

GENERAL DISTRIBUTION

WEST VIRGINIA
DIVISION OF CORRECTIONS
& REHABILITATION

NUMBER: 105.08

DATE: 29 October 2021

SUBJECT: RECORDS MANAGEMENT
PROGRAM

POLICY DIRECTIVE

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:

WV Code §5A-8-1 *et seq.*; WV Department of Administration's Legislative Rules §§148CSR12 and 148CSR13; WV Division of Labor's Legislative Rule §42CSR5; and PREA §§115.71, 115.89, 115.371 and 115.389.

RESPONSIBILITY:

No additional written instructions on this subject are required.

CANCELLATION:

Any previous written instruction on the subject including DCR Policy Directive 105.08, dated 26 July 2021.

APPLICABILITY:

All facilities and work units within the Division of Corrections and Rehabilitation (DCR). This Policy is available for general distribution.

DEFINITIONS:

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

Master Records Retention and Destruction Schedule: The table that describes the length of time each document or record will be retained as an active record and the final disposition of the record.

Record: For the purpose of this Policy Directive, this includes documents, books, papers, photographs, sound recordings or other materials, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business. Records shall also include all computer entries, emails, computer files, electronic images or other information stored on any computer maintained by the Division of Corrections and Rehabilitation.

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

POLICY:

- I. The Agency Records Manager for the Division of Corrections and Rehabilitation (DCR) shall be the Chief of Staff.
- II. The DCR preferred record storage method is the use of electronic imaging; however, a hard copy will be acceptable as long as the retention period is still met.
 - A. Staff will utilize the Master Records Retention and Destruction Schedule (**Attachment #1**) as the central authority to ensure adequate coordination of records management. The length of retention for each record series will be followed unless law, regulation, rule or agency policy require differently.
 - B. If retaining hard copies, each record series should be boxed and labeled separately.
- III. If a Superintendent or Unit Supervisor desires to destroy records, the requestor shall submit the Record Destruction Request Form (**Attachment #2**) to the Chief of Staff or designee who will complete the appropriate section of the form.
 - A. Although the Master Records Retention and Destruction Schedule covers many records, there may be unique records not represented. In such cases, the requestor will list the record, noting that it is not included the Schedule. The Chief of Staff/designee will evaluate the record's use and value in making a determination.
 - B. If the Record Destruction Request is approved by Chief of Staff/designee, they will complete the Authorization to Destroy Form (**Attachment #3**) and send to the Department of Administration's State Records Administrator.
 - C. The Chief of Staff/designee will return the completed Record Destruction Request Form to the requesting employee once approval for destruction has been granted by the Department of Administration's State Records Administrator.
 - D. Once records are destroyed the requesting employee will confirm the destruction of the records to the Chief of Staff/designee who will log the destruction date on the Record Retention and Destruction Log (**Attachment #4**).

- IV. Records that are short-lived, do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt may be disposed without a specific retention period. These are records that do not require action and are not needed to document specific program activities and have no administrative, legal, financial, or historic requirements for retention. They may be disposed of after they have served their reference purposes. This includes the following.
- A. Duplicates – extra copies of correspondence, completed forms, bulletins, statistics, reports, hard copy printouts from databases, electronic files extracted from a master file/database, mailing lists, or other records used only for reference or information distribution.
 - B. Document errors – incorrect versions of documents, forms or reports that had to be regenerated in order to correct errors in typing, data entry, spelling, grammar, or format.
 - C. Preliminary drafts – drafts of memos, letters, worksheets, and other records, and those that represent stylistic, spelling or grammatical changes.
 - D. Copies – that have no further administrative value after the recordkeeping copy is made including copies maintained by employees in personal files.
- V. The Chief of Staff will select appropriate employees to serve as contacts approved to place records and retrieve records from the State’s contracted records storage vendor. Records placed with the contracted vendor should be disposed of in an identical manner as records in the physical custody of the DCR.
- VI. Prison Rape Elimination Act (PREA) administrative and criminal investigation reports shall be retained for as long as the alleged abuser is incarcerated or employed by the agency, plus five (5) years.
- VII. 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.

ATTACHMENT(S):

- #1 Master Records Retention and Destruction Schedule (4 pages)
- #2 Record Destruction Request Form
- #3 Authorization to Destroy Form
- #4 Record Retention and Destruction Log

APPROVED SIGNATURE: _____


Betsy C. Jividen, Commissioner


Date

**WV DIVISION OF CORRECTIONS AND REHABILITATION
MASTER RECORDS RETENTION AND DESTRUCTION SCHEDULE**

Record Series #	Name of Record Series	Length of Retention	
		Central Office/DAS	Facilities/Work Units
Administrative			
COR-104	Internal Investigations	5 years after resolution	5 years after resolution
COR-106	Written Instructions: Historical Copy Institutional Operational Procedures Current Superseded Policy Directives/Protocols/Commissioner's Instructions Current Superseded Certificates of Understanding Records Management Reports Records Retention & Disposal Schedules Records Disposal Logs Staff Training Records	Permanent N/A N/A Permanent Permanent Permanent Permanent Permanent 3 years after termination of employment	N/A Permanent Permanent N/A N/A Permanent Permanent Permanent 3 years after termination of employment
Construction			
COR-201	Buildings/Land, Blueprints, Capitol Improvements, Deeds, Maps, Plans	Permanent	Permanent
COR-202	Correspondence	5 years after project completion	5 years after project completion
Finance (operating, general & Inmate/Resident Benefit Funds)			
COR-301	Audits - Legislative/Federal/External/Internal	Permanent	Permanent
COR-302	Budget Documents, Requests, & Expenditure Schedules	3 years	1 year after end of fiscal year
COR-305	Inmate/Resident Benefit Fund monthly & annual reports	1 year after end of fiscal year	1 year after end of fiscal year
COR-308	Correspondence	*	*OASIS attachment is original document. Hard copy retained by facility for 1 year after end of fiscal year transaction occurs (e.g., records/documentation for transaction occurring in FY2020 retained until first day of FY2022 [01 July 2021])
	Leases	*	*OASIS attrn is orig. doc. Hard copy retained by fac. 1 year after end of fiscal year transaction occurs (e.g., documentation for transaction in FY2020 retained until 1st day of FY2022)
	Fleet	*	*OASIS attrn is orig. doc. Hard copy retained by fac. 1 year after end of fiscal yr contract expires (e.g., contract expiring in FY2020 retained till 1st day FY2022). Multiple year contracts retained until final yr.
	Other	*	
COR-311	Purchasing Card Payments	*	
COR-312	Deposit Documents	*	
COR-313	Payment Documents	*	
COR-314	Procurement/Contract Documents	*	
Finance - Inmates/Residents			
COR-403	Trustee Accounts: Check Stubs, Deposit Slips, Bank Statements Checks/Monies Received by Inmates/Residents (Daily Log/Report, Receipts) Payroll/Compensation Records - Inmates/Residents	N/A N/A N/A 5 fiscal years or until Legislative Audit, whichever is first	5 fiscal years or until Legislative Audit, whichever is first 5 fiscal years or until Legislative Audit, whichever is first 5 fiscal years or until Legislative Audit, whichever is first 5 fiscal years or until Legislative Audit, whichever is first
Human Resources			
COR-502	Affirmative Action Program	3 years	3 years
COR-504	Correspondence	5 years	5 years
COR-505	EEO Complaints	5 years after resolution	5 years after resolution
COR-506	Employee Grievances	5 years after resolution	5 years after resolution
COR-507	Medical Records	3 years after termination of employment	3 years after termination of employment
COR-508	Personnel Files (Active & Inactive)	5 years after termination of employment	5 years after termination of employment
COR-510	Worker's Compensation Records	3 years after termination of employment	3 years after termination of employment
Inventory			
COR-602	Fixed Assets Added property, Transfers, Surplus, & Computer Listings	3 years after retirement	3 years after retirement
COR-702	Inmate Grievances	5 years after resolution	5 years after resolution

WV DIVISION OF CORRECTIONS AND REHABILITATION
MASTER RECORDS RETENTION AND DESTRUCTION SCHEDULE

Code	Description	Retention	Destruction
Operations			
COR-802	Board of Risk and Insurance Management Inspections	3 years	3 years
COR-803	Boiler Room Reports & Logs	5 fiscal years or until Legislative Audit, whichever is first	3 years
COR-804	Correspondence	3 years	3 years
COR-805	Elevator Inspections	N/A	1 year
COR-806	Equipment Manuals & Warranties	Life of Equipment	Life of Equipment
COR-807	Fire Marshal's Inspections Reports (incl. fire drills & safety reports)	3 years	3 years
COR-808	Fleet:		
	Accident Reports	5 fiscal years or until Legislative Audit, whichever is first	5 fiscal years or until Legislative Audit, whichever is first
	Mileage Log	3 years	1 year
COR-811	Health Dept. Inspection Reports	3 years	3 years
COR-812	Laundry Reports	N/A	5 fiscal years or until Legislative Audit, whichever is first
COR-813	Meal Cost Sheets	5 fiscal years or until Legislative Audit, whichever is first	5 fiscal years or until Legislative Audit, whichever is first
COR-814	Menus - Institutions	N/A	5 fiscal years or until Legislative Audit, whichever is first
COR-815	OSHA Reports	3 years	3 years
COR-816	School Lunch/Commodity Reports	5 fiscal years or until Legislative Audit, whichever is first	5 fiscal years or until Legislative Audit, whichever is first
COR-818	Water & Waste Water Plant		
	Department of Environmental Protection Inspections		
	Monthly Reports	N/A	3 years
	Reports submitted to the Department of Environmental Protection	N/A	1 year
	Water Quality Testing Reports	N/A	3 years
			1 year

Code	Description	Retention	Destruction
Payroll			
COR-901	Annual/Sick Leave Records	7 years	7 years
COR-902	Employee Payroll/Deduction File	5 years after date of employment	5 years after date of employment
	Correspondence	5 years after date of employment	5 years after date of employment
COR-903	Payroll Ledger - FIMS cover sheet, employee listing, overtime records	7 years	7 years
COR-904	Reports:		
	Accumulated Leave	7 years	7 years
	Federal & State Tax	7 years	7 years
	Medicare/Social Security	7 years	7 years
	Public Employees Insurance	7 years	7 years
	Public Employees Retirement	7 years	7 years
	Teacher's Retirement	7 years	7 years
COR-905	Time Sheets/Time Cards/Shift Logs	7 years	7 years

Code	Description	Retention	Destruction
Programs			
COR-1002	Federal Grants & Programs:		
	Applications, Correspondence, Narratives, Reports, etc.	7 years after end of grant	7 years after end of grant
COR-1004	Work Assignment Records/Daily Activity Log	5 years	5 years
COR-1005	Work Crew File - Inmates	5 years	5 years
COR-1006	Work Schedules	1 year	1 year

Code	Description	Retention	Destruction
Inmate/Resident Records			
COR-1105	Inmate Disciplinary Hearing Files	N/A	2 years
COR-1112	Master Card Files	Permanent	Permanent
COR-1118	Visiting Room Card File	until inmate released or file closed	until inmate released or file closed
COR-1119	Visiting Room Register	3 years	3 years
COR-1121	Inmate Legal File	10 years after release	10 years after release
COR-1122	Inmate Classification File	N/A	10 years after release
COR-1123	Juvenile Offender Records	after offender released whose current age is 21 yrs, 6 mos	after offender released whose current age is 21 yrs, 6 mos

Code	Description	Retention	Destruction
Security			
COR-1201	Security Logs	N/A	1 year
	Control Center Sign In/Out Sheet	N/A	1 year
	Main Gate Log	N/A	1 year
	Gas House Key Log	N/A	1 year
	Pass down/Activity Logs	N/A	1 year
	Chemical & Cabinet Distribution Log	N/A	1 year after consumption of chemical

**WV DIVISION OF CORRECTIONS AND REHABILITATION
MASTER RECORDS RETENTION AND DESTRUCTION SCHEDULE**

COR-1202	Radio Checks Radio Check Log Radio Control Checkout Sheet Monthly Radio Status Report	N/A N/A N/A	1 year 1 year 1 year
COR-1203	Inspections Daily Inspections Weekly Inspections	N/A N/A	1 year 1 year
COR-1204	Tool Control Tool Receiving Report Master Tool Inventory Weekly Tool Inventory Tool Control Monthly Report Tool Control Issuance Sheet Tool Disposal Report	N/A N/A N/A N/A N/A N/A	Until tool is disposed Permanent 1 year 1 year 1 year 1 year after disposal
COR-1205	Daily Inmate Movement Inmate Sign In/Out Sheet Cut Sheet Inmate Move Slip Inmate Daily Movement Sheet	N/A N/A N/A N/A	1 year 1 year 1 year 1 year
COR-1206	Canine Procurement Canine Basic Training Form Canine Daily Maintenance Log CDS Canine Team Certification Form Canine Training Log - Patrol Dog Canine Release Marijuana/Drug Training Aid Inventory Marijuana/Drug Training Aid Sign Out/In Log Post Order Forms	N/A N/A N/A N/A N/A N/A N/A	1 year after release of K-9 1 year after release of K-9 1 year after release of K-9 1 year after release of K-9 1 year after Destruction 1 year after Destruction
COR-1207	Post Order Review Sheet	N/A	1 year
COR-1208	Count Sheets Check Door Control Count Sheet Check Door Crew Count Sheet Control Center Count Sheet Daily Inmate Count Sheets Master Count Sheet Available Bed Space Sheet	N/A N/A N/A N/A N/A N/A	1 year 1 year 1 year 1 year 1 year 1 year after property return
COR-1209	Mini State Shop Form	N/A	1 year
COR-1210	Key Reports Key Status Report Monthly Lock Shop Inventory Emergency Key Checkout Form Body Cavity Search Authorization Transportation	N/A N/A N/A N/A	1 year 1 year 1 year 1 year
COR-1211	Weekly Inmate Trip Schedule	N/A	1 year
COR-1212	Monthly Transportation Report	N/A	1 year
COR-1213	Cell Inspections Security Cell Inspections Evidence/Property Seizure Receipt Segregation	N/A N/A	1 year 1 year after inmate release or pending litigation
COR-1214	Segregation In/Out Report - Cell Assignment Segregation Personal Property Stored on Inventory Sheet Segregation Call Roster/Movement Segregation Telephone Call Log Segregation Contraband Search Log Laundry Bag Report	N/A N/A N/A N/A N/A	1 year 1 year 1 year 1 year 1 year
COR-1215	Critical Incidents Critical Incidents Involving Injury Critical Incidents Involving Death Critical Incidents Involving Illness Call Down	N/A Permanent N/A	1 year after release Permanent 1 year after inmate release

**WV DIVISION OF CORRECTIONS AND REHABILITATION
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COR-1216	Critical (Condition Code) Incident Call Down	N/A	1 year
	Critical/Unusual Incident Not Involving Injury, Illness or Death	N/A	1 year
	Behavior Watch & Use of 4/5 Point Restraint Call Down	N/A	1 year
	Visitor Forms	N/A	1 year
COR-1217	Vehicle Consent to Search Form	N/A	1 year after Inmate transfer
	Visitor Vehicle Log	N/A	1 year after Inmate transfer
	Visiting Questionnaire	N/A	1 year
	Firearms	N/A	1 year
	Firearms Permission Slip	N/A	1 year
	Daily ready Service Weapons Inventory Sheet	N/A	1 year

**State of West Virginia
 Department of Homeland Security
 Division of Corrections and Rehabilitation**

Record Destruction Request Form	
Department of Origin:	
Prepared By:	
Record Series Title:	
Inclusive Years:	
Description/Comments:	
To be Completed by the Records Retention Manager	
Date Received:	Date Sent to Archives:
Record Number:	
Date Authorized for Destruction:	
Date Available for Destruction:	
Signature:	
To be Completed by the Requesting Employee	
Date Received:	
Actual Destruction Date:	
Signature and Date:	

State of West Virginia Authorization to Destroy Records

Request for Records Destruction

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. Name and Signature of authorized individual:	2. Title of authorized individual:	3. Telephone number and e-mail address of authorized individual:
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4. Records Series Number:	5. Series Title:	6. Retention Dates From: To:	7. Volume of Records (cubic ft.)

Destruction Authorization

Destruction of the above listed records is authorized.

State Records Administrator

Destruction Authorization

Destruction of the above listed records is authorized

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.*

Record Retention and Destruction Log

The records listed below have been disposed of in accordance with Division of Corrections and Rehabilitation Policy Directive.

Signature of Records Retention Manager:

Record Series Title	Record Series Number	Record Number	Date Received	Received From	Department	Fiscal Year	Date of Destruction	Historical Value	Initials