

**RECORDS MANAGEMENT
PROGRAM**

MANUAL OF PROCEDURES

PART II

**RETENTION AND DISPOSITION
SCHEDULING**

Section 2.01, Destruction of Record and Non-Record Material

No record shall be disposed of by an agency of the state, unless it is determined by the Administrator that the record has no further administrative, legal fiscal, research or historical value. (Code Section)

Non-record materials may, if not otherwise prohibited by law, be destroyed at any time by the agency in possession of such materials without the prior approval of the Administrator. (Code Section)

Any questions as whether or not material is record or non-record will be resolved by the Administrator.

Section 2.02, Inventory of Agency Records Holdings

Each executive agency will make a biennial inventory of their records holdings every odd year (e.g., 2003, 2005). This inventory will be prepared in duplicate on Form WV-25, Agency Records Inventory, (Exhibit 1). The original will be forwarded to the Administrator; the duplicate retained in the agency until the second subsequent inventory.

Exact dates of records and cubic feet involved are very important and should be reported on form WV-25.

The administrator will furnish each agency the required forms and instructions for taking the biennial inventory prior to inventory date.

If a record series without retirement authorizations is discovered through the inventory, it is incumbent upon the agency to submit Form WV-26, Records Retention Authorization, (Exhibit 2), in accordance with series 2.03.

The inventory shall reflect departmental changes, addition of new record series, deletion of obsolete record series, changes in record series titles and location, and revised retention recommendations. The preceding inventory should only be used as a guide and never duplicated in its entirety. All changes in any record series shall be indicated on the Form WV-25, Agency Records Inventory.

The cut-off date for the biennial inventory will be September 30 of the inventory year and completed inventories will be furnished the Administrator by November.

Section 2.03, Records Retention Authorizations

All agencies shall prepare and submit to the Administrator Form WV-26, Records Retention Authorization, (Exhibit 2), for each record series held by them.

Form WV-26 shall be prepared in accordance with the instructions shown on Exhibit 3. Block 8 must contain the chronological period of the record series; if it is a continuing

record the word "Present" shall be used; e.g., "1959 to Present". The use of this phrase makes the authorization a continuing one and eliminates preparing Forms WV-26 each time the retention period expires. When the record series becomes obsolete, the word "Present" is annotated to read the final date of the record; e.g., "1959 to June 1984".

The agency shall request amendment of approved retention periods on Form WV-26 in the same manner as requesting an original authorization. The reasons for such change shall be explained in Block 11, Retention Recommendations.

Upon receipt of Form WV-26, the Administrator will analyze the information contained thereon. If the Administrator concurs in the proposed retention recommendations he will affix his signature in the space provided. The Administrator will seek approvals of recommended retention appraisals from any other agency he may deem necessary. If the Administrator does not concur with the recommendations of the originating agency, conferences will be arranged to reconcile the differences.

Section 2.04, Record Retention and Disposal Schedules

After Forms WV-26, Records Retention and Disposal Schedule, will be compiled and submitted to the State Archives and the Agency Head for approval. After approved schedule has been returned, the Administrator will approve, print and supply the agency with five (5) copies to be distributed by them on a "need-to-know" basis. Exhibit 5 is an example of a Retention and Disposal Schedule.

The agency's Retention and Disposal Schedule shall be reviewed biennially prior to November 1 of each even year (e.g., 1986, 1988) to determine if revisions are necessary. The agency will certify by letter to the Administrator this review has been completed.

Section 2.05, Retirement of Records to the Record Center

Records eligible for storage should be transferred annually by the agency to the Records Center. Instructions covering transfer will be found in part VI of this manual.

Section 2.06, Destruction of Records by the Agency

The agency may destroy and record held by them whenever such record becomes eligible for disposal as indicated by the agency's current Records Retention and Disposal Schedule.

On completion of the destruction, agency personnel shall promptly list all records destroyed and all records microfilmed (hard copy destroyed) on Form WV-29, Records Disposal worksheet. The worksheet should then be sent to the agency Records Manager. Do not include records destroyed at the Records Center on Form WV-29 onto Form WV-30, Records Disposal Log (Exhibit 8), attached to appropriate Form WV-26, Records Retention Authorization, Instructions for completion of Form WV-30 are contained in Exhibit 9.

Section 2.06, Destruction of Records by the Agency (Continued)

Forms WV-29 shall be filed in a separate folder and retained two (2) years following the last entry on the report. Form WV-30 shall be retained permanently with WV-26 showing history of record series.

Section 2.07, Microfilming

When a record series or portion thereof is microfilmed and the original document is destroyed, this disposal shall be shown on the quarterly report, Form WV-29, Records Disposal Report, submitted to the Administrator. (See Section 2.06 and Exhibits 6 & 7)

Section 2.08, Filing Plans

Developing a filing plan pinpoints trouble areas, reflects duplication of unnecessary copies, lessens the number of "lost" files, aids in taking the biennial records inventory, and could result in an all-over change in the filing system.

Directors and Supervisors should have a written plan of the filing system within their division for quick reference. The agency head should have an over-all file plan of the information sources within his agency. The Records Manager of each agency should know where each record originates and why, how many copies and distribution of the copies, where they are stored temporarily and how, and the final action (destruction, Records Center, Archives and History, permanent record held in agency, etc.).

Each executive agency shall furnish the Administrator a copy of the agency's filing plan and any revisions of the plan.