



**WEST VIRGINIA DIVISION OF ADMINISTRATIVE SERVICES
AGENCY POLICY STATEMENT**

SUBJECT: RECORDS MANAGEMENT

INDEX NUMBER: 105.00

EFFECTIVE DATE: 28 February 2022

PURPOSE: To establish and maintain a Records Management Program that designates schedules for the retention of state records of continuing value and orderly disposal of state records no longer possessing sufficient administrative, legal, or fiscal value to warrant their retention.

REFERENCE: West Virginia Code §5A-8 and §15A-2-2, and Legislative Rules §148CSR12 and §148CSR13.

RESPONSIBILITY: Deputy Directors, Assistant Directors, and Unit Managers are responsible for implementation and compliance with this policy statement within their areas of responsibility.

CANCELLATIONS: Any previous written or verbal instructions on this subject.

APPLICABILITY: All Division of Administrative Services (DAS) sections and employees.

DEFINITIONS: The words defined in this section have the meanings given to them for the purposes of this policy statement.

Active records: Documents (both hardcopy and electronic) which are still actively being used by an office. They are usually referenced on a daily or monthly basis or necessary to support activities within the fiscal year or grant period. Often, if in paper, these records will be in a handy place within the office since they are used frequently.

DAS Records: Any record necessary for DAS transaction processing or to support DAS activities. DAS records shall include all computer entries, emails, computer files, electronic images or other information stored on any computer maintained by the DAS.

Destruction: The disposal of a record by shredding, incinerating, or deleting.

Electronic Records: Electronic images of physical records, information recorded by a computer that is produced or received in the initiation, conduct or completion of an agency, or individual activity. Examples of electronic records include e-mail messages, word-processed documents, electronic spreadsheets, digital images, and databases. Electronic records are subject to the same requirements as physical

records. Any record deemed to have historical value must be maintained in its original format.

DAS Records Retention and Disposal Schedule: The table (see Attachment 1) that describes the length of time each document or record will be retained as an active record and the final disposition of the record.

Inactive Records: Documents (both hardcopy and electronic) which are no longer referenced on a regular basis and tend to be stored in a less accessible place since they are not used frequently.

Non-record: Any duplicates of official records created for convenience, drafts, personal notes related to drafts, or any material not originally created in the transaction of state business.

Record: Documents, electronic files, books, papers, photographs, sound recordings, or other materials, regardless of physical form or characteristics, made or received according to law or ordinance or in connection with the transaction of official business.

Retention Period: The length of time outlined in the DAS Records Retention and Disposal Schedule. The lengths of the various retention periods are based on general standards and, where appropriate, federal, and state requirements.

POLICY:

I. Policy Statements

- A. DAS is **NOT** the record custodian for all the divisions under the Department of Homeland Security.
- B. DAS is the custodian for records related to DAS activities. This includes, but is not limited to, all records necessary to support transactions processed by DAS.
- C. DAS records shall be maintained consistently and logically and be retained in such a manner so that DAS can:
 - a. Meet legal standards for protection, storage, and retrieval.
 - b. Protect the Personal Identifiable Information (PII).
 - c. Make the most efficient use of limited space.
 - d. Minimize the cost of record retention.
 - e. Ensure that no record is destroyed unless authorized.
 - f. Ensure the means of destruction is appropriate for the type of record.
 - g. Ensure the preservation of records of permanent value; and
 - h. Ensure record retention policies, schedules and procedures are reviewed and modified as necessary to respond to changes in technology or regulations.

II. General

- A. The DAS preferred record storage method is the use of electronic records; however, a hard copy will be acceptable. Records, regardless of media type, must be retained for the retention period established in Attachment 1.
- B. DAS Agency Records Manager shall be appointed by the Director. The DAS Agency Records Manager may have a designee to help assist in records management tasks.

III. Records Retention and Disposal Schedule

- A. The DAS Record Retention and Disposal Schedule (Attachment 1), approved by the State Records Administrator from the Department of Administration, and the Director of Archives in the Department of Arts, Culture and History, establishes the guidelines for how long a record must be maintained.
- B. All DAS employees will utilize and fully comply with the DAS Record Retention and Disposal Schedule (Attachment 1) as the central authority to ensure adequate coordination of records management.
- C. The Assistant Director of each section will notify the DAS Agency Record Manager of any changes necessary to the DAS Record Retention and Disposal Schedule (Attachment 1) due to changes in law, regulation, or technology.
- D. The DAS Agency Records Manager, or their designee, will submit the revised DAS Record Retention and Disposal Schedule (Attachment 1) for approval by the State Records Administrator and the Director of Archives.

IV. Record Maintenance

- A. Physical records converted into electronic records must have a blanket Authorization to Destroy Records Form (Attachment 2) approved by the State Records Administration and the Director of State Archives before the physical records are destroyed. Electronic records must be reviewed for quality and completeness. Electronic records must be filed in a manner that the record can be located and retrieved as needed.
- B. Generally, active records are stored in the file cabinet for easy access, whereas inactive records may be packed in storage boxes. If retaining hard copies of records in storage boxes, each record series should be boxed and labeled separately. Label must include the following information:
 - a. Series Number (obtained from DAS Record Retention and Disposal Schedule (Attachment 1))
 - b. Series Name (obtained from DAS Record Retention and Disposal Schedule (Attachment 1))

- c. Record dates/period
- d. Destruction Date

- C. **Litigation Holds:** If records are or may be involved in pending litigation it may be necessary to retain those records longer than required by the records retention schedules. If an employee suspects, or is informed by the legal department, that records are relevant to litigation, or potential litigation, then the employee must preserve those records until the legal department determines they are no longer needed.
- D. Inactive physical records shall be handled in accordance with the DAS Record Retention and Disposal Schedule (Attachment 1)
- E. The DAS Agency Records Manager will furnish the State Records Administrator a listing of people within the agency authorized to retrieve records, or information contained in records, from the Records Center.

V. **Records Destruction**

- A. No records can be destroyed without an approved Authorization to Destroy Records form (Attachment 2). The form must contain the signature of the DAS Director (or designee), State Records Administrator and the Director of Archives.
- B. When a record or set of records has reached the end of its useful life, as per the DAS Record Retention and Disposal Schedule (Attachment 1), the DAS Agency Records Manager/designee will prepare an Authorization to Destroy Records form (Attachment 2).
 - a. Hard copies of files boxed and indexed for storage will be reviewed by the DAS Agency Records Manager/designee to determine whether records are at or near the established retention period. The DAS Agency Records Manager/designee will work with the Assistant Director of each section to determine if there are any reasons why expired records should not be destroyed.
 - b. Electronic files stored on computer, cloud, and network drives shall be reviewed by the Unit Manager/Assistant Director/designee. The DAS Agency Records Manager/designee will be notified of expired records including records series number, title, dates of records ready to be destroyed, and volume of records.

Note: Electronic records shall not be deleted until the destruction form is approved by the State Records Administration and the Director of State Archives.

- c. The DAS Agency Records Manager/designee will prepare the appropriate sections of the Authorization to Destroy Records form (Attachment 2) for signature by the Director or designee.
- d. The DAS Agency Records Manager/designee will submit the Authorization to Destroy Records form (Attachment 2) to the WV Department of Administration's State Records Administration for approval of the State Records Administrator and the Director of Archives.
- e. Once the approved Authorization to Destroy Records form (Attachment 2) is received from the State Records Administrator and the Director of Archives, the DAS Agency Records Manager/designee may authorize the identified records to be destroyed/deleted using the method outlined by the DAS Record Retention and Disposal Schedule (Attachment 1).
- f. A scanned/electronic copy of the approved Authorization to Destroy Records form (Attachment 2) shall be maintained by the DAS Agency Records Manager.

ATTACHMENTS:

Attachment #1: DAS Record Retention and Disposal Schedule

Attachment #2: Authorization to Destroy Records form

APPROVED SIGNATURE:



Michael V. Coleman, Director



Date

Records Retention And Disposal Schedule

Department: WV Department of Homeland Security
Division: Administrative Services
Final Action Code:
1 Destroy 2 Shred
3 Retain Permanently 4 Archives
Effective Date:
28 February 2022

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-GA-101	Agency Performance Measures Documentation Records needed for documentation of output, outcome, efficiency, or for performance measures used to manage the agency.	Electronically - 3 year after reporting period	N/A	Supporting documents will be maintained for three years	1
DAS-GA-102	Agency Policies and Procedures (Written Instruction) Internal policies, directives, staff notices, job guides, procedures, manuals, guidelines, distributed internally for use of employees or externally to the public or entities regulated by the agency.	Electronically - Permanently	N/A	None	3
DAS-GA-103	Agency Policy Statements, Staff Notice, and Job Guides Any document that officially initiates, rescinds, or amends general office procedures.	Electronic AC + 2 year	N/A	AC= Until superseded	1
DAS-GA-104	Annual Reports and History Files Reports prepared by the agency addressing the state of the agency, goals, targets, objectives and finances. Significant material that conveys the history of the agency, accomplishments, its officials or employees. May include scrapbooks, photographs, articles, narratives and printed, audio or visual histories	Electronically - Permanently	N/A	Supporting documents will be maintained for three years	3
DAS-GA-105	Audits Request and Responses Request from external auditors (federal, external/independent) and response, supplied information. Responses includes corrective actions put in place as a result of the audit	Electronic - 90 days after the exit conference and issue of the report	N/A	None	1
DAS-GA-106	Audits Audits and reviews performed on the agency by external entities. Also maintain audit reports of customer agencies.	Electronically - Permanently	N/A	None	3
DAS-GA-107	Corrective actions for audits	3 years	N/A	None	1

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-GA-108	Correspondence Incoming/Outgoing and internal correspondence and e-mail pertaining to the formulation, planning, implementation, interpretation, modification, or redefining of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.	Electronic - in accordance to OT Policy	N/A	None	1
DAS-GA-109	Customer Surveys Surveys returned by customers or clients of an agency that rate an agency's performance.	1 year	3 years	None	1
DAS-GA-110	Emergency Planning and Related Records Documents pertaining to the creation of disaster, emergency action, or contingency plans (COOP plan, call tree)	Electronic - until superseded + 2 years	N/A	None	1
DAS-GA-111	Internal Audit Final Report Final reports issued by Internal Audit which notify offices and units of results and findings. This may include, but is not limited to: final reports and related correspondence.	Electronically - Permanently	N/A	None	3
DAS-GA-112	Internal Audit Working Papers Include final copy of time-budget, planning documents, preliminary research, analytical review, approved narratives, flowcharts, audit program, working papers of test and result, narratives/flowcharts	Electronic - 3 years	N/A	AC = Completion of new audit	1
DAS-GA-113	Internal Investigation Records and Investigative Case Files Investigations into employee conduct or actions taken.	AC + 5 years	N/A	AC = After resolution	1
DAS-GA-114	Investigation - Privacy Incidents Initial Incident Report, documentation of investigation, Post Incident Response Assessment (PIRA) submitted to the State Privacy Office and related support, Risk of Harm Assessment (non-HIPPA) (ROHA) submitted to the State Privacy Office and related support	Electronic AC + Five years	N/A	AC = low to medium risk - after report is submitted; otherwise after notification to affective parties and mitagations of risk	1
DAS-GA-115	Legal Opinions, Advice, Litigation Files Reports, Opinions, records created by or on behalf of an agency in anticipation of or in the course of litigation.	AC + 3 years	N/A	AC = The Statute of Limitations has past or litigation completed. Note: cases that set legal precedent or exhibit historical value must be evaluated by Archives.	1

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-GA-116	Mail Log List of incoming mail/package log	2 year	N/A	None	1
DAS-GA-117	Meeting Agendas and Minutes Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Code.	Permanent	N/A	Transfer to Archives	4
DAS-GA-118	Meetings Supporting Documentation Documents submitted at meetings for documentation of agenda items.	1 year	2 years	None	1
DAS-GA-119	Organizational Charts	Electronic - 3 years	N/A	None	1
DAS-GA-120	Plans and Planning Records Records relating to the process of planning new or redefining programs, services, or projects.	AC + 3 years	N/A	AC = Decision made to implement or not implement.	1
DAS-GA-121	Public Information Reports Reports made on an agency's public information activities	1 year	N/A	None	1
DAS-GA-122	Destruction Authorizations Agency level documents authorizing final disposition of records under an approved records retention schedule.	Electronically Permanently	N/A	None	3
DAS-GA-123	Records Retention Schedule Agency copy. Includes documentation of approval and other forms designated by the State Records Administrator.	Electronically Permanently	N/A	None	3
DAS-HR-210	Affirmative Action Plans/Program Plans for both regular employees and apprenticeships	Electronic - 3 years	N/A	None	1
DAS-HR-211	Agency Policies and Procedures (Written Instruction) acknowledgement Employee's signed acknowledgement that they have received a copy of a DAS policy statement, staff notice, and/or job guide	Electronically - Permanently	N/A	Share with HR	3
DAS-HR-212	Time and Leave Records Accumulated Leave, Leave Status Reports, Time Cards, Time Sheets	Electronic	N/A	Kronos	1
DAS-HR-213	Employee Health Records Health treatment or examination records for on-the- job injuries or long-term health risk or issues. Should be kept separately from personnel file.		AC + 30 years	AC = Departure of employee	1

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-HR-214	Employee Payroll/Deduction File	Electronic	N/A	Kronos	1
DAS-HR-215	Federal & State Tax	Electronic		Uploaded to OASIS and personel file	2
DAS-HR-216	Grievance Records Records relating to the review or investigation of employee grievances.	AC + 5 years	N/A	AC = Final decision on grievance	1
DAS-HR-217	I-9 Forms	AC + 2 years	N/A	AC = After termination of employment	2
DAS-HR-218	Interview Packets & Job Postings Applications, resumes, transcripts, letters submitted by candidates. Civil Service Registers & Job Postings	1 year	N/A	None	2
DAS-HR-219	Payroll Ledger Employee listing, overtime records	Electronic	N/A	wwOASIS	2
DAS-HR-220	Personnel Records/Files (Active & Inactive) All personnel records maintained by the agency. Include all "Personnel Records" not otherwise specified in this section. Workers Compensation Record; EPA	Electronic	N/A	Paper copy will be destroyed after scanned and proofed Electronic copy maintained permanently	3
DAS-HR-221	Public Employees Insurance and Retirement	7 years	N/A	None	2
DAS-HR-222	Staff Training and Certification Record Training approval, Training notification, Certificates of Completion, etc.	Electronic	N/A	Refer to personnel files	3
DAS-HR-223	Vacancy Report - Monthly	Electronic	N/A	None	3
DAS-PUR-310	Solicitation File All documentation pertaining to a solicitation put out by DAS for ARFQ, ARFP, ASSD. This documentation includes, but is not limited to: specifications, terms and conditions, public advertisements, bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations, solicitation response documentation, notice of award, etc. If the award is protested, documents related to the protest will also go into this file.	AC + 1 year	+ 2 years	AC = Completion of the contract and all renewals	1 or 2
DAS-PUR-311	Contract File All documentation pertaining to the award of the contract. This documentation includes, but is not limited to: notice of award, specifications, pricing page, applicable affidavits, non-conflict of interest form, ADO, other supporting documentation.	AC + 1 year	+ 2 years	AC = Completion of the contract and all renewals If paid from federal funds, end of year +1 year	1 or 2

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-PUR-312	Purchasing card (Pcard) Documentation All supporting documentation for p-card transactions, including but not limited to: purchasing requisition, ADO/APO, invoice, receiving report, etc.	1 year	2 years or legislative audit, whichever is first	If paid from federal funds, 1 year after end of federal award	2
DAS-PUR-313	Miscellaneous Purchase File Any non-purchasing card documentation, not included in the solicitation or contract files, related to purchasing activities. This could include a customer agency's purchasing requisition and documentation related to work performed for customer agencies, e.g. creating ADO/APO, obtaining quotes, vendor verifications, non-conflict of interest, other documentation as required	1 year	2 years or legislative audit, whichever is first	If paid from federal funds, should go to the JCS AA Supervisor to be retained for 3 years	1 or 2
DAS-FS-401	Accounts Payable/Payment Documents Vendor Invoices, statements, receiving reports, support for fund transfers, document supporting disbursements (IGT, IET, GAX, ADO, APO, RC, etc.), travel settlement and support, etc.	AC + 2 years	AC + 5 years	AC = Fiscal year end	1
DAS-FS-402	Accounts Receivable Billing Detail, customer ledgers	AC + 5 years	N/A	AC = after receivable has been collected in full	1
DAS-FS-403	Audit Reports Financial audit reports of the agency and documents produced by for the audit.	Electronically - Permanently	N/A		3
DAS-FS-404	Bank Statements and Reconciliations Records or financial statements, bank statement, bank reconciliations, agreements, etc.	AC + 3 years	N/A	AC = Close of account	1
DAS-FS-405	Budget Budget Documents, Requests, & Expenditure Schedules.	Electronic - 5 years	N/A	None	1
DAS-FS-406	Cash Collections/Deposit Documents Copy of check, cash deposit slips, receipts for fees permits and renewals, receipts, and cash receipts log.	3 years	N/A	None	1
DAS-FS-407	GAAP (Accounting and Reporting System) Report Closing book forms submitted to the WV Dept of Administration Finance Division and related support	Electronic - 5 years	N/A	None	1
DAS-FS-408	Internal Reports Reports not available nor can not be regenerated by an information system	3 years	N/A	None	1

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-FS-409	Journals, Registers, Ledgers Expenditure, Receipts and sales registers, accounts payable and receivable ledgers and general ledgers, logs.	AC + 3 years	N/A	AC = Fiscal year end	1
DAS-FS-410	Purchasing Card Transactions/Payments Vendor Invoices, statements, receiving reports, other support necessary to document and support purchases made on the state purchasing card	AC + 1 years	+ 2 years	None	2
DAS-AM-501	Asset Management Certification Cover Sheet Annual certification to the Purchasing Division, and related support	Electronic Current + previous (6 years)	N/A	For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-AM-502	Asset Management Coordinator Designation Form Document submitted to the State Purchasing Division appointing the agency's asset coordinator(s)	Electronic Current + previous (6 years)	N/A	For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-AM-503	Fixed Asset System, Capital Asset Records Includes input and reconciliation documents, inventories, master files, etc.	Fixed Asset AC + 2 years Capital Asset AC + 3 years	N/A	Fixed AC = After superseded Capital AC = Life of asset For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-AM-504	Lease Lease agreement developed in cooperation with the WV Real Estate Division of DAS office space and temporary Space Request (WV-15)	Electronic AC + 5 years	N/A	AC = after end of lease For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-AM-505	Physical Inventory Documentation showing a physical inventory was completed once every three years	Electronic Current plus previous (6 years)	N/A	For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-AM-506	WV-103 Surplus Property Retirement Form and Continuation Sheet (OT form) Retirement forms required for anything that is retired to surplus. Any items to be retired by the office of technology	Electronic 4 years	N/A	May be either electronic and/or hard copies. Retention period is the same regardless of format. Retention period based on physical inventory plus year For the DAS-AM and DAS-FL series, year refers to calendar year	1 & 2
DAS-AM-507	WV-105 (DCR) Cannibalization Asset Form Pre-approval form used when retiring equipment by cannibalizing for use of component parts	Electronic 4 years	N/A	For the DAS-AM and DAS-FL series, year refers to calendar year	1 & 2

Series/Auth Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
DAS-FL-501	Driver File File for employees assigned a fuel pin.	AC + 1 years	N/A	AC = after termination of employment or termination of pin, which ever is first For the DAS-AM and DAS-FL series, year refers to calendar year	2
DAS-FL-502	Vehicle File Content varies based on ownership of vehicle. File could include items e.g. invoice, title, registration card, accident reports (BRIM), correspondence (issues with vehicle) Modification request, etc.	AC + 5 years	N/A	AC = vehicle retirement date For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-FL-503	Vehicle Orders Orders placed on SWC and the vehicles that are going to be replaced	3 years from order	N/A	For the DAS-AM and DAS-FL series, year refers to calendar year	1
DAS-JCS-601	(Federal or State) Subgrantee "Application w/Contract and Special Conditions", "Correspondence" and "Fiscal" Files	AC + 1 years	AC + 2 years	AC = Final closeout of the federal grant	1
DAS-JCS-602	Agency Federal "Formulary" files.	AC + 1 years	AC + 2 years	AC = Final closeout of the federal grant	1
DAS-JCS-603	Consultants' Reports and Related Documents The work product and reports of consultants hired by the agency.	1 year	2 years	None	1
DAS-JCS-604	Contract Administration Agreements (Grant Agreements) or Records Contractual obligations of the agency or owed to the agency, performance and conformance with contract terms.	1 year	AC + 2 years	AC = Obligations met	1
DAS-JCS-605	Grant Agreement Signed grant agreement, related budget, project plans, etc.	AC + 1 years	AC + 2 years	AC = Final closeout of the federal grant	1
DAS-JCS-606	Grant Reporting Progress Reports, SF-425 Federal Financial Report, Reconciliations, Close out reports (and support), Other reporting as required by the grant/cooperative agreement	AC + 1 years	AC + 2 years	AC = Final closeout of the federal grant	1
DAS-JCS-607	Sub-awards Applications, Grant Award, Grant Contract/Agreement or Addendum, Budget, Amendments, Request for Funds (and related support), Reports, Correspondence, other	AC + 1 years	AC + 2 years	AC = Final closeout of the federal grant	1

State of West Virginia

Authorization to Destroy Records

Request for Records Destruction

Department of Homeland Security – Division of Administrative Services

I certify that I am authorized to act for this governance body in the destruction of its public records and hereby request authorization for the destruction of the following records in accordance with the West Virginia Code and all applicable records retention and disposal schedules. The records listed below meet all audit and legal retention requirements and have no further administrative, fiscal, legal, historical, or research value.

1.a. Agency name:	2. Title of authorized individual:	3. Telephone number and e-mail address of authorized individual:	
1.b. Signature of authorized individual:			
4. Records Series Number:	5. Series Title:	6. Inclusive Dates From: To:	7. Volume of Records (cubic ft.)

Destruction Authorization
 Destruction of the above listed records is authorized.

Destruction Authorization
 Destruction of the above listed records is authorized

State Records Administrator

Director, West Virginia State Archives

**Records that have been reformatted to microfilm and records that are dispensable duplicates of originals stored elsewhere may be destroyed before their record periods have elapsed. Please indicate which records qualify for this early disposition using MI for microfilm, IM for imaging, and DUP for duplicates.*