materials. Any non-record material not included within the definition of records as contained in § 1-27-9 may be destroyed at any time by the agency in possession of such materials without the prior approval of the commissioner of administration.

Notes, Record Handling, & Definitions

- Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.
- 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.
- 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.
- Executive Reorganization Order No. 2017-01, the Division of Adult Services and Aging under the Department of Social Services was transferred to the Department of Human Services.

Record Handling:

- EDMS = Electronic Document Management System (used to manage the creation, storage, capture, distribution, retention, and retrieval of documents within a centralized repository).
- Unless this records retention and destruction schedule specifies otherwise, retain scanned paper for 3 business days after a system-level backup of the records is completed, then destroy provided all images have been verified to be accurate and complete.
- BIT's system-level backups occur daily.
- Consider converting long-term/permanent retention electronic images to microfilm.
- Records retention rules apply to all records, regardless of the media on which they reside.
- If records are being retained only in electronic format, the record must remain accessible for the entire retention requirement.
- Records, regardless the format, relevant to pending or reasonable anticipated litigation must be preserved even if this manual allows for its destruction.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT:	<u>Human Services</u>
DIVISION:	<u>Administrative Records</u>
OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0069</u>

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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DHS-1. ADMINISTRATIVE HEARING CASE FILES:

!@#\$

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 5 years. Destroy after 7 years.

DHS-2. ADMINISTRATIVE HEARING FINAL DECISIONS:

!@#\$

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 electronic format.

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DHS-3. ADMINISTRATIVE REFERENCE FILES:

!@#\$

This series may be arranged by subject matter and contains information used in the daily administration of the program or office. Information may include, but is not limited to: budget, equipment, inventory, legislation, organization/association, and property management information; monthly reports; annual 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 when superseded or obsolete.

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

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DHS-4. ADMINISTRATIVE RULES PROMULGATION FILES:

!@#\$

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: Retain permanently.

(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.)

DHS-5. AFFIRMATIVE ACTION PLANS:

!@#\$

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.

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DHS-6. CONTRACTS AND AGREEMENTS:

!@#\$

This electronic 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 electronically. Destroy 6 years after terminated provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: SDCL 1-24A-1 requires that a copy of all consultant contracts be filed with the State Auditor within 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.)

DHS-7. FLYERS, BROCHURES, AND PAMPLETS:

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This electronic series contains flyers, brochures, pamphlets, and similar publications. This record series is kept to document publicity requirements, department actions, and for reference needs.

RETENTION: Retain current in Electronic Records Management System. Destroy when superseded or obsolete.

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DHS-8. GUARDIANSHIP PROGRAM FILES:

!@#\$

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 7 years. Destroy 7 years after inactive provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DHS-9. HIPAA DOCUMENTATION:

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This paper and database series is arranged alphabetically by name and contains HIPAA documentation that will be kept in one master file. Documentation may include: breach reports, risk assessments, and other HIPAA related forms. This record series is required to be maintained six years by the HIPAA regulation for purpose of a potential compliance review by the United States Secretary of Health and Human Services.

RETENTION: Retain 6 years in Electronic Records Management System, then destroy.

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RM CUSTOMER #: 0069

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DHS-10. LEGAL CASE FILES:

!@#\$

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 7 years. Destroy 7 years after inactive, provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DHS-11. MINUTES, BOARDS AND COMMISSIONS:

!@#\$

This series contains minutes of various board and commission meetings. Boards and commissions may include: South Dakota Advisory Council on Aging, Board of Services to the Blind and Visually Impaired, South Dakota Council on Developmental Disabilities, Family Support Council, Independent Living Council, and Vocational Rehabilitation Board. 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.

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: Linda Binstock
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-12. PRESS RELEASES:

!@#\$

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

RETENTION: Retain 2 years in Electronic Records Management System, then destroy.

DHS-13. RECEIPT BOOKS:

!@#\$

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 6 years. Destroy after 7 years provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: Federal Mandate)

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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: Linda Binstock
RM CUSTOMER #: 0069

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DHS-14. RECORDS MANAGEMENT FILES:

!@#\$

This series contains the completed forms used to track inactive records that have been sent to Records Management (RM) Storage; and the department's "Records Retention and Destruction Schedule" (RRDS). Information may include: standard records transfer receipt forms, microfilm project registration forms; and microfilm and box destruction authorization forms. This record series is maintained for tracking records sent to Records Management storage, to document the time each record series must be legally maintained, and to document authorization granted to RM for destruction of obsolete records.

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

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

DHS-15. RELEASES FOR PHOTOS AND VIDEOS:

!@#\$

This electronic series contains copies of executed releases authorizing the use of photographs and videos by the Department. This record series is maintained for reference purposes.

RETENTION: Retain 5 years in Electronic Records Management System, then destroy.

DHS-16. SIGNED PROCLAMATIONS:

!@#\$

This electronic series contains copies of proclamations that were requested by the Department and signed by the Governor. This record series is kept for department reference needs.

RETENTION: Retain 5 years in Electronic Records Management System, then destroy.

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

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

RECORD		R.D.B.
<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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DHS-17. ANNUAL BUDGET PREPARATION FILES:

!@#\$

This electronic series contains the agency files which are utilized by budget manager in preparing and executing the agency budget for each fiscal year. Information may include, but is not limited to: agency narrative reports, FMAP calculations, financial overviews, revenue and performance indicators, condition statements, major items requested by the agency, major items as recommended by BF&M, major items as recommended by the Governor, major items appropriated by the legislature, personal services analysis, correspondence, minutes, budget justifications, rolling budget reports, legislative letters of intent, and appropriation summaries. This record series is maintained for budget formulation and for reference to monitor fund use.

RETENTION: Retain 10 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DHS-18. APPROPRIATION CARRYOVERS:

!@#\$

This electronic series contains forms used to carryover appropriations from one fiscal year to the next. Information may include: agency name, budgetary code, amount to be carried over, reason, and authorized signatures. This record series is maintained for reference and audit purposes.

RETENTION: Retain 10 years, then destroy 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 &
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AUTHORIZATION FORM
(Std Form RM-1 Rev 1/03)

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

RECORD		R.D.B.
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DHS-19. APPROPRIATION TRANSFER VOUCHERS:

!@#

This electronic series is arranged numerically and contains copies of vouchers used to transfer budget amounts or appropriation authority from one area to another. Information may include: date, application area, document identification, payee, payer, original account, transfer account, amount, description, and authorized signatures. This record series is maintained for reference purposes to document budget transfers and authorized appropriation transfers.

RETENTION: Retain 10 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DHS-20. AUDIT REPORTS/SUBRECIPIENT MONITORING:

!@#

This electronic series contains federally initiated DHS conducted audits and subrecipient monitoring reports and workpapers concerning the expenditure and administration of government subsidies. Audited agencies may include, but are not limited to: adult services and aging groups, developmental disabilities agencies, and others. Information may include: financial statements, accounting workpapers, recipient information, communications between DHS and audited agencies. The audits/reviews are conducted to identify problem areas and discrepancies so that corrective measures can be implemented.

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

STATE OF SOUTH DAKOTA
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AUTHORIZATION FORM
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DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0549

RECORD		R.D.B.
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DHS-21. BANK STATEMENTS:

!@#\$

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

DHS-22. BUREAU OF FINANCE & MANAGEMENT FINANCIAL REPORTS:

!@#\$

These electronic reports are generated by the Bureau of Finance & Management and are transmitted to agencies monthly and/or weekly. Reports include, but are not limited to: Available Funds, Employee Reimbursement Register, Payment Register, Trial Balance, Cash Balance, Purchase Order Balance, and Object/Sub-Object.

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

STATE OF SOUTH DAKOTA
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AUTHORIZATION FORM
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DEPARTMENT: Human Services
DIVISION: Budget and Finance
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0549

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DHS-23. CASH RECEIPTS:

!@#

This electronic series is arranged numerically by document number. Information may include drawdown system supporting documentation and payment verification, copies of checks and their supporting documentation, the voucher showing the lines of coding into which the funds were deposited, and the accounting system print screen submitted to the Office of the State Treasurer. This series is maintained for audit purposes.

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

DHS-24. 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 6 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0549</u>

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DHS-25. COST REPORTS:

!@#\$

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

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

DHS-26. FEDERAL ACCOUNTING REPORTS:

!@#\$

This series is arranged chronologically and contains a copy of record of all federal accounting reports submitted by the department to the federal granting agencies as required by federal regulations. Reports may include, but are not limited to: Annual Report of Vending Facility Program (RSA-15), Vocational Rehabilitation Financial Report (RSA-17), Federal Financial Report (FFR/SF425), and other federal financial reports. Information may include: federal grant identifying number, grant period, total funds received, total outlays (federal share and state share), unliquidated obligations, federal funds authorized and unobligated funds. This record series is maintained for audit purposes.

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

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DHS-27. FEDERAL GRANT AWARD DOCUMENTS:

!@#\$

This electronic series is arranged by federal year of funding and then by grant number. It contains the grant award documentation received from the federal grantor agency. This series is maintained for audit purposes.

RETENTION: Retain 6 years, then destroy provided the date of submission of the closure of the single audit report has passed and all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DHS-28. FEE SCHEDULES:

!@#\$

This series contains the fee schedules published by DHS to inform authorized Providers of Medicaid service rates related to DHS programs. 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 6 years in office, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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

(Note: Federal Mandate)

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RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0549</u>

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DHS-29. FINANCIAL STATEMENTS:

@#\$%

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

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

(Note: Federal Mandate)

DHS-30. GRANT REPORTS:

!@#\$

This electronic series contains our internal grant reports for each division for both federal and internal grants from other state agencies. Information in these reports include: award amount, ALN, funds awarded (federal share and/or state share), grant periods, grant requirements such as administrative limits, total outlays, unliquidated obligations, unobligated balances and any other specific requirements per grant regulations. This series is maintained for audit purposes and as supporting documentation for grant reporting.

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

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DHS-31. LEASE FILES:

!@#\$

This electronic series contains the executed state agency leases of non-state owned buildings. Information may include amendments, attachments to the lease, floor plans, and cancellation letters. This series is maintained for reference concerning the terms and conditions of each lease as well as for GASB reporting to BFM and initiating rent payments.

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

DHS-32. MONTHLY BUDGET REPORTS:

!@#\$

These monthly electronic reports contain a summary of old and new budgetary and expenditure information. Information may include: date, budgetary codes, department name, expenditures, encumbrances, and expenditure projections.

RETENTION: Retain 10 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

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DHS-33. NONCASH & JOURNAL VOUCHERS:

!@#\$

This electronic series is arranged by document number and contains noncash and journal vouchers. Vouchers may include: purpose of the voucher, amount, account codes credited and debited, agencies involved (noncash), and authorized signatures. This record series is maintained for audit purposes.

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

DHS-34. PERSONAL SERVICE REPORTS:

!@#\$

This annual excel report contains a summary of old and new salary schedules. Information may include: date, budgetary codes, department name, job classification code, employee name, old salary, new salary, amount increase, and percentage of increase.

RETENTION: Retain 10 years, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

DHS-35. PROCUREMENT CARDS:

!@#\$

This electronic and paper series is arranged by cardholder name and contains procurement card information. Information may include: cardholder name, monthly statements, supporting invoices or receipts, and screen prints from FM01 showing coding used for each transaction. This record series is maintained for audit purposes.

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

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OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0549</u>

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DHS-36. RATE SETTING FILES:

!@#\$

This series is arranged chronologically and contains annual rate setting information by division/service. Information may include: supporting documentation, working papers and correspondence. 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 six years after submission of the final expenditure report.

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

DHS-37. REVIEW FILES:

!@#\$

This series is arranged chronologically and contains reviews of facilities and or services provided by a provider/vendor. Information may include: financial and/or programmatic information. This record series is maintained to comply with federal audit requirements for oversight and monitoring responsibilities under federal OMB Circular A-133.

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

(Note: Federal Mandate)

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OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0549

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<u>SERIES NO.</u>	<u>TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE</u>	<u>AUTHORITY</u>
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DHS-38. SINGLE AUDIT REPORTS:

!@#\$

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

(Note: 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.)

DHS-39. SSIS & ASL VENDOR PAYROLL:

!@#\$

These reports are generated electronically from EOS weekly for SSIS and twice per monthly for ASL. The reports contain payment information to vendors such as: assisted living facilities, health care facilities, in home service providers for a variety of services. Information includes: run date, account date, warrant numbers, vendor name, service code. This record series is maintained for audit purposes.

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

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OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0549</u>

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DHS-40. SURPLUS PROPERTY FILES:

!@#\$

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

DHS-41. TIME STUDIES:

!@#\$

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.

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

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RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0549

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DHS-42. VOUCHERS:

!@#\$

This series contains payment vouchers (direct, contract, employee) along with copies of any supporting invoices or receipts.

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.

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AUTHORIZATION FORM
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DEPARTMENT: Human Services
DIVISION: Developmental Disabilities
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0536

RECORD		R.D.B.
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DHS-43. ADMINISTRATIVE FILES:

!@#

This electronic series may be arranged by subject matter and contains information used in the daily administration of all the Division of Developmental Disabilities (DDD) programs. Information may include, but is not limited to: budget information, inventory, legislation, reports, policies, procedures, contracts, contract payments, program reviews, correspondence, provider files, and personnel files.

RETENTION: Retain current in Electronic Records Management System. Destroy when superseded or obsolete.

DHS-44. COMMUNITY PROVIDER FILES:

!@#

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: Destroy 15 years after inactive.

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DIVISION: Developmental Disabilities
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0536

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DHS-45. PARTICIPANT FILES:

!@#\$

This series is arranged alphabetically by participant name and contains files used by the department to determine services and eligibility and 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 Electronic Records Management System. Destroy 15 years after adults expire or leaves service, then destroy. For children or youth under the age of 18, retain until the age of 18 plus 6 years, then destroy.

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DIVISION:	<u>Developmental Disabilities</u>
OFFICE:	<u>Planning Council on DD</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0539</u>

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DHS-46. GRANT REVIEW SHEETS:

!@#\$

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.

DHS-47. PLANNING COUNCIL ON DEVELOPMENTAL
DISABILITIES:

!@#\$

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 Electronic Records Management
System, then transfer to State Archives for screening and final
disposition.

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

DEPARTMENT: Human Services
DIVISION: Long Term Services and Supports
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0132

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

DHS-48. ADMINISTRATIVE FILES:

!@#

This electronic series may be arranged by subject matter and contains information used in the daily administration of all the Division of Long Term Services and Supports (LTSS) programs. Information may include but is not limited to: budget information, inventory, legislation, reports, policies, procedures, contracts, contract payments, correspondence, and personnel files.

RETENTION: Retain current in Electronic Records Management System. Destroy when superseded or obsolete.

DHS-49. GRANT FILES:

!@#

This electronic series is arranged by grant type and contains documentation related to grants received by LTSS for the application, administration, and monitoring. Information may include: Notice of awards, grant program reports, applications, financial information, subrecipient files, including vouchers, participant/caregiver requests and reimbursement, state plans, advisory council on aging and OAAPS reporting.

RETENTION: Retain 6 years in Electronic Records Management System, then then destroy 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: Human Services
DIVISION: Long Term Services and Supports
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0132

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

DHS-50. PARTICIPANT FILES:

!@#

This paper and electronic series is arranged numerically by unique case ID and contains all related documentation for recipients of LTSS services. Information stored electronically may include, but is not limited to: demographics, intake information, income verification, case notes, correspondence, fee slips, pre-admission assessments, extraordinary care documentation, expenditures, scanned versions of signed documents, and medical records.

RETENTION: HARD COPIES: Retain until no longer needed, then destroy. Not to exceed 10 years.

ELECTRONIC FILES: Retain 10 years after closure date, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: In instances where a recipient has multiple cases, only the 10+ years' data is destroyed.)

DHS-51. PROVIDER FILES:

!@#

This electronic series is arranged by subject related to providers and contains documentation related to a variety of topics specific to providers. Examples may include, but not limited to: case mix reviews, program reviews, ombudsman files, enrollment, complaints, and rate letters.

RETENTION: Retain 6 years in Electronic Records Management System, then destroy 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:	<u>Human Services</u>
DIVISION:	<u>Rehabilitation Services</u>
OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Linda Binstock</u>
RM CUSTOMER #:	<u>0187</u>

<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. ADMINISTRATIVE FILES:

!@#\$

This paper and electronic series may be arranged by subject matter and contains information used in the daily administration of all the Division of Rehabilitation Services (DRS) programs. Information may include, but is not limited to: budget information, inventory, legislation, reports, policies, procedures, contracts, contract payments, program reviews, correspondence, provider files, and personnel files.

RETENTION: Retain records containing PII for 15 years after receipt, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

ALL OTHER INFORMATION: Retain current. Destroy when superseded or obsolete.

DHS-53. RECIPIENT CASE FILES:

!@#\$

This paper and electronic series is arranged numerically by unique case ID and contains all related documentation for recipients of DRS services. Information stored electronically may include, but is not limited to: demographics, application date, income verification, case notes, correspondence, expenditures, scanned versions of signed documents, and medical records.

RETENTION: HARD COPIES: Retain until no longer needed, then destroy. Not to exceed 15 years.

ELECTRONIC FILES: Retain 15 years after closure date, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

(Note: In instances where a recipient has multiple cases, only the 15+ years' data is destroyed.)

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0208

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

DHS-54. ADMINISTRATIVE FILES:

!@#\$

This paper and electronic series may be arranged by subject matter and contains information used in the daily administration of all the Division of Services for the Blind and Visually Impaired (SBVI) programs. Information may include but is not limited to: accounting records, budget information, invoices, inventory, legislation, federal RSA files, reports, policies, procedures, contracts, contract payments, program reviews, correspondence, provider files, and personnel files.

RETENTION: Retain records containing PII for a minimum of 10 years. Destroy after 10 years provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

ALL OTHER INFORMATION: Retain current. Destroy when superseded or obsolete.

DHS-55. BUSINESS ENTERPRISE PROGRAM FILES:

!@#\$

This series contains information used to set up visually impaired persons in business and help them with operations. Information may include, but is not limited to: accounting records, inspection reports, vendor inventory sheets, rest area accounting files, vendor personnel files, invoices, set aside accounting. This record series is maintained for reference purposes and as documentation to support accounting records.

RETENTION: Retain records containing PII for a minimum of 10 years. Destroy after 10 years provided all litigation, claims, and audit finding involving the records have been resolved and final action has been taken.

ALL OTHER INFORMATION: Retain current. Destroy when superseded or obsolete.

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

DEPARTMENT: Human Services
DIVISION: SBVI
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Linda Binstock
RM CUSTOMER #: 0208

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

DHS-56. BUSINESS ENTERPRISE PROGRAM LOCATION FILES:

!@#\$

This series contains documentation used to allow operation of a business at a particular location. Information may include, but is not limited to: correspondence, memorandums of understanding, permits, and Business Enterprise Program-owned equipment inventory. This record series is maintained as a central depository for quick reference to information regarding each location.

RETENTION: Retain current. Destroy when superseded or obsolete.

DHS-57. CASE FILES:

!@#\$

This series contains all related documentation for recipients of SBVI services. Information may include: demographics, application dates, income verification, case notes, correspondence, expenditures, scanned versions of signed documents, and medical records. This record series is maintained to document the history of each client who has received services or benefits.

RETENTION: HARD COPIES: Retain until no longer needed, then destroy.

ELECTRONIC FILES: Retain 15 years after closure date, then destroy provided all litigation, claims, and audit findings involving the records have been resolved and final action has been taken.

REHABILITATION CENTER FOR THE BLIND: Destroy hard copies 1 year after service end date.

(Note: In instances where a recipient has multiple cases, only the 15+ years' data is destroyed.)

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Brent Fluke, acting in my position as the Deputy Secretary of the Department of Corrections, 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 Parole Services consists of 5 page(s) and contains record series number(s) PS-1 (consecutively re-number) through PS-16.

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 Parole Services consists of 5 page(s) and contains record series number(s) PS-2, PS-7, PS-8, PS-9, PS-11, PS-12, PS-13, PS-14, PS-15, PS-16, PS-18, PS-19, PS-22, PS-24, and PS-32.

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.

Brent Fluke

Brent Fluke (Nov 13, 2025 13:49:38 CST)

Brent Fluke, Deputy Secretary of the
Department of Corrections

11/13/2025

Date

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

Dana Hoffer

Dana Hoffer, State Records Manager

11/18/2025

Date

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Corrections, Parole Services.

Reason for Deletion:

- PS-2. See below description.
- PS-7. See below description.
- PS-8. See below description.
- PS-9. See below description.

PS-2. ADMINISTRATIVE RULES, COMPLETED:

04-008

This record series is no longer being maintained separate. The files are combined with PS-2. **Administrative Rules Promulgation Files:**

PS-7. CASE FILES:

04-008

This record series is no longer maintained by Parole Services. This is now part of ADULT-52. **Legal Files:** in the Adult Institution section.

PS-8. CASE FILES, INMATE BACKGROUND (CONFIDENTIAL):

04-008

This record series no longer exists. Any existing confidential inmate background case files should have been sent to State Archives for screening.

PS-9. CASE FILES, LIFE SENTENCE:

04-008

This record series is no longer maintained by Parole Services. This is now part of ADULT-52. **Legal Files:** in the Adult Institution section.

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Corrections, Parole Services.

Reason for Deletion:

- PS-11. See below description.
- PS-12. See below description.
- PS-13. See below description.
- PS-14. See below description.

PS-11. CASE FILES, PAROLE (INSTITUTION) DISCHARGED:

04-008

This record series is no longer maintained by Parole Services. This is now part of **ADULT-52. Legal Files:** in the Adult Institution section.

PS-12. CASE FILES, PAROLE SUPERVISION & SUSPENDED SENTENCE:

04-008

This record series is no longer maintained by Parole Services. This is now part of **ADULT-52. Legal Files:** in the Adult Institution section.

PS-13. CORRESPONDENCE, GENERAL:

04-008

This record series is no longer being maintained separate. The files are combined with **PS-1. Administrative Reference Files:**

PS-14. COURT DECISIONS:

04-008

This record series is no longer maintained by Parole Services. Court Decisions are maintained by the Administration Office as part of **DOC-48. Legal Action Files:**

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

<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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NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Corrections, Parole Services.

Reason for Deletion:

- PS-15. See below description.
- PS-16. Information is maintained in the Electronic Offender Management System (COMS).
- PS-18. See below description.

PS-15. DISCHARGE LIST:

04-008

This record series is no longer exists for Parole Services.

PS-16. ELECTRONIC PAROLE DATABASE:

04-008

This database series contains inmate information. Information may include: parole information, address, addresses of other occupants, closed case summary, education, financial information, jail days, job history, life skills, medications, narratives, supervision, testing, treatments, vehicles, victim's notification, supervision fees, executive clemency information, pardons, non-compliance hearings, and agent information. This record series is used for reference and tracking purposes.

RETENTION: Retain 40 years after discharge, then delete.

PS-18. FINANCIAL STATEMENTS:

04-008

This record series is no longer maintained by Parole Services. Financial Statements are maintained by Prison Industries.

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

<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>
------------------------------------	---	--

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Corrections, Parole Services.

Reason for Deletion:

- PS-19. See below description.
- PS-22. Information is maintained in the Electronic Offender Management System.

PS-19. INMATE CARDS:

04-008

This record series is no longer maintained by Parole Services. Information on the cards is entered into the Mainframe System and is also stored in an access database.

PS-22. MAINFRAME INMATE RECORDS:

04-008

This computer series is arranged by inmate name and DOC assigned sentence number(s) and contains an individual record of each inmate currently under the jurisdiction of the Department of Corrections (DOC) adult institutional system. These records are stored on the state mainframe computer. Information may include: inmate admission date; sentence information including crime, sentence, county, judge, plea, release and parole dates; demographics; disciplinary; classification; scheduling; assignment; transfer; parole; and visit information. This record series is maintained for reference purposes.

RETENTION: ALL OTHERS: Retain 40 years after discharge, then delete.

PARDONED INMATES: Delete immediately.

(Note: Discharge is defined as an inmate's final release from custody of the DOC as defined in SDCL 24-5-2 and 24-15A-17. A parole or release on suspended sentence is not a discharge.)

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

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

NOTE: Records Retention and Destruction Board, consider the following record series listed below for deletion for the Department of Corrections, Parole Services.

Reason for Deletion:

- PS-24. See below description.
- PS-32. See below description.

PS-24. MSA/BUDGETARY ACCOUNTING REPORTS:

04-008

This series is no longer maintained by Parole Services.

PS-32. SUPERVISED INTERSTATE CASES:

04-008

This record series is no longer maintained by Parole Services. This is now part of **ADULT-52. Legal Files:** in the Adult Institution section.



DEPARTMENT OF CORRECTIONS

PAROLE SERVICES

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Human Resources and Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Human Resources and Administration
Records Management Program
1320 East Sioux Avenue
Pierre, South Dakota 57501

2025

PROJECT STAFF

Brent Fluke, Deputy Secretary
Department of Corrections

The employees of the Department of Corrections who contributed their time to explain the purpose and review the content of each record.

Rachel Graves, Business Manager
Department of Corrections

Emily Trujillo, Records Officer
Department of Corrections

Dana Hoffer
State Records Manager

STATE RECORD DESTRUCTION BOARD

Jason Kettwig, Deputy Commissioner
Bureau of Human Resources and
Administration (Chairman)

Beverly J. Katz
Office of the Attorney General

Chelle Somsen, State Archivist
Department of Education

Jenna Latham
Office of the State Auditor

Russell Olson, State Auditor General
Legislative Audit

Dana Hoffer
State Records Manager

South Dakota Codified Laws:

1-27-2. Public records open to inspection and copying. Except as otherwise expressly provided by statute, all citizens of this state, and all other persons interested in the examination of the public records, as defined in § 1-27-1.1, are hereby fully empowered and authorized to examine such public record, and make memoranda and abstracts there from during the hours the respective offices are open for the ordinary transaction of business and, unless federal copyright law otherwise provides, obtain copies of public records in accordance with this chapter.

Each government entity or elected or appointed government official shall, during normal business hours, make available to the public for inspection and copying in the manner set forth in this chapter all public records held by that entity or official.

1-27-1.1. Public records defined. Unless any other statute, ordinance, or rule expressly provides that particular information or records may not be made public, public records include all records and documents, regardless of physical form, of or belonging to this state, any county, municipality, political subdivision, or tax-supported district in this state, or any agency, branch, department, board, bureau, commission, council, subunit, or committee of any of the foregoing. Data which is a public record in its original form remains a public record when maintained in any other form. For the purposes of §§ 1-27-1 to 1-27-1.15, inclusive, a tax-supported district includes any business improvement district created pursuant to chapter 9-55.

1-27-9. Records management programs--Definition of terms. Terms used in §§ 1-27-9 to 1-27-18, inclusive, mean:

(2) "Record," a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in §§ 1-27-9 to 1-27-18, inclusive.

1-27-11. Board to supervise destruction of records--State records manager as ex officio member--Permission required for destruction. There is hereby created a board consisting of the commissioner of administration, state auditor, attorney general, auditor-general, and state archivist to supervise and authorize the destruction of records. The state records manager shall also serve as an ex officio member in an advisory capacity only. No record may be destroyed or otherwise disposed of by any agency of the state unless it is determined by majority vote of the board that the record has no further administrative, legal, fiscal, research, or historical value.

1-27-15. Destruction of non-record materials. Any non-record material not included within the definition of records as contained in § 1-27-9 may be destroyed at any time by the agency in possession of such materials without the prior approval of the commissioner of administration.

Notes, Record Handling, & Definitions

Notes:

- Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.

Record Handling:

- EDMS = Electronic Document Management System (used to manage the creation, storage, capture, distribution, retention, and retrieval of documents within a centralized repository).
- Unless this records retention and destruction schedule specifies otherwise, retain scanned paper for 3 business days after a system-level backup of the records has occurred, then destroy provided all images have been verified to be accurate and complete.
- BIT's system-level backups occur daily.
- Consider converting long-term/permanent retention electronic images to microfilm.
- Records retention rules apply to all records, regardless of the media on which they reside.
- If records are being retained only in electronic format, the record must remain accessible for the entire retention requirement.
- Records, regardless the format, relevant to pending or reasonable anticipated litigation must be preserved even if this manual allows for its destruction.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT:	<u>Corrections</u>
DIVISION:	<u>Parole Services</u>
OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Emily Trujillo</u>
RM CUSTOMER #:	<u>0290</u>

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

PS-1. ADMINISTRATIVE REFERENCE FILE:

!@#\$

This series contains information used in the daily administration of Parole Services. Information may include: professional organizations, halfway houses, speech material, correspondence, and letters and memorandums sent or received. This record series is used for occasional reference and documentation.

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

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

(Note: Review files at least once a year to avoid build-up of superseded or obsolete material.)

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

DEPARTMENT:	<u>Corrections</u>
DIVISION:	<u>Parole Services</u>
OFFICE:	<u></u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Emily Trujillo</u>
RM CUSTOMER #:	<u>0290</u>

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

PS-2. ADMINISTRATIVE RULES PROMULGATION FILES:

!@#

This series contains a complete set of all administrative rules promulgated for use by Parole Services. Information may include: notices of public hearings, affidavits of publication of notices, written comment from the public, and final decisions. The files have very 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 an administrative rule pursuant to SDCL 1-26.

RETENTION: FINAL DECISIONS: Retain permanently in office.

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

(Note: Files may be retained electronically.)

(Note: SDCL 1-26-7 states in part that “each agency shall keep the original records, documents, and instruments required by the chapter.” There is no time frame included for these records. Since SDCL 1-26-6.8 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 adoption of rules appearing in the 1974 printed ARSD.)

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

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

PS-3. ATTORNEY GENERAL OPINIONS:

!@#

Parole Services see **DOC-7** in the Administration Office section.

PS-4. AUDIT REPORTS:

!@#

Parole Services see **DOC-8** in the Administration Office section.

PS-5. BUDGET FILES, APPROVED ANNUAL OPERATING BUDGET:

!@#

Parole Services see **DOC-11** in the Administration Office section.

PS-6. ELECTRONIC OFFENDER MANAGEMENT SYSTEM:

!@#

This series contains the Electronic Offender Management System. Information may include: inmate admission date, sentencing information including crime, sentence, release, and parole; demographics; disciplinary; classification; scheduling; assignment, transfer; parole; and visit information. This record series is used for reference and tracking purposes.

RETENTION: Retain permanently.

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

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

PS-7. E-MAIL RECORDS:

!@#

All active email users of the Executive Branch under the purview of the Governor and not exempted by the Bureau of Information and Telecommunications (BIT) must follow the statewide email records retention established by BIT.

PS-8. LEAVE REQUESTS:

!@#

Leave Requests are maintained by the Bureau of Human Resources and Administration in TKS.

PS-9. LEGISLATION FILES:

!@#

Parole Services see **DOC-49** in the Administration Office section.

PS-10. PERFORMANCE APPRAISALS:

!@#

Performance Appraisals are maintained by the Bureau of Human Resources and Administration in Manager Space.

PS-11. PROFESSIONAL ORGANIZATIONS FILES:

!@#

Parole Services see **DOC-6** in the Administration Office section.

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

DEPARTMENT: Corrections
DIVISION: Parole Services
OFFICE: _____
PROGRAM: _____
RECORDS OFFICER: Emily Trujillo
RM CUSTOMER #: 0290

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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PS-12. REQUISITIONS:

!@#

Parole Services see **DOC-70** in the Administration Office section.

PS-13. SALARY LISTS:

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Salary Lists are maintained by the Bureau Human Resources and Administration.

PS-14. TELEPHONE MESSAGE RECORDS:

!@#

This series is comprised of messages left telephonically, whether recorded on paper, voice mail, or sent via e-mail.

RETENTION: Retain current in office until action is taken, then destroy or delete.

PS-15. TIME SHEETS:

!@#

Time Sheets are maintained by the Bureau of Human Resources and Administration in TKS.

PS-16. VOUCHERS:

!@#

Parole Services see **DOC-78** in the Administration Office section.

PETITION FOR AUTHORITY TO DESTROY RECORDS

I, Brent Fluke, acting in my position as the Deputy Secretary of the Department of Corrections, 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 Board of Pardons and Paroles consists of 6 page(s) and contains record series number(s) PP-1 (consecutively number) through PP-15.

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

The undersigned certifies that the retention for each and every record petitioned to be destroyed does not violate any minimum retention time required by state statute; will allow for required state and federal audits to be performed or the time within which to make said audits to pass; and will allow for all applicable statutes of limitations to pass for all state contracts and Surety Bonds.

Brent Fluke
Brent Fluke (Nov 13, 2025 13:53:32 CST)
Brent Fluke, Deputy Secretary of the
Department of Corrections

11/13/2025
Date

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

Dana Hoffer
Dana Hoffer, State Records Manager

11/18/2025
Date



DEPARTMENT OF CORRECTIONS

BOARD OF PARDONS AND PAROLES

RECORDS RETENTION AND DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Human Resources and Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Human Resources and Administration
Records Management Program
1320 East Sioux Avenue
Pierre, South Dakota 57501

2025

PROJECT STAFF

Brent Fluke, Deputy Secretary
Department of Corrections

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Department of Corrections

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Dana Hoffer
State Records Manager

Shelli Gust, Parole Board Administration Manager
Department of Corrections

STATE RECORD DESTRUCTION BOARD

Jason Kettwig, Deputy Commissioner
Bureau of Human Resources and
Administration (Chairman)

Beverly J. Katz
Office of the Attorney General

Chelle Somsen, State Archivist
Department of Education

Jenna Latham
Office of the State Auditor

Russell Olson, State Auditor General
Legislative Audit

Dana Hoffer
State Records Manager

South Dakota Codified Laws:

1-27-3. Public records open to inspection and copying. Except as otherwise expressly provided by statute, all citizens of this state, and all other persons interested in the examination of the public records, as defined in § 1-27-1.1, are hereby fully empowered and authorized to examine such public record, and make memoranda and abstracts there from during the hours the respective offices are open for the ordinary transaction of business and, unless federal copyright law otherwise provides, obtain copies of public records in accordance with this chapter.

Each government entity or elected or appointed government official shall, during normal business hours, make available to the public for inspection and copying in the manner set forth in this chapter all public records held by that entity or official.

1-27-1.1. Public records defined. Unless any other statute, ordinance, or rule expressly provides that particular information or records may not be made public, public records include all records and documents, regardless of physical form, of or belonging to this state, any county, municipality, political subdivision, or tax-supported district in this state, or any agency, branch, department, board, bureau, commission, council, subunit, or committee of any of the foregoing. Data which is a public record in its original form remains a public record when maintained in any other form. For the purposes of §§ 1-27-1 to 1-27-1.15, inclusive, a tax-supported district includes any business improvement district created pursuant to chapter 9-55.

1-27-9. Records management programs--Definition of terms. Terms used in §§ 1-27-9 to 1-27-18, inclusive, mean:

(2) "Record," a document, book, paper, photograph, sound recording, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of records as used in §§ 1-27-9 to 1-27-18, inclusive.

1-27-11. Board to supervise destruction of records--State records manager as ex officio member--Permission required for destruction. There is hereby created a board consisting of the commissioner of administration, state auditor, attorney general, auditor-general, and state archivist to supervise and authorize the destruction of records. The state records manager shall also serve as an ex officio member in an advisory capacity only. No record may be destroyed or otherwise disposed of by any agency of the state unless it is determined by majority vote of the board that the record has no further administrative, legal, fiscal, research, or historical value.

1-27-15. Destruction of non-record materials. Any non-record material not included within the definition of records as contained in § 1-27-9 may be destroyed at any time by the agency in possession of such materials without the prior approval of the commissioner of administration.

Notes, Record Handling, & Definitions

Notes:

- Pursuant to ARSD 10:04:01:03 (5), Review the inventory and the retention and destruction schedules **annually** and petition changes to the state records manager to make the schedules current, accurate, and complete.

Record Handling:

- EDMS = Electronic Document Management System (used to manage the creation, storage, capture, distribution, retention, and retrieval of documents within a centralized repository).
- Unless this records retention and destruction schedule specifies otherwise, retain scanned paper for 3 business days after a system-level backup of the records has occurred, then destroy provided all images have been verified to be accurate and complete.
- BIT's system-level backups occur daily.
- Consider converting long-term/permanent retention electronic images to microfilm.
- Records retention rules apply to all records, regardless of the media on which they reside.
- If records are being retained only in electronic format, the record must remain accessible for the entire retention requirement.
- Records, regardless the format, relevant to pending or reasonable anticipated litigation must be preserved even if this manual allows for its destruction.

Definitions:

Superseded: To take the place of; replace.

Obsolete: No longer in use.

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

DEPARTMENT:	<u>Corrections</u>
DIVISION:	<u>Finance and Management</u>
OFFICE:	<u>Board of Pardons and Paroles</u>
PROGRAM:	<u></u>
RECORDS OFFICER:	<u>Emily Trujillo</u>
RM CUSTOMER #:	<u>0168</u>

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

PP-1. CASE FILES, PARDONS (GRANTED AND DENIED):

!@#

This series provides reference to those persons who have applied for and have been granted or denied pardons. Information may include: application, correspondence, pre-sentence investigation report, court documents, notification to sentencing judge and state's attorney, proof of service, and affidavit of publication. Information is summarized in the Parole Board and Clemency Minutes.

RETENTION: Retain permanently in office. Files may be retained electronically.

(Note: When the pardon is granted by the Governor, the pardon is filed with the Secretary of State's Office, in the Clerk of Courts Office of the county in which the crime was committed, and with the Division of Criminal Investigation.)

PP-2. CORRESPONDENCE, GENERAL:

!@#

This series is arranged chronologically and contains both copies of letters and memorandums sent to 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.

STATE OF SOUTH DAKOTA
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DIVISION:	<u>Finance and Management</u>
OFFICE:	<u>Board of Pardons and Paroles</u>
PROGRAM:	
RECORDS OFFICER:	<u>Emily Trujillo</u>
RM CUSTOMER #:	<u>0168</u>

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

PP-3. ELECTRONIC OFFENDER MANAGEMENT SYSTEM:

!@#\$

This series contains the Electronic Offender Management System. Information may include: inmate admission date, sentencing information including crime, sentence, release, and parole; demographics; disciplinary; classification; scheduling; assignment, transfer; parole; and visit information. This record series is used for reference and tracking purposes.

RETENTION: Retain permanently.

PP-4. ELECTRONIC PARDON DATABASE:

!@#\$

This database series contains information about individuals who have applied for and have been granted or denied pardons. Information may include: correspondence, application, pre-sentence investigation report, notification to sentencing court and state's attorney, proof of service, and affidavit of publication. Information is summarized in the Parole Board and clemency minutes.

RETENTION: Retain permanently.

PP-5. E-MAIL RECORDS:

!@#\$

All active email users of the Executive Branch under the purview of the Governor and not exempted by the Bureau of Information and Telecommunications (BIT) must follow the statewide email records retention established by BIT.

STATE OF SOUTH DAKOTA
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RECORDS OFFICER:	<u>Emily Trujillo</u>
RM CUSTOMER #:	<u>0168</u>

RECORD SERIES NO.	TITLE---DESCRIPTION---RETENTION AND DESTRUCTION SCHEDULE	R.D.B. AUTHORITY NUMBER
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PP-6. LEAVE REQUESTS:

!@#\$

Leave Requests are maintained by the Bureau of Human Resources and Administration in TKS.

PP-7. MINUTES, PARDONS, PAROLE, AND COMMUTATION BOARD:

!@#\$

This series is arranged chronologically and contains the original minutes from the Parole Board meetings and provides documentation of actions taken by the board.

RETENTION: Retain permanently in office. Minutes may be retained electronically.

(Note: Minutes are also posted on the Boards and Commissions' website.)

PP-8. PARDON AND COMMUTATION DOCKETS:

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This book series no longer accumulates. Older records have been scanned into electronic format. This record series is used for reference and documentation purposes.

RETENTION: Retain archived records in electronic format permanently.

(Note: Documentation of application for commutations are maintained in the "Mainframe Inmate Records" and the "Electronic Parole Database".)

(Note: Documentation of applications for pardons are maintained in the "Electronic Pardon Database".)

STATE OF SOUTH DAKOTA
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PP-9. PERFORMANCE APPRAISALS:

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Performance Appraisals are maintained by the Bureau of Human Resources and Administration in Manager Space.

PP-10. REVOCATION, NON-COMPLIANCE, AND SETTING OF SENTENCE TRANSCRIPTS:

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These transcripts provide documentation of revocation, non-compliance, and setting of sentence hearings. Information may include: inmate name, number, date of hearing, people present, and other relevant information. The transcripts are only obtained when an appeal is filed or a lawsuit is filed and/or it is necessary for the appeal or lawsuit.

RETENTION: NON-COMPLIANCE AND DISPOSITIONS:
Transfer to respective "Legal File".

ALL OTHER INFORMATION: Retain electronically 1 year after sentence has been completed, then destroy.

PP-11. SALARY LISTS:

!@#\$

Salary Lists are maintained by the Bureau Human Resources and Administration.

STATE OF SOUTH DAKOTA
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PP-12. STATISTICAL REPORTS:

!@#

This series contains monthly and annual reports. Information may include: Parole Board decisions, number considered for parole, granted parole, violations, suspended sentences, pardons, commutations, non-compliance, percent and break down by race and sex. This record series is used for reference purposes.

RETENTION: Retain reports electronically permanently.

PP-13. TELEPHONE MESSAGE RECORDS:

!@#

This series is comprised of messages left telephonically, whether recorded on paper, voice mail, or sent via e-mail.

RETENTION: Retain current in office until action is taken, then destroy or delete.

PP-14. TIME SHEETS:

!@#

Time Sheets are maintained by the Bureau of Human Resources and Administration in TKS.

STATE OF SOUTH DAKOTA
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		<u>NUMBER</u>

PP-15. VOUCHERS:

!@#\$

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

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

ALL OTHER PROGRAMS: Retain 3 months in office, then destroy.