

GEORGIA DEPARTMENT OF CORRECTIONS Standard Operating Procedures		
Functional Area: SUPPORT SERVICES - ADMINISTRATION	Reference Number: ID01-0001	Revises Previous Effective Date: 04/01/04
Subject: RECORDS MANAGEMENT		
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I. POLICY:

- A. Record management will conform to all pertinent provisions of the Georgia Records Act of 1972 and is applicable to procedures established by the Department of Archives and History. Each Administrator, Warden and Section Director (Management Level) is responsible for the records under their jurisdiction.
- B. Records designated as confidential by law or classified as containing information, the release of which, would constitute any invasion of privacy shall be so protected as to prevent unauthorized disclosure of information contained therein. An example of confidential records includes but is not limited to inmate/probationer/parolee case files and investigative files.
- C. Each activity will adhere to the procedures established by the Georgia Department of Archives and History for development and/or use of record retention schedules.

II. APPLICABILITY:

Agency wide including all activities under the jurisdiction of the Board of Corrections.

III. RELATED DIRECTIVES:

- A. O.C.G.A. 50-18-92; 50-18-94; 45-13-40; 42-5-36
- B. BR&R 125-1-1-.09

IV. DEFINITIONS:

- A. **RECORDS** are information and documentation concerning state business. The format varies and exists in paper,

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computer drives, disk, CD-ROM computer tape reels, cassette tape, microfilm, blueprints, video tapes, etc. Types of records are forms, documents, charts, calendars, computer printouts, Xerox and fax copies, microfilm, letters, notes and any other form of documentation of significance which relates to state operations or business.

B. **PERMANENT RECORDS** are those that are required by law to be maintained indefinitely. All permanent records will be transferred to the State Archives.

C. **TEMPORARY RECORDS** are those that are retained to document state business for a limited period of time. Those records can also be retained for a specific length of time as designated by law.

D. **AGENCY WIDE RECORD RETENTION SCHEDULES** are those schedules that contain description, filing, maintenance, storage and destruction guidelines for a particular or series of records specifically used by the Department of Corrections. The retention schedule lists record series by record category and title. The record categories in this schedule are:

Food Service, Probation, Inmate Information, Statistics, Legal Services, Health Services, Facilities, Programs, Training, Investigations and Compliance, Fire Services

E. **RETENTION SCHEDULES FOR STATE GOVERNMENT PAPER AND ELECTRONIC RECORDS** are those schedules that have been approved for use throughout all agencies of State Government. Those schedules cover files that are common to all agencies. Retention Schedules for State Government Paper and Electronic Records supersede agency retention schedules. Those schedules are to be applied to the official record. Secondary copies of the records are considered reference copies. The retention schedule lists record series by record category and title. The record categories used in this schedule are:

Accounting, Administration, Administrative Support, Budgeting, Information Technology, Payroll, Personnel, Property, Records Management, Library/Archives/Museums, Legal, Security and Safety

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F. **STANDARD OPERATING PROCEDURE (SOP) ATTACHMENTS** are generally forms that are required for use throughout our agency. The attachment may also be instructions for completing other attachments to the SOP. Regardless, each attachment should have a retention schedule on the bottom of the form. Retention Schedule information for attachments to SOPs is also indicated in Section VII of the SOP.

NOTE: All records, regardless of the format, should be scheduled for retention and destruction and should not be kept beyond the time needed under normal business conditions. However, litigation, audit, or special department requirements may require the maintenance of records for a longer period of time.

V. ATTACHMENT:

(related forms are located on CAPTIVA under Links>Administration Division>Business Forms)

Form 1 - Record Inventory Form

Form 2 - Directions for completing the Record Inventory Form

Form 3 - Certificate of Records Destruction

Form 4 - Authorization for Records Transfer and Receipt

Form 5 - Directions for completing the Authorization for Records Transfer and Receipt form

Form 6 - Directions for preparing records to be transferred to the State Record Center

VI. PROCEDURE:

A. Retention schedules describe the records that are to be kept and when they are eligible for destruction. Maintenance and transfer of records will be in accordance with this Standard Operating Procedure and/or the Department of Archives and History approved retention schedules.

B. Agency Wide Retention Schedules and Retention Schedules for State Government Paper and Electronic Records are available on Captiva in the Administration section.

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- C. Retention periods are based on the legal, fiscal, administrative, and historical need for that particular record.
- D. Records must be disposed of according to the specified retention of that record in the approved retention schedules. No records shall be scheduled for retention and kept longer than is absolutely necessary for performance of required functions.
- E. Request for Department of Correction's records from individuals or agencies outside of the Department will be coordinated through GDC Legal Services (478) 992-5229.
- F. Requests for medical records will be coordinated through the Medical File Tracking Coordinator (770) 504-7290. Medical record requests coordinated through the Medical File Tracking Coordinator and or Legal Services must be in compliance with SOP VH78-0002, Confidentiality of the Health Record. The request for the medical record must include a completed and signed Release of Information form. The signature on the release of information form should be verified to be the same as the person's file that is being requested. The Medical File Tracking Coordinator shall address questions regarding medical file tracking.
- G. Medical Records will be processed and tracked through the SCRIBE Medical File Tracking System according to the directions described in the Medical File Tracking System Manual. This manual can be located in SCRIBE.
- H. For security reasons, Departmental personnel access to records will be restricted to authorized personnel only. The affected manager controls jurisdiction of authorized personnel.
- I. Local Units shall identify a staff person as their Local Record Manager (LRM). This person will be the contact for the Department's Record Manager. The name of the person designated as the LRM will be provided to the Department's Record manager. The LRM will function as a local record manager and will be provided training and information regarding record retention and destruction. Questions regarding the retention of records shall be

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addressed by the Local Record Manager, where available, or the Department Record Manager. The telephone number for the Department Record manager is 478 445-1205 or 404 683-1195.

J. Process for transferring records to the State Record Center:

1. Directions for preparing the records to be transferred to the State Record Center are located in Form 6 relating to this SOP.
2. The completed Authorization for Records Transfer and Receipt Form (Form 4) shall be forwarded to the Department's Record Management Officer. Directions for completing this form are in Form 5 relating to this SOP.
3. After review and approval, the Department Record Manager will forward the transmittal to the State Record Center.
4. The State Record Center will print labels identifying the box or unit number and the location where the box will be stored at the Record Center or State Archives.
5. The approved Record Transfer Forms and labels will be sent back to the Department Record Manager who will forward them to the LRM.
6. The State Record Center label must be placed on the center of the short side of the box and the consignment number that is printed on the label must be written on the top right hand corner of the box. (See Form 6)
7. The boxes of records transported to the State Record Center must be accompanied by the original signed Authorization for Records Transfer and Receipt Form (Form 4) and the Box Verification report that is provided with the labels for the boxes. If you are delivering more than 100 boxes, they must be on pallets when they are delivered to the loading dock of the State Record Center.

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8. When you are ready to transport your records to the State Record Center, you must call them at 404-756-4860 and they will schedule a day and time that you will be allowed to have the records delivered.

K. Conducting a Record Inventory: An inventory of records maintained in your work area or office is critical in the process of record management. A completed records inventory will enable us to respond to Open Records Act requests in a timely manner, destroy eligible records in an efficient and timely manner, identify key historical records serving as the agency's memory and identify records requiring development of new retention schedules.

1. Conduct a record inventory using Form 1, Record Inventory Form, relating to this SOP. Directions for completing the Record Inventory Form are in Form 2 relating to this SOP.
2. Begin with your active files and continue with files in storage areas or inactive file cabinets.
3. Gather information by looking at the files and asking questions of office personnel who work with and are most knowledgeable about use of the files.
4. Conducting a record inventory does not mean that every single sheet of paper needs to be inventoried. The inventory should be of categories of records that are maintained as a unit because they are related in some way, e.g. correspondence files.
5. Seek assistance from our legal department if you are not sure of the legal need for the records.
6. The information collected during an inventory varies from office to office.
7. If you identify a series of records that do not have an existing retention schedule, contact the Department Record Management Officer for assistance in creating a new retention schedule.

L. Destruction of Records:

1. Any record designated CONFIDENTIAL by law shall be so treated in the maintenance, storage and disposition of confidential records. These records

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shall be destroyed in such a manner that they cannot be read, interpreted or reconstructed. Shredding or burning is the preferred method of destruction.

2. Records that are transferred to the State Record Center have been assigned a destruction date. When the time has come for destruction of these records, a records destruction notice will be sent to the Department Record Manager from the State Record Center.
3. The Department Record Manager will verify that the records are eligible for destruction and will sign and return the destruction notices back to the State Record Center.
4. The State Record Center will be responsible for destruction of the records in their possession upon the receipt of the approved destruction notices. Notification that the records have been destroyed will be forwarded to the Department Record Manager. The Department Record Manager will keep the destruction notices until they are eligible for destruction.
5. It will be the responsibility of the Local Record Manager or office manager to arrange destruction of records that are kept at the local level in facilities or offices that are not transferred to the State Record Center.
6. The Local Record Manager or office manager will complete Form 3, Certificate of Records Destruction. Upon the destruction of the records, the certificate of records destruction will be signed and dated as to the date the records were destroyed. This completed form will be kept locally for review.

VII. RETENTION SCHEDULE

Form 1 - Record Inventory Form will be kept for 5 years past the date of record destruction

Form 2 - Directions for completing the Records Inventory Form will be kept until they are obsolete or updated.

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Form 3 - Certificate of Records Destruction will be kept for 5 years past the record destruction

Form 4 - Authorization for Records Transfer and Receipt Form will be kept for 7 years past the records destruction

Form 5 - Directions for completing the Authorization for Records Transfer and Receipt form will be kept until they are obsolete or updated

Form 6 - Directions for preparing records to be transferred to the State Record Center will be kept until they are obsolete or updated.