

Records Retention and Disposal Schedule		Agency: West Virginia Public Employees Insurance Agency			
		Division:			
		Final Action Code: 1. Destroy 3. Retain Permanently		2. Shred 4. Archives	
				Effective Date: 07/01/2020	
Series Number	Name/Description of Record Series	Retain at Agency	Retain at Records Center	Comments	Final Action Code
Category 1: ADMINISTRATIVE RECORDS			Section 1.1: General		
1.1.001	Agency Rules, Policies and Procedures Manuals, guidelines, administrative rules, records distributed internally for use of employees or externally to the public or entities regulated by the agency.	Date Created + 1 year	7 years	All Agency Rules, Policies, and Procedures shall be reviewed annually to determine applicability	1
1.1.002	Agency Performance Measures Documentation Records needed for documentation of output, outcome, efficiency, or for performance measures used to manage the agency.	Date created + 1 year	7 years		1
1.1.003	Annual Reports Reports prepared by the agency addressing the state of the agency, goals, targets, objectives and finances	1 year	7 years	Will be stored on Shared Drives (Q:), (Z:) and (T:)	1 or 4
1.1.004	Audits Audits and reviews performed on the agency.	1 year	Date created + 7 years	Retained as required by State and Federal law(s)	1
1.1.005	Calendars, Appointment and Itinerary Records Calendars, appointment books or programs, itinerary records maintained during business hours that document activities of the agency officials or programs.	1 year		The calendar for the Director shall be retained as per WV OT	1 or 4

				Outlook Standard(s) for Archiving	
1.1.006	Consultants' Reports and Related Documents The work product and reports of consultants hired by the agency.	1 year	Date created + 7 years		1
1.1.007	Contract Administration Agreements or Records Contractual obligations of the agency or owed to the agency, performance and conformance with contract terms.	1 year	Date of contract expiration + 7 years	AC = Obligations, including post contract audit requirements met	1
1.1.008	Correspondence – Administrative 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 the agency and the administrative regulations, policies, and procedures that govern them.	1 year	Date created + 7 years	Will be stored on the Agency Shared Drives - (Q:), (Z:) and (T:) and in the Agency's CRM document storage system	1
1.1.009	Correspondence – General Non-administrative incoming/outgoing and internal correspondence and e-mail pertaining to routine operations of the agency.	1 year	In the case of member correspondence, it will be retained in the member's case in CRM	Will be stored on the Agency Shared Drives - (Q:), (Z:) and (T:) and in the Agency's CRM document storage system	1
1.1.010	Customer Surveys Surveys returned by customers or clients of an agency that rate an agency's performance.	1 year	5 years		1
1.1.011	Directives, Office Instructions or Procedures Any document that officially initiates, rescinds, or amends general office procedures.	AC + 1 year	3 years	AC= Until superseded	1
1.1.012	Directory Listings and Files	AC + 1 year		AC = Until superseded	

	Lists of current or former employees and/or phone listings, office listings, lists of contacts, or service providers.				
1.1.013	History Files 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	Permanent		Transfer to Archives	
1.1.014	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		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
1.1.015	Meeting Agendas and Minutes Official agenda and minutes of state boards, committees, commissions, and councils that conduct open meetings as required by Code.	Permanent		Transfer to Archives	4
1.1.016	Meeting Notes, Audio or Videotapes of Meetings Notes or recordings taken during open meetings as required by Code.	AC + 90 days		AC = Official approval of written minutes of the meeting.	1
1.1.017	Meetings Supporting Documentation Documents submitted at meetings for documentation of agenda items.	1 year	2 years		1
1.1.018	Organizational Charts	Until Superseded			1

1.1.019	Photographs and Negatives Images used for identification of employees, contractors, or vendors.	AC + 1 year		AC = no longer has administrative value	1
1.1.020	Plans and Planning Records Records relating to the process of planning new or redefining programs, services, or projects.	AC + 3 years		AC = Decision made to implement or not implement.	1
1.1.021	Public Information Reports Reports made on an agency's public information activities.	1 year	1 year		1
1.1.022	Public Information Requests Correspondence and documentation relating to request for records that are furnished to the public under the Freedom of Information Act.	AC + 1 year		AC = Date request filled.	1
1.1.023	Public Relations Records News, press releases, or public relations files.	2 years		Review by Archives	1 or 4
1.1.024	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	Until superseded + 1 year			1
1.1.025	Voice Mail/Answering Machine Messages Recording of incoming calls that have a bearing on actions or decisions taken or not taken.	As long as administratively necessary			
Category 1: ADMINISTRATIVE RECORDS		Section 1.2: Records Management			
1.2.001	Destruction Authorizations Documents authorizing the final disposition of records under an approved records retention schedule.	Permanent by Agency			
1.2.002	Forms Inventory Periodic listing of all forms used internally or externally by an agency.	AC + 1 year		AC = Until superseded	1

1.3.002	Record Center Storage Approved Forms Agency copy	1 year	2 years		1
Category 2: FISCAL RECORDS		Section 2.1: Worksheets, Detail Information on Financial Event or Transaction, registers, ledgers, reports, other financial documents.			
2.1.001	Accounts Payable and Receivable Information	AC + 7 years		AC = Fiscal year end	1
2.1.002	Appropriations and Allotment Appropriations from the state treasury and other sources.	AC + 5 years		AC = Fiscal year end	1
2.1.003	Billing Detail	AC + 5 years		AC = Fiscal year end	1
2.1.004	Cash Deposit Vouchers and Receipts, Credit Card Documents Cash deposit slips, receipts for fees permits and renewals, receipts and other documents for credit card transactions.	3 years			
2.1.005	Expenditure Vouchers Travel, payroll, etc.	AC + 3 years		AC = Fiscal year end	1
2.1.006	Purchase Vouchers Requisitions, orders, receiving reports, invoices, statements, change orders, or best value determinations.	AC + 7 years		AC = Fiscal year end	1
2.1.007	Journals, Registers, Ledgers Expenditure, Receipts and sales registers, accounts payable and receivable ledgers and general ledgers.	AC + 5 years		AC = Fiscal year end	1
2.1.008	Annual Financial Reports	AC + 6 years		AC = Fiscal year end Note: if the agency does	1 or 4

				not produce a biennial or annual narrative report then these should be sent to Archives.	
2.1.009	Audit Reports Financial audit reports of the agency and documents produced by for the audit.	AC + 3 years		AC = Fiscal year end	1
2.1.010	Checks and Checking Cancelled checks, returned checks, check registers, checking statements and other records relating to the agency's checking accounts.	3 years		Not held by PEIA – held by the Auditor and/or in OASIS	1
2.1.011	Accounting and Reporting System Reports Reports prepared by the Division of Finance for an agency.	3 years			1
2.1.012	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		Fixed AC = After superseded Capital AC = Life of asset	1
2.1.013	Internal Fiscal Management Reports Includes agency monthly budget reports	AC = 3 years		AC = Fiscal year end	1
2.1.014	Vouchers: Agency Accounting Office Files Payment or transfer of funds form agency's accounts.	3 years or until audited			1
2.1.015	Worksheet, Balancing Records, Cash Counts, Reconciliations Documents showing compliance with system of internal control.	AC + 3 years		AC = Fiscal year end	1

Category 3: PERSONNEL RECORDS

Section 3.1: Employee, Payroll, Administration

3.1.001	Accident/Illness Reports Occupational injuries and illnesses records	AC + 5 years		AC = Dispute settled	1
3.1.002	Affirmative Action Plans Plans for both regular employees and apprenticeships	5 years			1
3.1.003	Agency Staffing Reports Reports compiled on aspect of personnel staffing, organization structure, position vacancies, analysis of turnover rates and seasonality of employment.	Until superseded			1
3.1.004	Applications for Employment – Not Hired Applications, resumes, transcripts, letters submitted by candidates.	2 years			1
3.1.005	Applications for Employment – Hired Applications, resumes, transcripts, letters submitted by candidates.	AC + 5 years		AC = Termination of employment	1
3.1.006	Criminal History Checks Criminal history record information on job applicants or agency employees. *Also kept by the Division of Personnel	AC + 1 year		AC = Criminal history record has served its purpose.	1
3.1.007	Discrimination Complaint Case Files Report or case filed for complaint of discrimination	AC + 5 years		AC = Closure of complaint or case	1
3.1.008	Drug and Alcohol Screening or Testing Records Results of the screening or testing of drug applicants or employees for illegal drug use.	3 years			1
3.1.009	Employee Benefits Records	AC + 2 years		AC = Superseded or termination of employment	1
3.1.010	Employee Health Records	AC = 30 years		AC = Departure of employee	1

	Health treatment or examination records for on-the-job injuries or long-term health risk or issues. Should be kept separately from personnel file.				
3.1.011	Employment Contracts	AC + 4 years		AC = Expiration or termination of contract	1
3.1.012	Grievance Records Records relating to the review or investigation of employee grievances.	AC + 2 years		AC = Final decision on grievance	1
3.1.013	Internal Investigation Records and Investigative Case Files Investigations into employee conduct or actions taken.	6 years			1
3.1.014	Job Procedure Records and Position Descriptions Documents detailing the procedural duties and responsibilities of agency positions.	Until superseded + 5 years			1
3.1.015	Leave Status Reports, Time Cards, Time Sheets	AC + 3 years		AC = End of fiscal year	1
3.1.016	Occupational Safety and Health Administration Records	Calendar year + 5 years			1
3.1.017	Performance Appraisals	AC + 5 years		AC = Termination of employment.	1
3.1.018	Personnel Corrective Action Documentation Corrective actions which do not affect pay, status, or tenure and are imposed to improve an employee's job performance.	AC + 5 years		AC = Termination or corrective action.	1
3.1.019	Personnel Disciplinary Action Documentation Disciplinary actions that affect pay, status, tenure, demotion, suspension, or dismissal imposed to discipline an employee.	AC + 5 years		AC = Termination of employment.	1

3.1.020	Personnel Records All personnel records maintained by the agency.	AC + 5 years		AC = Termination of employment.	1
3.1.021	State Law Enforcement Training and Certification Records	Permanently electronically		N/A to PEIA	
3.1.022	Training and Educational Achievement Records Certificates of completion, transcripts, test scores, or similar records documenting training and educational achievement.	AC + 5 years		AC = Termination of employment	1
3.1.023	Work Schedules/Assignments Work, duty, shift, crew, or case schedules, rosters or assignments.	1 year			1
3.1.024	Workers Compensation Reports and Related Documentation	AC + 5 years		AC = Completion of case and compensation	1
3.1.025	Unemployment Compensation Records	AC + 5 years		AC = Completion of case and compensation	1

Category 4: Agency Operational Records

Section 4.1: Enrollment, Management of Benefits Records

4.1.1	Records necessary for the enrollment of Agencies into PEIA under West Virginia Code §5-16-2(4)	AC + the life of the Agency		Termination of the Agency + 7 years as required by federal law	Disposed of in a HIPAA compliant manner as outlined in the applicable provision(s) of the HIPAA
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					Security Rules
4.1.2	Records necessary for the enrollment of employees of participating Agencies into PEIA under West Virginia Code §5-16-2(3)	AC + the period of the member and their respective dependent's enrollment in the PEIA Plans		Termination of the employee and all eligible dependents, including survivors + 7 years as required by federal law	Disposed of in a HIPAA compliant manner as outlined in the applicable provision(s) of the HIPAA Security Rules
4.1.3	Records necessary for the management and operations of PEIA and its participating employees and Employer Agencies in PEIA as required under West Virginia Code §5-16-12 and §5-16-12a	AC + the period of the member and their respective dependent's enrollment		Termination of the employee and all eligible dependents, including survivors + 7 years as required by federal law	Disposed of in a HIPAA compliant manner as outlined in the applicable provision(s) of the HIPAA Security Rules
4.1.4	Immunization records of covered minor dependents	AC + 7 years past the date the minor dependent reaches the age of maturity		AC + 7 years past the date the minor dependent reaches the age of maturity as required by federal law	Disposed of in a HIPAA compliant manner as outlined in the applicable provision(s) of the HIPAA

					Security Rules
4.1.5	Reports, e.g. Pharmacy, Healthcare claims, etc. reported to the Legislature as required by Code	AC + 10 years		AC + 10 years – custody of record is transferred to the Legislative Post Audit Division	Disposed of in a HIPAA compliant manner as outlined in the applicable provision(s) of the HIPAA Security Rules