

South Dakota Board of Social Work Examiners

dss.sd.gov/licensingboards/social.aspx

810 N. Main Street, Suite 298

Spearfish, SD 57783

Phone: 605.642.1600

Fax: 605.722.1006

Email: proflic@rushmore.com



Strong Families - South Dakota's Foundation and Our Future

DRAFT MEETING AGENDA

TELECONFERENCE

South Dakota Board of Social Work Examiners

December 4, 2020-12:00PM CT/11:00AM MT

Location: Teleconference with public access at:

Board Office
629 Main St.
Spearfish, SD

The public is invited to attend the meeting via teleconference. Please call the switchboard at 605-224-1125, key in the access code 0002020#. For assistance please call (605) 773-3011.

Member Listing:

1. Karen Chesley, CSW-PIP, President
2. Michael Forgry, CSW-PIP, Secretary/Treasurer
3. Todd Herrboldt, CSW-PIP, Member
4. Jennifer Gray, CSW-PIP, Member
5. Sharon Stratman, SW, Member
6. Abby Rehorst, Lay Member
7. Kim Brakke, Lay Member
8. Vicki Isler, Ed.D., BCBA-D-Applied Behavior Analyst Committee
9. Amber Bruns, MS, BCBA-Applied Behavior Analyst Committee
10. Lisa Stanley, DVM, Lay Member-Applied Behavior Analyst Committee

Purpose: The Board protects the health and safety of the consumer public by licensure of qualified persons, enforcement of the statutes, rules and regulations governing the practice of social work, including the appropriate resolution of complaints.

-
1. Call to Order/Welcome and introduction-new lay member, Kim Brakke
 2. Roll Call
 3. Corrections or additions to the agenda
 4. Approval of the agenda
 5. Public Comment at 12:05 p.m.- 5 minutes for the public to address the Board
 6. Approval of the minutes from September 11, October 23, 2020
 7. FY Financial Update
 8. ABA report
 9. Update on temporary licensure under Executive Order
 10. Update on Records Retention
 11. Online Renewal System
 12. ASWB 2021 Education Conference-April 20-May 1, 2021-Virtual

13. Schedule next meeting
14. Executive Session Pursuant to SDCL 1-25-2
 - a. Complaints/investigations
#272
 - b. CSW-PIP Contract approvals
15. CSW-PIP Applicant Approval Report
16. Adjourn

DRAFT

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Strong Families - South Dakota's Foundation and Our Future

OFFICIAL BOARD MINUTES

Teleconference

September 11, 2020-12:00PM CDT/11:00AM MDT

Members Present: Karen Chesley, President
Michael Forgy, Secretary/Treasurer
Todd Herrboldt, Member
Jennifer Gray, Member
Sharon Stratman, Member

Members Absent: Cindy Steele, Lay Member
Abby Rehorst, Lay Member

Others Present: Carol Tellinghuisen, Executive Secretary; Jill Lesselyoung, Executive Assistant; Brooke Tellinghuisen Geddes, Executive Assistant; Amber Bruns, Lisa Stanley, ABA Advisory Committee Members; Quincy Kjerstad, Assistant Attorney General; Brenda Tidball-Zeltinger, DSS; Dave Mendel, NASW-SD

Call to Order/Welcome and Introductions: President Chesley called the meeting to order at 11:02AM MDT.

Roll Call: Chesley requested Lesselyoung call the roll. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes. A quorum was present.

Corrections or additions to the agenda: None.

Approval of the agenda: Forgy made a motion to approve the agenda. Herrboldt seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes.

Public Comment: Chesley called for any comments from the public. There were no public comments.

Approval of the Minutes from Board meeting June 11, 2020: Forgy made a motion to approve the minutes from June 11, 2020. Stratman seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes.

FY Financial Update: Lesselyoung reported fiscal year-end figures as of June 30, 2020: revenue of \$125,998.64, expenses of \$90,663.81, and cash balance of \$226,136.17 and year to date figures as of July 31, 2020: revenue of \$4,180.00, expenses of \$14,497.18 and cash balance of \$215,818.99.

Online renewals: DSS is encouraging the Board to move to a platform of online renewals and acceptance of credit card payments. The Board office secured a bid from the current vendor and Albertson Consulting. The bids cover the Psychology Board as well as Social Work. The Board office met with Kinsman and Albertson Consulting for further clarification on their bid. Tidball-Zeltinger advised DSS has two other Boards using Albertson Consulting and they would be happy to facilitate a discussion on the possibility of sharing some of the costs with the other Boards. Herrboldt made a motion the Board agree to have Chesley work with the Board office and make the final decision on which platform to use. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes.

Dual Licensure: Tellinghuisen and Lesselyoung followed up with ASWB to see if other states were pursuing dual licensure and whether other professions would be allowed to take the ASWB examinations. ASWB Executive Director, Hymans advised they were not aware of any states pursuing dual licensure and their Board of Directors will not allow other professions to take their examination; an applicant must hold a degree in social work accredited by the Council on Social Work Education. Tiball-Zeltinger advised there was interest as to whether there was some way for a dual licensure process but questioned in essence if it is an end to the conversation if it cannot happen on the social work side. Herrboldt questioned what the advantage or goal would be to hold dual licensure. Herrboldt sees no advantage as an applicant would have to pay for two licensure fees and social workers have the authority to do what they need. Forgy advised it may involve third party reimbursement. Tellinghuisen advised it may also involve counselors wanting to supervise the social workers since social workers are able to supervise counselors. Herrboldt advised if it is a reimbursement issue, they should concentrate on that with the agencies. The Board agreed the training is different for counselors and social workers in that counselors are providing mental health services, whereas social workers in addition to providing mental health services are trained in administrative, advocacy and resource development; they are involved in social action, social justice issues advocating for those who do not have a voice. The Board agreed there is no reason to further pursue further discussion of dual licensure, as it is unlikely that ASWB will change their policy and they see no need.

Kjerstad advised those CSWs licensed under the executive order are allowed to start CSW-PIP supervision. Geddes advised there are currently 6 licensees who have obtained licensure under the executive order that still need to take the examination.

Schedule next meeting date: The next meeting is set for December 4, 2020 via teleconference at 12PM CT/11AM MT.

Executive Session Pursuant to SDCL 1-25-2: Herrboldt made a motion to enter executive session at 11:38AM. Stratman seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes. Bruns, Stanley, Tidball-Zeltinger and Mendel exited the meeting. The Board exited executive session at 11:48AM.

Complaints/Investigations:

#268-Herrboldt recommended the Board accept the stipulation and order as presented. Chesley made a motion to approve the recommendation as presented by Herrboldt. Stratman seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, abstain; Gray, yes; Stratman, yes.

#270, #271: Herrboldt advised both complaints are against the same licensee and are still pending.

Applicant for licensure 2020-4: Chelsey recommended the applicant be approved to sit for the CSW examination. Forgy made a motion to approve applicant 2020-4 be approved for examination. Gray seconded the motion. **MOTION PASSED** by roll call vote. Chesley, abstain; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes.

CSW-PIP Supervision Contracts:

Herrboldt made a motion to approve the following contracts. Stratman seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes; Rehorst, yes.

Bryant, C.: Supervision with Holbeck beginning August 24, 2020.

Bice, K.: Supervision with Eckhoff beginning August 10, 2020.

Otten, M.: Supervision with Dornheim beginning August 3, 2020.

Green, C.: Supervision with Harbaugh beginning July 2, 2020.

Sorensen, J.: Supervision with Ruffinott beginning June 10, 2020.

Stokes, J.: Supervision with Morgan beginning June 1, 2020.

Holmes, L.: Supervision with Sedlacek beginning June 9, 2020.

Lux, S.: Supervision with Jonson beginning June 30, 2020.

Nostvick, L.: Supervision with Lueth beginning July 9, 2020.

Gonzalez, T.: Supervision with Kitzelman beginning July 10, 2020.

Reinfeld, J.: Supervision with Bass beginning August 3, 2020.

Blauth, M.: Supervision with Snyders beginning September 21, 2020.

Voth, S.: Supervision with Snyders beginning September 21, 2020.

Kyle, M.: Supervision with Sedlacek beginning June 8, 2020.

Frantsen, M.: Supervision with Dornheim beginning August 3, 2020.

CSW-PIP Applicant Approvals:

To expedite licensure, the Board had agreed to have Chesley review and approve the out of state applicants for licensure prior to the Board meeting. The following applicants were approved for licensure by Chesley:

Cotton, H.
Tennyson, S.
Wilson, J.

Any other business coming in between date of mailing and date of meeting: There was no other business.

Herrboldt made a motion to adjourn at 11:58AM MDT. Gray seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes; Stratman, yes.

Respectfully submitted,



Carol Tellinghuisen
Executive Secretary

1-27-1.17. Draft minutes of public meeting to be available--Exceptions--Violation as misdemeanor. The unapproved, draft minutes of any public meeting held pursuant to § 1-25-1 that are required to be kept by law shall be available for inspection by any person within ten business days after the meeting. However, this section does not apply if an audio or video recording of the meeting is available to the public on the governing body's website within five business days after the meeting. A violation of this section is a Class 2 misdemeanor. However, the provisions of this section do not apply to draft minutes of contested case proceedings held in accordance with the provisions of chapter 1-26.

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Strong Families - South Dakota's Foundation and Our Future

OFFICIAL BOARD MINUTES

Teleconference

October 23, 2020-12:00PM CDT/11:00AM MDT

Members Present: Karen Chesley, President
Michael Forgy, Secretary/Treasurer
Todd Herrboldt, Member
Jennifer Gray, Member

Members Absent: Sharon Stratman, Member
Cindy Steele, Lay Member
Abby Rehorst, Lay Member

Others Present: Carol Tellinghuisen, Executive Secretary; Jill Lesselyoung, Executive Assistant; Brooke Tellinghuisen Geddes, Executive Assistant; Quincy Kjerstad, Assistant Attorney General

Call to Order/Welcome and Introductions: President Chesley called the meeting to order at 11:10AM MDT.

Roll Call: Chesley requested Lesselyoung call the roll. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes. A quorum was present.

Corrections or additions to the agenda: None.

Approval of the agenda: Forgy made a motion to approve the agenda. Gray seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes.

Public Comment: Chesley called for any comments from the public. There were no public comments.

Executive Session Pursuant to SDCL 1-25-2: Herrboldt made a motion to enter executive session at 11:15AM. Gray seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes. The Board exited executive session at 11:25AM.

Complaints/Investigations:

#270, #271-Herrboldt recommended to dismiss complaints #270, #271 due to lack of substantive evidence. Forgy made a motion to dismiss complaints #270, #271 due to lack of substantive evidence. Chesley seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, abstain; Gray, yes.

Herrboldt made a motion to adjourn at 11:30AM MDT. Gray seconded the motion. **MOTION PASSED** by roll call vote. Chesley, yes; Forgy, yes; Herrboldt, yes; Gray, yes.

Respectfully submitted,



Carol Tellinghuisen
Executive Secretary

1-27-1.17. Draft minutes of public meeting to be available--Exceptions--Violation as misdemeanor. The unapproved, draft minutes of any public meeting held pursuant to § 1-25-1 that are required to be kept by law shall be available for inspection by any person within ten business days after the meeting. However, this section does not apply if an audio or video recording of the meeting is available to the public on the governing body's website within five business days after the meeting. A violation of this section is a Class 2 misdemeanor. However, the provisions of this section do not apply to draft minutes of contested case proceedings held in accordance with the provisions of chapter 1-26.

BOARD OF SOCIAL WORK EXAMINERS
REVENUE SUMMARY
FOR MONTH ENDING 10/31/20

COMP	ACCOUNT	BDGT YEAR	GRANT YEAR	CENTER	FUND SRC	SUB FUND	FISCAL YEAR	FISCAL MONTH	YTD AMOUNT	MTD AMOUNT
6503	4293000	0	0	0893000	719		2021	04	\$ 22,085.00	\$ 8,680.00
6503	4920045			0893000	719		2021	04	\$ 4,894.60	\$ -
									\$ 26,979.60	\$ 8,680.00

BOARD OF SOCIAL WORK EXAMINERS
EXPENDITURE SUMMARY REPORT
FOR MONTH ENDING 10/31/20

COMP	ACCOUNT	BDGT YEAR	GRANT YEAR	ACCOUNT DESCRIPTION	CENTER	FUND SRC	SUB FUND	FISCAL YEAR	FISCAL MONTH	YTD AMOUNT	MTD AMOUNT
6503	5101030	0	0	BOARD & COMM MBRS FEES	0893000	719		2021	04	\$ 660.00	\$ 300.00
6503	5102010	0	0	OASI-EMPLOYER'S SHARE	0893000	719		2021	04	\$ 50.49	\$ 22.95
6503	5204090	0	0	MANAGEMENT CONSULTANT	0893000	719		2021	04	\$ 32,658.97	\$ 6,553.88
6503	5204201	0	0	BFM CENTRAL SERVICES	0893000	719		2021	04	\$ 233.08	\$ -
6503	5204204	0	0	RECORDS MGMT SERVICES	0893000	719		2021	04	\$ 152.50	\$ 72.50
6503	5204207	0	0	HUMAN RESOURCES SERVICES	0893000	719		2021	04	\$ 139.01	\$ 139.01
6503	5204510	0	0	RENTS-OTHER	0893000	719		2021	04	\$ 1,500.00	\$ 300.00
6503	5205320	0	0	PRINTING-COMMERCIAL	0893000	719		2021	04	\$ 1,019.00	\$ 601.82
										\$ 36,413.05	\$ 7,990.16

**BOARD OF SOCIAL WORK EXAMINERS
CASH CENTER BALANCE
FOR MONTH ENDING 10/31/20**

[illegible]



BOARD OF
SOCIAL WORK EXAMINERS

RECORDS RETENTION AND
DESTRUCTION SCHEDULE

State of South Dakota

Bureau of Administration

Records Management Program

(605) 773-3589

ACKNOWLEDGEMENTS

PREPARED BY:

Bureau of Administration
Records Management Program
104 S Garfield Avenue; Building E
c/o 500 East Capitol Avenue
Pierre, South Dakota 57501-5070

2020

PROJECT STAFF

Laurie R. Gill, Cabinet Secretary
Department of Social Services

Carol Tellinghuisen, Executive Director
Board of Social Work Examiners

Kristen Campbell, Records Officer
Department of Social Services

The employees of the Board of Social Work Examiners who contributed their time to explain the purpose and review the content of each record.

Dana Hoffer
State Records Manager

Connie Nold
Records Management Specialist

STATE RECORD DESTRUCTION BOARD

Scott Bollinger, Commissioner
Bureau of Administration
(Chairman)

Pat Archer
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



DEPARTMENT OF
EXECUTIVE MANAGEMENT

BUREAU OF
ADMINISTRATION

PMB 01234

RECORDS MANAGEMENT PROGRAM
104 S Garfield Avenue, Bldg E
c/o 500 East Capitol Avenue
Pierre, SD 57501-5070
Phone: (605) 773-3589
Fax: (605) 773-5955

MEMORANDUM

TO: State Agencies

FROM: Dana Hoffer
State Records Manager

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

DATE:

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

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.

According to Administrative Rule 24:52:11:01, any State government agency planning to destroy agency records shall notify the State Archivist 30 days before the date of the proposed destruction. The request shall include the name or title of the records, inclusive dates, information content of the records, and quantity. This rule applies to all records, including those granted exclusive or continuous disposal authorization by the Records Destruction Board, with the following exceptions: vouchers and supporting documents; warrants; personnel and payroll records; client/case files; capital asset inventories; cash receipts; and duplicate copies of state publications.

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

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

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:

- 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.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>Board of Social Work Examiners</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>1198</u>

RECORD
SERIES NO.

TITLE—DESCRIPTION—RETENTION AND DESTRUCTION SCHEDULE

R.D.B.
AUTHORITY
NUMBER

SW-1. ADMINISTRATIVE REFERENCE MATERIAL:

03-008

This series is arranged alphabetically by subject matter and contains information used in the daily administration of the Board by the Executive Secretary. Information may include: correspondence, vendor information, mailing lists, file management, administrative rules, codified laws, license ledgers, and other information of interest or benefit to the Executive Secretary or staff. This record series is maintained for reference, decision making, and to maintain consistency with administrative policies.

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

(NOTE: Cull 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>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>Board of Social Work Examiners</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>1198</u>

RECORD
SERIES NO.

TITLE--DESCRIPTION--RETENTION AND DESTRUCTION SCHEDULE

R.D.B.
AUTHORITY
NUMBER

SW-2. ADMINISTRATIVE RULES PROMULGATION FILES:

!@#S

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

RETENTION: FINAL DECISIONS: Retain permanently in office.

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

(NOTE: SDCL 1-26-7 states in part that "each agency shall keep the original records, documents, and instruments required by the chapter." There is no time frame included for these records. Since SDCL 1-26-6.8 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.)

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>Board of Social Work Examiners</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>1198</u>

RECORD

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

R.D.B.
AUTHORITY
NUMBER

SW-3. AGENDAS, BOARD MEETINGS:

03-008

This series is arranged chronologically by meeting date and contains agenda items to be discussed at the next Board meeting. Information may include: date, time and location of the meeting, items under old business, items under new business, financial information, and any licensure related issues. This record series is used to determine the course of the board meetings.

RETENTION: Retain current in office. Destroy any superseded or obsolete agendas once the meeting minutes have been approved.

SW-4. ANNUAL REPORTS:

!@#S

This series is arranged chronologically and contains the originals of all annual reports written by the Board to summarize its activities for the previous year. Information may include: number of licenses issued, number of inspections conducted (if applicable), number of violations noted, man hours, time reports, and other related information. A copy of this report is filed with the South Dakota Department of Social Services annually. This record series is used for reference to compare activities from year to year.

RETENTION: Retain 5 years in office, then transfer to State Archives for final disposition.

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

DEPARTMENT:	<u>Social Services</u>
DIVISION:	<u>Community Behavioral Health</u>
OFFICE:	<u>Licensing Boards</u>
PROGRAM:	<u>Board of Social Work Examiners</u>
RECORDS OFFICER:	<u>Kristen Campbell</u>
RM CUSTOMER #:	<u>1198</u>

RECORD

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

R.D.B.
AUTHORITY
NUMBER

SW-5. APPLICATION FILES:

!@#S

This series is arranged alphabetically by applicants' last name and documents the personal data of individuals applying for licensure. Information (if relevant to their level of licensure) may include: original application, college grade transcripts, references, internship verification, examination scores, and any other information requested by the Board. This record series is used to determine eligibility for licensure.

RETENTION: **SUCCESSFUL APPLICANTS:** Transfer to the Licensee Files to be retained 5 years in office after last license expiration, then scan paper. Maintain electronic images in an Electronic Document Management System (EDMS) for 40 years, then destroy.

UNSUCCESSFUL APPLICANTS: Transfer to the Applicant Files, Deficient to be retained 5 years in office, then destroy.

(NOTE: Within 5 years of application date, Deficient Files may become Licensee Files if the applicant has provided all necessary documentation, has met all licensure requirements, and has been approved by the Board.)

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SW-6. APPLICANT FILES, DEFICIENT:

03-008

This series is arranged alphabetically and documents personal data of individuals applying for licensure and is a deficient application file. Information (if relevant to their level of licensure) may include: original application, college grade transcripts, references, internship verification, experience verification, and any other information requested by the Board. Applicant has five years to attain licensure approval from the Board before this file is destroyed, then the applicant must start the entire application process over again.

RETENTION: Retain 5 years in office, then destroy.

(NOTE: Within 5 years of application date, Deficient Files may become Licensee Files if the applicant has provided all necessary documentation, has met all licensure requirements, and has been approved by the Board.)

SW-7. ASSOCIATION FILES:

03-008

This series is arranged alphabetically and contains the current correspondence and newsletters from professional associations to which the Social Work Examiners Board belongs. Information may include: minutes of association meetings, conference agendas, and expense reports. This record series is used for reference purposes concerning ideas and policies suggested and used by these associations.

RETENTION: Retain 1 year in office, then destroy.

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SW-8. ATTORNEY GENERAL OPINIONS:

03-008

This series contains official opinions handed down by the State Attorney General's Office concerning questions pertaining to the Social Work Examiners Board. This record series is used for occasional reference and as support for the administrative decisions made and actions taken.

RETENTION: Retain 3 years in office, then destroy.

(NOTE: All Attorney General's Opinions are printed in the Biennial Report of the Attorney General.)

SW-9. BOARD APPOINTMENT FILES:

03-008

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

RETENTION: Retain 3 years in office after termination, then destroy.

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SW-10. BUDGETARY ACCOUNTING/MSA REPORTS:

03-008

These daily, weekly, monthly, and year-end computer printout reports are used to monitor and reconcile fiscal year receipts and expenditures for the Board. Reports may include: Daily and/or Monthly Revenue and Journal Voucher Reports, Daily Transaction Progress Reports, Accounts Receivable Reports, General Ledger Reports, Warrant or Payment Registers, Monthly Expenditure Reports, and Annual Budget Reports. This record series is maintained for audit purposes.

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

SW-11. CASH RECEIPT TRANSMITTALS:

03-008

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

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

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

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SW-12. COMPLAINT FILES:

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This series is arranged alphabetically by licensee name and contains all related correspondence either received from the general public or initiated by the Board concerning problems which have occurred with social workers, social work associates, certified social workers, and certified social workers engaged in private independent practice (PIP). Information may include: nature of complaint, related correspondence, investigation of the allegation, conclusion of the investigation, final determination, stipulations and agreements, and other related material. This record series is used by the Board to determine if a complaint is substantiated and, if so, to take corrective action against the licensee. If a complaint is substantiated, a copy of the final determination is placed into the respective "Licensee File, Active."

RETENTION: UNSUBSTANTIATED: Retain 5 years in office after final determination, then destroy.

(NOTE: If like complaint exists within this 5 years, then retain like complaints in office. Destroy 10 years after last license expiration.)

SUBSTANTIATED: Retain in office, place a copy of the final determination into the respective "Licensee File, Active," to be scanned. Maintain electronic images in an Electronic Document Management System (EDMS) for 40 years, then destroy.

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SW-13. COMPLAINT, NON-JURISDICTIONAL:

03-008

This series is arranged alphabetically by name of the person or facility named in the complaint and contains correspondence regarding allegations about persons or facilities not licensed by the Board, not licensed by the Board at the time of allegation, or other matters the Board cannot take any remedial action to investigate or rectify. Information may include: name of complainant, date and circumstances surrounding alleged activity, and related correspondence between the complainant and the Board. This record series is used to document consumer complaints or allegations about individuals or issues over which the Board has no jurisdiction.

RETENTION: Retain 3 years in office, then destroy.

SW-14. CONTINUING EDUCATION PROVIDER FILES:

03-008

This series is arranged chronologically by date of class and contains documentation regarding approved continuing education courses, classes, or programs. Information may include: the approval request form, date of program, curriculum, and supporting documentation. This record series is used to verify that continuing education courses meet the Board's standards.

RETENTION: Retain 2 years in office, then destroy.

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SW-15. CONTRACTS AND AGREEMENTS:

03-008

This series is arranged chronologically, then by name of contractor and contains reference copies of contracts and agreements in which the Board may have an interest. It also contains the Board's copy of contracts and agreements between the Board and other parties. Information may include: terms and conditions, effective dates, costs, and funding sources. This record series is maintained for reference and audit purposes.

RETENTION: Retain originals (copies of record) current in office. Destroy 6 years after terminated.

Retain reference copies current in office. Destroy terminated.

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

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SW-16. CORRESPONDENCE, GENERAL:

03-008

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

RETENTION: Retain 2 years in office, then destroy.

SW-17. LEGISLATION FILES:

03-008

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

RETENTION: Retain 2 years in office, then destroy.

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SW-18. LICENSEE FILES, ACTIVE:

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This series is arranged alphabetically by last name of licensee and documents personal data for licensed social workers, social work associates, certified social workers, and certified social workers engaged in private independent practice (PIP). Information may include (if relevant to their level of licensure): original application, college grade transcripts, examination scores and related information, references, internship verification, verification of experience, requests for name changes, most current renewal application, and renewal date. This record series is used to document the licensure and renewal process of all Social Workers.

RETENTION: Retain 5 years in office after last license expiration, then scan paper. Maintain electronic images in an Electronic Document Management System (EDMS) for 40 years, then destroy.

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SW-19. LICENSEE FILES, INACTIVE:

!@#S

This series is arranged alphabetically by last name of licensee and documents personal data for licensed but inactive social workers, social work associates, certified social workers, and certified social workers engaged in private independent practice (PIP). Information may include (if relevant to their level of licensure): original application, college grade transcripts, examination scores and related information, references, internship verification, verification of experience, requests for name changes, most current renewal application, and renewal date. This record series is used to document the licensure and renewal process of all Social Workers.

RETENTION: Retain 5 years in office after last license expiration, then scan paper. Maintain electronic images in an Electronic Document Management System (EDMS) for 40 years, then destroy.

(NOTE: Whenever an Active Licensee does not renew within the timeframe prescribed by law, the Active Licensee file becomes an Inactive Licensee file, until such time the licensee either reactivates his license or allows his license to expire completely.)

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SW-20. LICENSE NUMBER LISTS:

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This database series is arranged alphabetically by last name of licensee for each license type issued by the Social Work Examiners Board. Information may include: license number, licensee name and address, level of licensure, and expiration/renewal date. This record series is used for licensure verification.

RETENTION: Retain current information. Delete superseded or obsolete.

SW-21. MINUTES, SOCIAL WORK EXAMINERS BOARD:

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This series is arranged chronologically and contains the official minutes of the Social Work Examiners Board meetings. Information may include: date of meeting, members present, topics discussed, and actions taken. This record series is used for occasional reference and to document action taken by the Board.

RETENTION: Retain 5 years in office, then scan paper. Maintain electronically in Electronic Document Management System (EDMS) permanently.

(NOTE: Consider converting electronic images to microfilm.)

SW-22. POLICIES AND PROCEDURES:

03-008

This series is arranged by topic and contains the current procedures or policies implemented by the Board. Information may include the Board's position or interpretation of issues and policies and date of implementation or adoption. This record series is used to determine the proper course of action to take in certain situations.

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

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SW-23. SOCIAL WORK ASSOCIATE VALIDATION FILES:

03-008

This series is arranged chronologically by year, then alphabetically and contains validation of supervision forms submitted annually by social work associates. Information may include: name of associate, information regarding supervisor, and length and frequency of supervision. This record series is maintained to verify supervision of social work associates and the professional competence of the licensee.

RETENTION: Retain 5 years in office, then destroy.

SW-24. SURVEYS:

03-008

This series is arranged chronologically and contains surveys conducted by membership associations throughout the country. Information may include: date survey was conducted, issues, legislation, licensure numbers, degrees, application process, and any relative information obtained via survey from sources and licensees. This record series is used mainly for reference purposes and may be used to develop new policies or legislation to address various national issues.

RETENTION: Retain 3 years in office, then destroy.

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SW-25. VOUCHERS AND PAYROLL INFORMATION:

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This series is arranged chronologically and may contain copies of travel, non-cash, direct, receiving, and journal vouchers and Board payroll information. Each voucher may include: nature of expense, fund expended from, date, who the funds went to or what account they were transferred to, and authorized signatures. Board member payroll information may include: name, social security number, time worked, and authorized signatures. This record series is used for reference to determine quantities and descriptions of supplies and services ordered, for vendor information, for Board member payroll information, and for audit purposes.

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