

Paper Records Retention and Destruction Guidance for the Move to Sloppy Floyd

See Policy 23-501 at <https://gadbhdd.policystat.com/policy/10428070/latest> for additional information.

1. Designate a records coordinator and alternate for your unit. Send the names of your records coordinator and alternate to Carlos Spivey, DBHDD's Records Management Officer at DBHDDServiceRequest@dbhdd.ga.gov.
2. Determine what paper records your unit has.
3. The retention schedules at the Georgia State Archives website set out the number of years that records must be maintained. Use the retention schedules to determine which records to keep.
 - a. First look at the DBHDD Retention Schedules at https://www.georgiaarchives.org/records/agency_view/169
 - b. If the record type is not in the DBHDD Retention Schedule, look at the Common Record Categories at https://www.georgiaarchives.org/records/state_government/

*** The DBHDD Retention Schedule descriptions are outdated and the unit should use its judgement to apply the schedule that best matches the record. If you need help determining which schedule applies to the record, please provide the Office of Legal Services with a description of the record and an attorney will assist you. Please send the request to legal@dbhdd.ga.gov.

4. Records to be retained may be maintained as paper or converted to electronic format. If your unit's records are to be stored at State Archives, refer to instructions available at Records Center Transfer Procedures at http://www.georgiaarchives.org/records/transfer_procedures and complete Attachment B Authorization for Records Transfer and Receipt Form in Policy 32-501. Carlos Spivey is DBHDD's Records Management Officer and can be reached at DBHDDServiceRequest@dbhdd.ga.gov for assistance with (SRC) State Records Center procedures and references for forms regarding transferring records.
5. Records that your unit will not retain, and that contain any sensitive information including personal health information, personal identifiable information or personally sensitive information, must be destroyed.
 - a. Records must be destroyed by shredding or delivering to an approved vendor for disposal. Shred Bins will be provided in the core areas of each floor as well as located in the staging areas of each DBHDD floor.

- b. The unit will complete and keep the Certificate of Records Destruction Form (Attachment A to Policy 23-501).
- c. Records containing any of the following information must be destroyed:
 - Personal Identifying information (PII)
 - o an individual's social security number, mother's birth name, credit card information, debit card information, bank account information, account number, utility account number, password used to access his or her account, financial data or information, insurance or medical information in all records, unlisted telephone number if so designated in a public record, personal email address or cellular telephone number, day and month of birth, and information regarding public utility, television, internet, or telephone accounts held by private customers
 - Employee/Applicant Personal Information
 - o public employee's home address, home telephone number, personal mobile or wireless telephone number, day and month of birth, social security number, insurance information, medical information, mother's birth name, credit card information, debit card information, bank account information, account number, utility account number, password used to access his or her account, financial data and information other than compensation by a government agency, unlisted telephone number if so designated in a public record, and the identity of the public employee's immediate family members or dependents)
 - o Disability information, health insurance plans, criminal history, physical exam, such as tests for hospital employees, deferred compensation, flexible benefit plans, employee assistance program related records, drug test results, worker's compensation records, Georgia Uniform Motor Vehicle Accident Reports, confidential evaluations submitted to, or examinations prepared by, a governmental agency and prepared in connection with the appointment or hiring of a public officer or employee
 - Protected Health Information (PHI)/ Medical Records
 - o Information that reveals that an individual has a medical condition, is provided health care or information related to payment for healthcare including but not limited to: MH, DD, SUD, Psychiatric or psychological records or notes, HIV/AIDS, sexual or reproductive health care
 - Pending Investigations: Records of law enforcement, prosecution, or regulatory agencies in any pending investigation or prosecution of criminal or

- unlawful activity, other than initial police arrest reports and initial incident reports
- Confidential Investigations: Records compiled for law enforcement or prosecution purposes to the extent that production of such records is reasonably likely to disclose the identity of a confidential source, disclose confidential investigative or prosecution material which would endanger the life or physical safety of any person or persons, or disclose the existence of a confidential surveillance or investigation
 - Exploitation/ Neglect/ Abuse and Child Abuse
 - Competitive Bid information pending the final award of a contract, termination or abandonment of the bid by the agency
 - Tax Information
 - Trade Secrets
 - Proprietary Information
 - Educational Records
 - Computer/ Software Programs
 - Insurance Rating Plans/ Systems used to provide or administer liability insurance coverage
 - Retirement Records
 - Forensic Records
 - Juvenile Court Records/ Dependency Hearings/ Hearings on Termination of Parental Rights / Disposition of a Child adjudged to have committed delinquent acts constituting AIDS transmitting crime/ Foster Parent information
 - Research Data with personally identifiable information
 - Attorney Client Privilege/ Attorney work product/ Litigation or Potential Litigation
 - Criminal History Information
 - Privileged Communications between patient and certain care providers, or among such caregivers, such as psychiatrist, licensed psychologist, licensed clinical social worker, clinical nurse specialist in psychiatric/mental health, licensed marriage and family therapist, or licensed professional counselor, etc.), communications to a clergyman
 - Classified/ Secret Processes/ Formulas/ Methods which are designated by the Agency as confidential, privileged or which are furnished to DBHDD on a confidential basis
 - Long Term Care Ombudsman and their inquiries or investigations or information relating to their activities
 - Disability Services Ombudsman and information relating to their inquiries or investigations
 - Protection and Advocacy of Persons with Mental Illness
 - Peer/Medical Review of an individual provider
 - Regulatory Services Complaint information

- Nursing Home Survey Records
- Vocational Rehabilitation
- Acquisition of Real Property: Real estate appraisals, engineering or feasibility estimates, or other records made for or by the state or a local agency relative to the acquisition of real property until such time as the property has been acquired or the proposed transaction has been terminated or abandoned.