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| GEORGIA DEPARTMENT OF JUVENILE JUSTICE | Transmittal # 17-13 | Policy # 5.1 |
| Applicability: {x} All DJJ Staff { } Administration { } Community Services { } Secure Facilities (RYDCs and YDCs) | Related Standards & References: O.C.G.A. §§ 50-18-90 <i>et seq.</i> , 50-18-99, 50-18-102, 50-18-103 20 USC S. 1232 g. ACA Standards: 4-JCF-6F-01, 3-JDF-1A-06, 3-JDF-1E-01, 3-JDF-3D-06-10, 3-JDF-4C-48, 4-JCF-3D-09 | |
| Chapter 5: RECORDS MANAGEMENT | Effective Date: 12/5/17 | |
| Subject: RECORDS MANAGEMENT | Scheduled Review Date: 12/5/18 | |
| Attachments: A – Approved Retention Schedule B – Reviewers Guidelines for Records Management C – Records Inventory Form D – Authorization for Records Transfer and Receipt Form E – Preparing Records for Transfer to the Records Center F – Reference Request Form G – Certificate of Record Destruction H – Records Coordinator Approval Form I – Confidential Records Access Form | Replaces: 12/1/15 APPROVED:  <hr/> Avery D. Niles, Commissioner | |

I. POLICY:

The Department of Juvenile Justice shall follow approved records retention schedules developed by the State Records Committee and Department policy in accordance with the Georgia Records Act. The Division of Administrative Services, Office of Property Management with guidance from the Office of Legal Services shall establish standards for the efficient and economical management of DJJ records, including the creation, maintenance, utilization, retention, preservation, and disposition of records.

II. DEFINITIONS:

Accession Number: The individual number or serial number designation specifically identifying any of the records maintained by the State Records Center.

Administrative Records: Records originating from the Office of the Commissioner, to include, but not limited to: Board meeting minutes, budget plans, etc.

Ante Litem Notice: Notice of intent to sue the Department.

Calendar Year: January 1 through December 31 of each year.

Cut Off Time: Predetermined time when records are eligible for destruction.

Fiscal Year: July 1 of each year through June 30 of the following year.

Open Records Request: A request for public records in the custody of the Department pursuant to the Georgia Open Records Act.

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Records: All documents, papers, letters, maps, books, tapes, photographs, computer based or generated information, or similar material (e.g., e-mail, calendars, internet records) prepared and maintained or received in the course of the operation of the Department as a public agency.

Records Custodian: The individual designated by DJJ to be the official custodian who can certify and authenticate that the record is produced and kept in the ordinary course of operation (i.e. the Director of a DJJ facility/program/office).

Records Coordinator: The individual staff member designated in writing by the Director of a DJJ facility/program/office to assist with the records management process in his/her work unit.

Records/Information Manager: The employee within the Administrative Services Division responsible for the overall management of DJJ records, including the retention schedules, Certification of Records, and transfer of records to the State Archives or the Records Center or any DJJ Repository.

Certification of Records: The process by which an authorized person attests to the authenticity of Department records.

Record Series: Documents or records relating to a similar function or activity that are filed in a unified arrangement (e.g., Case Records, Health Records, Personnel Records, Investigation Records, etc.).

Retention Schedule: A set of instructions stating how long, where, and in what form records are to be stored. Retention schedules include the DJJ-approved retention schedule (Attachment A) and the common retention schedule established by the State Records Committee. The Common retention schedules may be found at:
http://www.georgiaarchives.org/records/agency_specific.

State Records Center: A facility managed by the Department of Archives and History primarily for the storage and security of records that must be maintained for varying periods of time but not required to be retained in DJJ's office equipment or space.

III. GENERAL PROCEDURES:

- A. The Records/Information Manager will establish recommended retention schedules for each DJJ record series. Recommended retention schedules will be reviewed the Office of Legal Services before submission to the State Records Committee for approval. Upon approval, the retention schedule will have the full force and effect of the law. Any questions about retention schedules will be addressed by the Records/Information Manager.
- B. The Approved Retention Schedule (Attachment A) represents the approved life cycle of the DJJ-specific record series. The life cycle will begin with the creation of the record series during normal business operations and will end with final disposition, which may be destruction or permanent retention.

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- C. DJJ-specific Records will be retained and disposed of in accordance with the Approved Retention Schedule (Attachment A). Records will not be disposed of without the approval of the Records/Information Manager.
- D. Records not published in the Approved Retention Schedule (Attachment A) will be retained and disposed of in accordance with the Statewide Common Retention Schedule. The Statewide Common Retention Schedule provides retention periods for common records created by state agencies, http://www.georgiaarchives.org/records/agency_specific.
- E. Access to records will be restricted to authorized personnel only. No records will be removed from the office or facility without written approval from the Records Custodian.
- F. The Records Custodian will designate a Records Coordinator and one alternate staff person who will assist with the records management process for his/her work unit. The Records Custodian will complete the Records Coordinator Approval Form (Attachment H) and submit a copy to the Records/Information Manager. The Records Custodian will notify the Records/Information Manager of any changes in the designated Records Coordinator.
- G. The Records Coordinator should meet the following qualifications:
 - 1. Daily access to a computer;
 - 2. Strong organizational skills; and
 - 3. General knowledge of the records maintained by the facility/office.
- H. Electronic records will be maintained in accordance with the Approved Retention Schedule (Attachment A).
- I. Records that are the subject of a pending or imminent discovery request, subpoena, litigation, ante litem notice, or Open Records request will not be transferred or destroyed. The Office of Legal Services will send notification of pending litigation/anti-litem notices to the Records Information Manager and Director of the Office of Information Technology Services (IT Director) to ensure the preservation of such records. The Records Information Manager and IT Director will send confirmation of records preservation to the Office of Legal Services within five days upon receiving such notification.
- J. A review of the records management will be conducted periodically by the Office of Continuous Improvement (OCI) using the Standards of Excellence.
- K. Records Coordinators will ensure that all areas containing confidential records will have a list of authorized personnel (positions) approved for entry on the door or affixed to the file cabinet containing the records. The approval will be documented on the

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Confidential Records Access Form (Attachment I). The door to the records or the cabinet containing the records must have an independent locking system. The access form may be modified to fit specific work sites wherein multiple functions are handled by different employees.

IV. INVENTORY OF RECORDS

- A. The Records Coordinator will be responsible for establishing an inventory of all inactive Department records in the physical custody of their office/facility/unit (Attachment C, Records Inventory Form). The inventory must include the following information:
1. Name of the group of records to be inventoried (e.g., accounting, personnel, youth, etc.);
 2. Description of the records to be inventoried, including a list of the contents;
 3. Cut off times for the records;
 4. Physical location the records will be stored;
 5. Volume of the records (e.g., number of binders, boxes, CDs, etc.);
 6. Format of the records (e.g., paper, video, diskettes, magnetic tapes, etc.); and
 7. Identification of the records as confidential.

V. STORAGE OF INACTIVE RECORDS

- A. Inactive records will not be stored in supply or mechanical closets or storage areas not designated for records storage.
- B. Each facility/program/office will establish a designated local holding/storage area for inactive records. Inactive records should be stored in cubic foot boxes. Confidential records, such as personnel files and juvenile records, will be secured in a locked local holding area and clearly marked “confidential.” The Confidential Records Access Form (Attachment I) shall be placed on the entrance doors.
- C. Health records including employee and youth medical and mental health records will be stored separately in a locked local holding area and clearly marked “confidential.” The Confidential Records Access Form (Attachment I) shall be placed on the entrance doors.
- D. Records will be stored in accordance with the Reviewer Guidelines for Records Management (Attachment B).

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VI. TRANSFER OF AGENCY RECORDS

- A. DJJ records may be transferred to a DJJ storage facility due to lack of local storage space or upon the closing of a facility. All records being transferred to a DJJ storage facility must have the destruction date marked on the boxes.
- B. All records will be transferred in agency approved vehicles as authorized by the Records Custodian. Personal vehicles shall not be used for relocating DJJ records.
- C. The Records Custodian will coordinate assistance, if needed, for transporting, lifting, and unloading the records at the DJJ storage facility.
- D. Department administrative records scheduled for permanent retention will be forwarded to the State Archives in accordance with the approved retention schedules by the Records/Information Manager.
- E. The Records/Information Manager will identify the records to be forwarded to the State Records Center and will send records to the Records Center in accordance with retention schedules.
- F. The Records Custodian or designee, will submit a separate Authorization for Records Transfer and Receipt Form (Attachment D for state records center) for each record series to the Records/Information Manager or designee.
- G. All records being transferred to the Records Center will be prepared for transfer in accordance with Attachment E (Preparing Records for Transfer to the Records Center). The Records Custodian/designee or the Records/Information Manager, if the facility has been closed, will retain copies of the Authorization for Records Transfer and Receipt Form (Attachment D).
- H. Records that are retained by the Department of Archives and History will become the property of the University System of Georgia. Records retained by the Records Center will continue to be the property of DJJ.
- I. To access records maintained at the State Records Center, the facility/program/office Records Custodian or designee will complete and submit a retrieval request using the Reference Request Form (Attachment F) to the State Records Center or to the Records/Information Manager. The Records Custodian or the Records/Information Manager will request the records via fax, email, mail, or hand delivery. The Records Custodian or designee or the Records Management designee must provide the accession number, agency box number, and location of the record(s) being requested to the State Records Center.

VII. DESTRUCTION OF RECORDS

- A. Records will be destroyed in accordance with the Approved Retention Schedule (Attachment A). The Records Coordinator will identify records to be destroyed and

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prepare such records for destruction by completing the Certificate of Records Destruction Form (Attachment G).

- B. Prior to the destruction of any records, the Certificate of Records Destruction Form (Attachment G) will be submitted to the Records/Information Manager. The Certificate of Records Destruction Form will not be submitted to the Records/Information Manager without the signed approval of the Records Custodian and the specific method of destruction.
- C. Confidential records must be destroyed in such a manner that they cannot be read, interpreted, or reconstructed. Confidential records may be destroyed by shredding the documents off-site by an approved government agency with approval from the Records/Information Manager. The preferred method for destroying confidential records shall be by burning them in an incinerator, onsite shredding by authorized DJJ personnel, or through a document destruction service. Confidential records will not be destroyed by any means other than those listed in this subsection.
- D. Destruction of records maintained at the State Records Center scheduled for destruction will be handled by the Records Center. Upon notification from the State Records Center of a scheduled destruction, the Records/Information Manager will notify the respective Records Custodian of the scheduled destruction. The Records Custodian will approve the destruction, by signing the State Records Center Destruction notice. When the Records Manager/Information Manager receives notification that the records have been destroyed as authorized, copies of the notification will be forwarded to the Records Custodian.
- E. The Director of Student Support Services will be the official records custodian for education records. The Director of Student Support Services will comply with the retention schedules as established in this policy.

VIII. LOCAL OPERATING PROCEDURES REQUIRED: YES

- Process to have records released to the Office of Legal Services within specified timeframes.
- Identify the Records Coordinator, Records Custodian, and their designees.