



RECORDS MANAGEMENT BASICS

FOR
STATE OF INDIANA EMPLOYEES





As Indiana government employees, we create, receive, and work with public records every day. We're responsible for their protection and preservation, for following state and federal laws that control

- ✓ **access** to the information in the records
- ✓ **how long** that information must be **retained**



WHAT IS A PUBLIC RECORD?

Public: related to a government agency

Record: information that documents the activities of that agency

So a **public record**, as the term is used in Indiana state government, is any

- **Document**
- **Map/Art/Image**
- **Sound/Video**
- **Electronic Data**
- **Other material**

that is

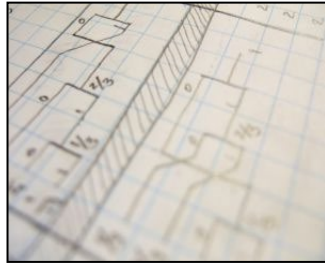
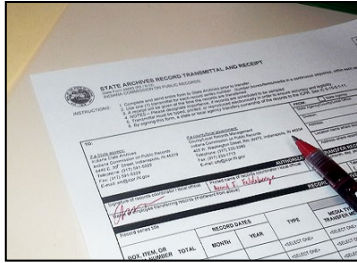
- **Created,**
- **Filed,**
- **Received**

as part of performing
state government business

in **any form**, including but
not limited to:

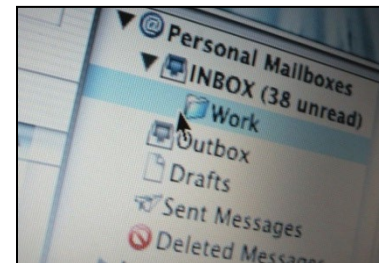
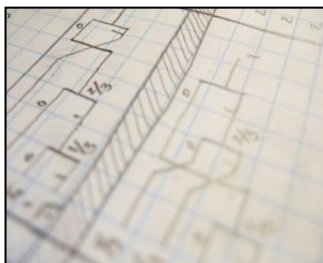
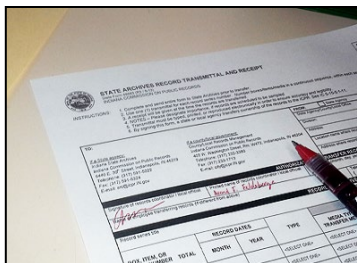
- **Paper**
- **Film**
- **Magnetic Recording**
- **Optical disc (CD/DVD)**
- **other Electronic Storage**





These are all public records.





The laws that govern access and length of retention are based on the
type of information

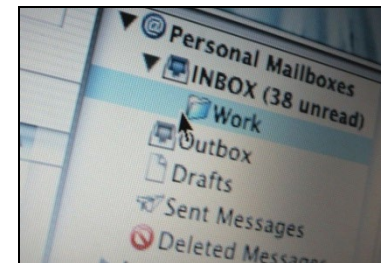
(i.e Fiscal? Personnel? Agency Policy? Educational? Medical?)

NOT the

 **media** (physical container, i.e. paper/microfilm/CD) or

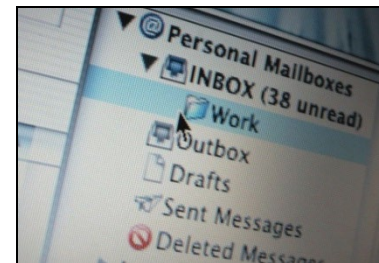
 **format** (how the information is arranged, i.e program or file type)






It's important to note, though, that the laws about how long we have to keep records don't just require the information to *exist* for that time period.

We also have to be able to **READ** the records and provide copies to citizens and other parties who are authorized to access them.



Paper and microfilm records will remain legible as long as we make sure they aren't physically damaged.

For electronic and audiovisual records, state agencies must make sure that either

 the **media will last that long** and the **format is universal** enough that it will still be readable no matter how far technology may advance

OR

 the information is periodically **transferred** to fresh media, and **converted** to each new program, language, or system adopted


WHO IS AUTHORIZED TO ACCESS PUBLIC RECORDS?

The question may sound strange - but the answer is:
it depends on the *type* of public record, because

public record and public access

are two different concepts.

 **All** government records are public **records**, because they were created with public funds.

 Public **access** is about the right of citizens and the public to know the information created and collected by their government – and the need to balance that with other people's rights to privacy, intellectual property, and public safety.

PUBLIC ACCESS LAWS

Indiana's **Access to Public Records** (IC 5-14-3) and **Open Door** (IC 5-14-1.5) laws exist to make sure that records created while serving citizens are, as much as possible, available to those citizens – BUT:

some public records have limited access

(they may be partially or fully **confidential**)

because they contain:

- 👁️ the personal or medical information of other citizens
- 👁️ business information classified as a trade secret
- 👁️ legal information that falls under attorney/client privilege
- 👁️ other information declared classified by law, usually for safety reasons



It is **illegal** for a state employee to knowingly disclose confidential information to an unauthorized person.



THE OFFICE OF THE PUBLIC ACCESS COUNSELOR

exists to help both Indiana government employees AND Indiana citizens determine which records are confidential, and who is authorized to access them.

Complete contact information, as well as a handbook on Indiana's Public Access Laws and how they affect us as state employees, can be found on the Public Access Counselor's website:



www.IN.gov/pac



HOW LONG MUST WE KEEP OUR RECORDS?

Different record types must be retained by state agencies for varying time periods, depending on the state and federal laws that affect that area of government or type of information. To find out how that applies to your records, you'll need to consult a **Records Retention Schedule**.

A **Retention Schedule** is a list of individual **Record Series**, each of which describes a different type of record that you work with and provides instructions for retaining and disposing of those records.

RECORD SERIES NUMBER	TITLE/DESCRIPTION	RETENTION INSTRUCTIONS
GRADM-1	MINUTES Official minutes of any state agency, board, commission, or of any division. THIS IS A CRITICAL RECORD. Retention based on IC 5-15-5.1-5(a)(9), and IC 5-15-5.1-12.	TRANSFER to the ARCHIVES AND RECORDS ADMINISTRATION, STATE ARCHIVES DIVISION, five (5) years after the end of the calendar year of the meeting. The ARCHIVES AND RECORDS ADMINISTRATION, STATE ARCHIVES DIVISION, should MICROFILM according to 60 IAC 2 as soon as possible after receipt. MAINTAIN original archival negative in the ARCHIVES AND RECORDS ADMINISTRATION, STATE ARCHIVES DIVISION vault PERMANENTLY. MAINTAIN a diazo duplicate roll for reference use in the ARCHIVES AND RECORDS ADMINISTRATION, STATE ARCHIVES DIVISION. If MICROFILMED, DESTROY hard-copy records at the discretion of the ARCHIVES AND RECORDS ADMINISTRATION, STATE ARCHIVES DIVISION.

RECORD SERIES

Each **Retention Schedule** applies to a different agency or division, or to a broad group of similar agencies.

Each **Record Series** applies to a category of records that all have the same **topic** and **retention requirements**.



HOW LONG MUST WE KEEP OUR RECORDS?

The Archives and Records Administration works with each agency to review their records and create **Agency-Specific** retention schedules.

If you can't identify a record using your Agency-Specific schedule, you should also check the **General Retention Schedule**, which covers broad record types that are produced by *all* state agencies.

You can find all of these retention schedules online

at

iara.IN.gov



A RETENTION SCHEDULE WILL TELL YOU

all of the different **Record Series** your agency creates or receives, and which records fall into which series.

(click the [blue text](#) below to highlight each matching area on the example to the right)

Every Record Series has:

 A unique [Record Series Number](#)

 A formal [Record Series Title](#)

 A brief [Description](#) of the type of information covered by the Record Series, including:

- [State or Federal forms](#) and other common file contents
- If relevant, the [format/media](#) in which the records are usually found
- Any [State or Federal legal citations](#) that affect public access or retention period

RECORD SERIES NUMBER	TITLE/DESCRIPTION	RETENTION INSTRUCTIONS
74-132	<p>CONTINUING EDUCATION</p> <p>Documentation of a licensee's completion of required professional credit hours for the current renewal period,</p> <p>on SF 999988 or equivalent.</p> <p>May be submitted in paper or electronic format.</p> <p>Access to these records may be affected by IC 38-15-2(a). Retention based on 58 CFR 12.5(f) and 12.8.</p>	<p>TRANSFER paper records to the RECORDS CENTER after renewal date.</p> <p>DESTROY after an additional four (4) years in the RECORDS CENTER.</p> <p>DELETE electronic records four (4) years after renewal date.</p>




A RETENTION SCHEDULE WILL ALSO TELL YOU

what your agency staff should **DO** with the records described in each series.



(click the **blue text** below to highlight each matching area on the example to the right)

Every Record Series has:

 Instructions for whether and when to **transfer** records to IARA's **Records Center** for temporary storage, or the **Imaging and Microfilm Lab** for filming or scanning.

 **Retention:** how long the information must legally be owned by the agency

 **Disposition:** what happens at the end of that time period:






-  Destruction (by the agency or by the Records Center)
-  Transfer of records *and ownership* to the **Indiana Archives** (records with permanent historical value)

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WHY IS IT IMPORTANT TO FOLLOW YOUR AGENCY RETENTION SCHEDULE?

 **Destroying records too early or not transferring scheduled records to the Indiana Archives can harm**


-  our citizens
-  our agencies
-  state and federal government
-  the judicial and criminal justice system
-  Indiana's history



 **It's also against the law:**

“A public official may not mutilate, destroy, sell, loan, or otherwise dispose of any government record, except under a retention schedule or with the written consent of the [Archives and Records] Administration.”

~ Indiana Code 5-15-5.1-1-14

 **Keeping records for too long** isn't illegal, but **it can waste both money and agency work-space**. Holding on to records beyond legal and program requirements just makes your job harder, and your office less efficient.



IS THERE ANYTHING THAT'S *NOT* A PUBLIC RECORD?

Sometimes it can seem like every piece of information around us falls under records retention requirements. However, there *are* a few items in our offices which don't count as public records, and may be destroyed as soon as they're no longer useful to us. Those fall into 3 categories:

- 1. Personal Records:** An employee's documents that are *stored* at work, but not *created* or *used* for work. Examples: your own copy of your performance appraisal, or an e-mail from your spouse. These should be stored separately from government records whenever possible.

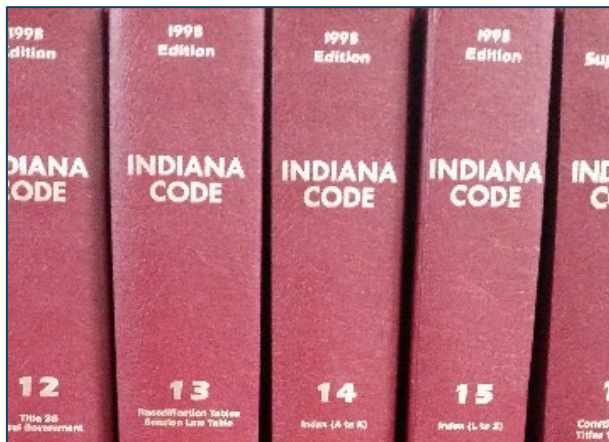
SUBJECT	RECEIVED
RE: You almost ready to go?	Thu 6/23/2
You almost ready to go?	Thu 6/23/2
RE: Have you been outside since morning? I ha...	Thu 6/23/2
RE: Have you been outside since morning? I ha...	Thu 6/23/2
Have you been outside since morning? I haven'...	Thu 6/23/2
RE: Going home	Tue 6/21/2
RE: Going home	Mon 6/20/2
RE: Going home	Mon 6/20/2



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- 2. Non-Records:** Information that you may *use* for work, but it wasn't created by your agency or received as part of its government function. Examples: books, magazines, published laws, other reference materials, unsolicited advertisements, mass e-mails from professional mailing lists, blank forms.

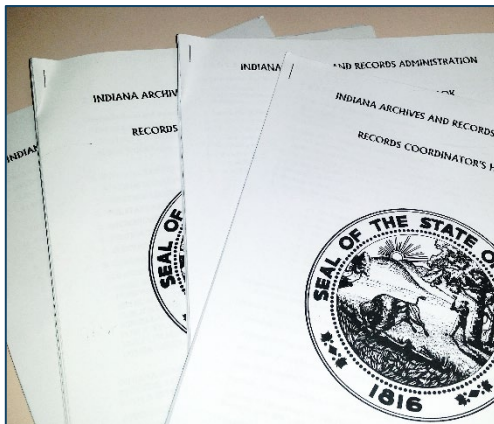


IS THERE ANYTHING THAT'S *NOT* A PUBLIC RECORD?

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- 3. Duplicates:** Information that *would* be a public record if it were the only copy, but it isn't – the official version is being retained by your agency under the appropriate records retention schedule.

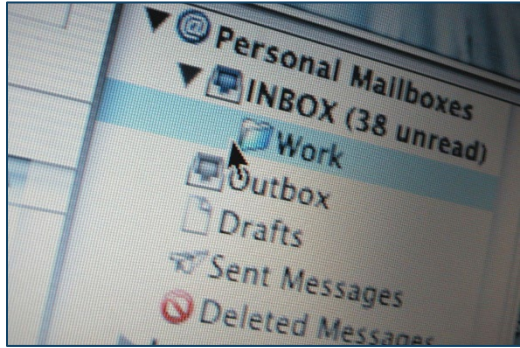
Examples: photocopies, stacks of agency publications, digitized images of existing paper documents.



Be aware that while these are considered non-record materials and there are no retention requirements for them, **confidentiality laws still apply.**






WHAT ABOUT E-MAIL?

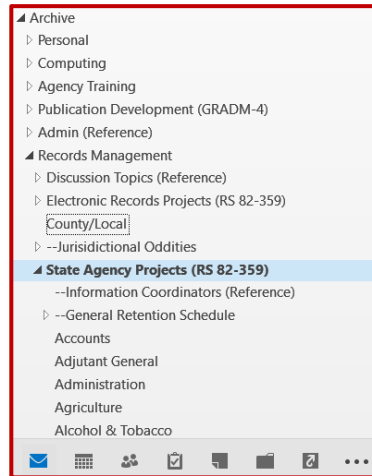


The most important thing we can tell you about e-mail is that it is **NOT** a record type.

E-mail is simply an electronic **FORMAT** in which information is sent, received, and stored – just like you might send, receive, or store all different kinds of information in ink, on paper.

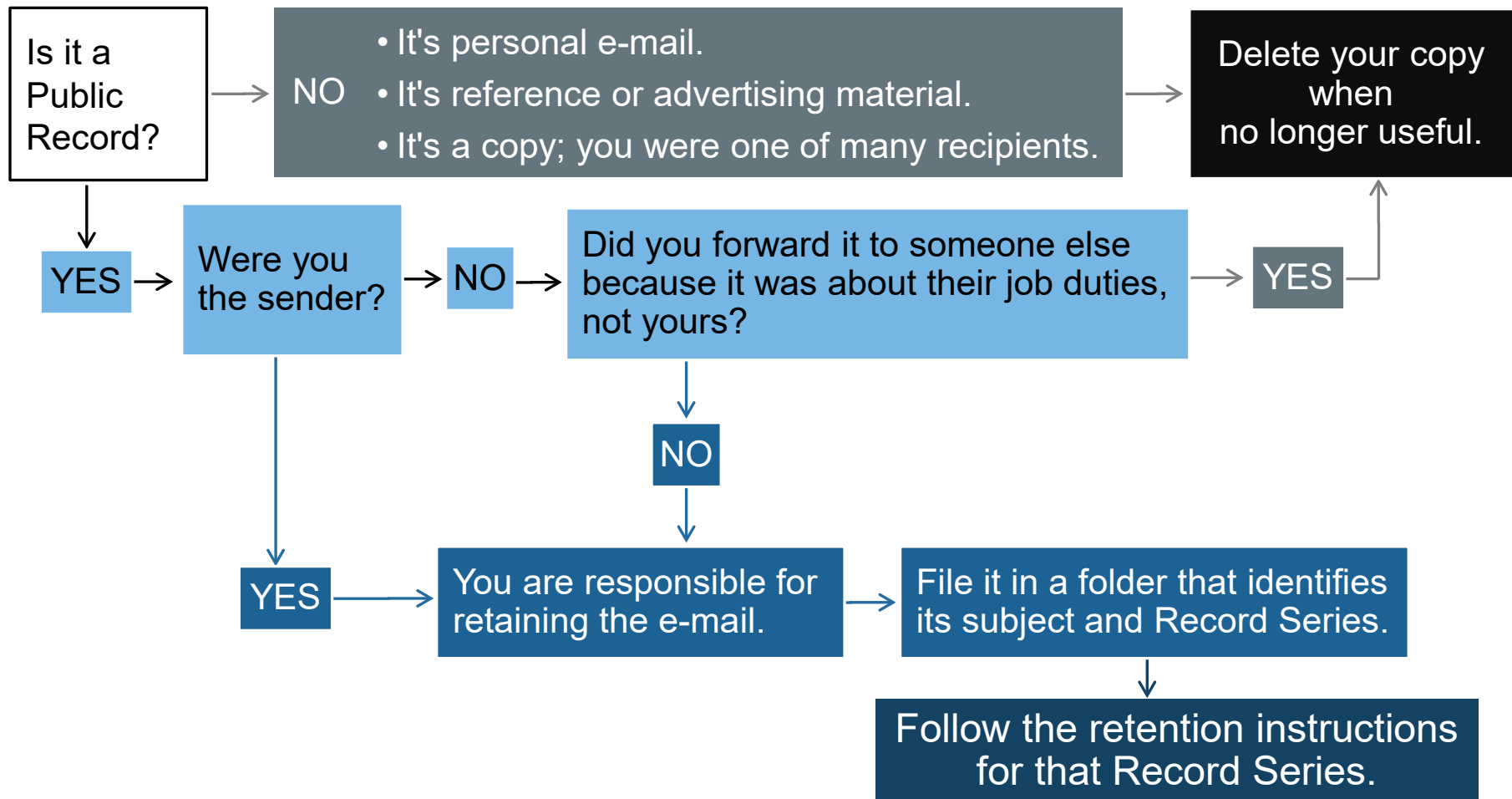
There will never be a single Record Series or policy that tells you how long to retain all electronic mail, because just like every other record, it's the information **CONTAINED** in each e-mail that determines

-  where you should file it
-  whether it's confidential
-  how long you have to keep it



WHAT ABOUT E-MAIL?

This means that you must consider and file the e-mails in your Inbox and Sent Messages just as you would a stack of paper letters on your desk:



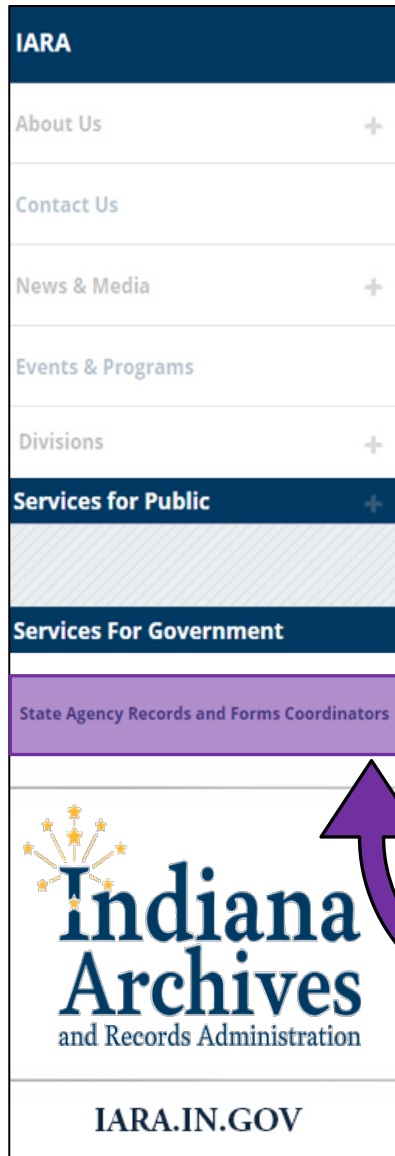
WHO CAN HELP US MANAGE ALL THIS?

Your Agency Records Coordinator

is the first person to go to with your records retention questions: an employee of your own agency, designated by your director to be your local expert on agency records!

They can help you read and understand your retention schedules, and when those schedules need updating, they team up with IARA to make that happen.

Records Coordinators also work with IARA to approve records transfer, storage, archiving and destruction procedures, and are authorized to sign your records transfer and destruction forms.



You can locate your Records Coordinator's contact information from the navigation bar on any page of IARA's website, under **Services for Government**.



WHO CAN HELP US MANAGE ALL THIS?

The **Indiana Archives and Records Administration (IARA)** and its divisions are also here to help!

The Indiana Archives:

Makes records deemed historically valuable on your retention schedule a part of their permanent collection, so they're available within the archives for current and future researchers (within legal confidentiality requirements).

The screenshot shows the IARA website navigation menu. The top bar is dark blue with the text "IARA" in white. Below it are several menu items, each with a plus sign to its right: "About Us", "Contact Us", "News & Media", and "Events & Programs". A "Divisions" section follows, listing several options with colored background bars: "Indiana Archives" (pink), "Records Management" (orange), "Forms Management" (yellow), "State Imaging and Microfilm Laboratory" (light green), and "State Records Center" (light blue). At the bottom of the menu is the "Indiana Archives and Records Administration" logo, which features a stylized sunburst icon above the text "Indiana Archives and Records Administration". Below the logo is the website address "IARA.IN.GOV".



A historical poster titled "Unlock History Indiana State Archives". The poster features a central image of a man in a suit standing in front of a window with vertical bars. Surrounding this central image are several smaller, tilted photographs and documents, each with a blue border. The text on the poster is in a mix of blue and black fonts. At the bottom, there is a small logo for "SHRAB" and some text: "Sponsored by the Indiana State Archives, National Historical Publications and Records Commission, and the Indiana State Records Administration".



WHO CAN HELP US MANAGE ALL THIS?

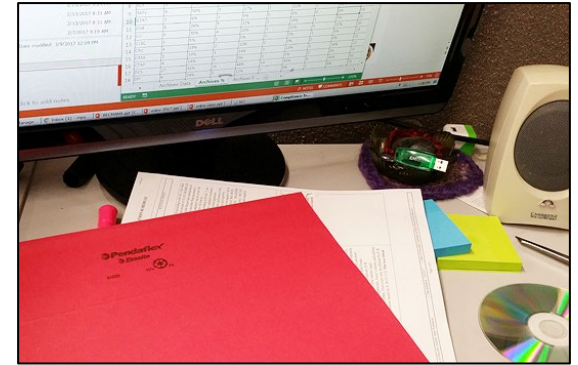
The **Indiana Archives and Records Administration (IARA)** and its divisions are also here to help!

Records Management

Works with your agency to create and update the Records Retention Schedules that describe what to do with each type of record, and answers questions about how to apply those schedules.

Electronic Records Program

helps agencies develop strategies to preserve electronic records for the required length of time, and determine the best formats and transfer methods for getting historically valuable electronic records to the Indiana Archives.



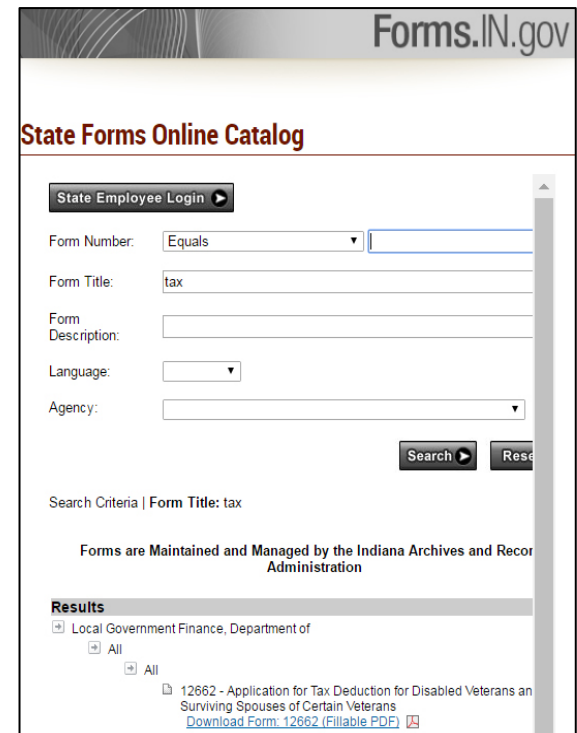
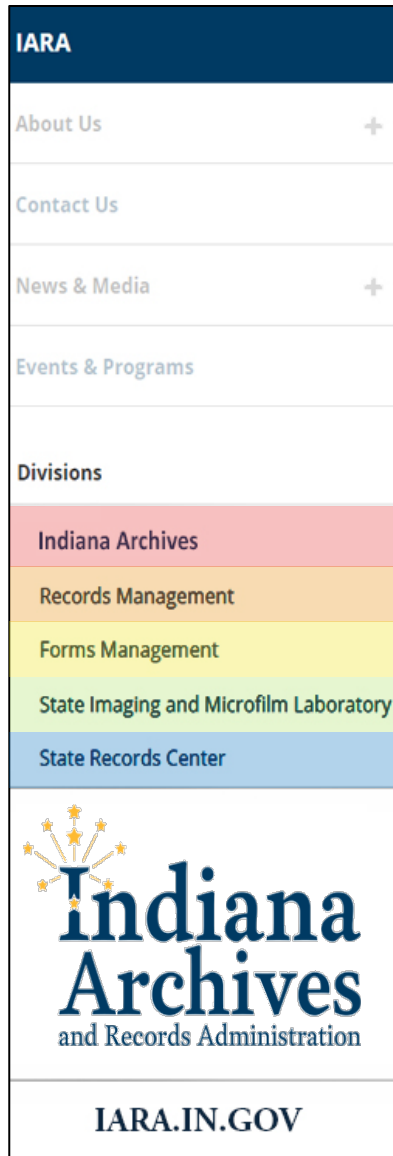
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Forms Management:

reviews and designs state agency forms, helping to standardize the type of information that will be collected. A blank form is not a record – and thus not subject to confidentiality or retention laws - but will *become* one as soon as someone fills it out!

The Forms Management division also manages Forms.IN.gov, the State Forms Online Catalog where all electronic state forms available to the public are hosted.



WHO CAN HELP US MANAGE ALL THIS?

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Imaging and Microfilm Lab:

provides cost-effective filming and imaging services, helping to preserve delicate paper documents for the Indiana Archives and vastly reducing the amount of storage space required for state agency records.

The Microfilm Laboratory can also create Computer Output Microfilm (COM), a long-term solution for the preservation of electronic records with permanent historical value.



IARA
About Us +
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News & Media +
Events & Programs
Divisions
Indiana Archives
Records Management
Forms Management
State Imaging and Microfilm Laboratory
State Records Center
 Indiana Archives and Records Administration
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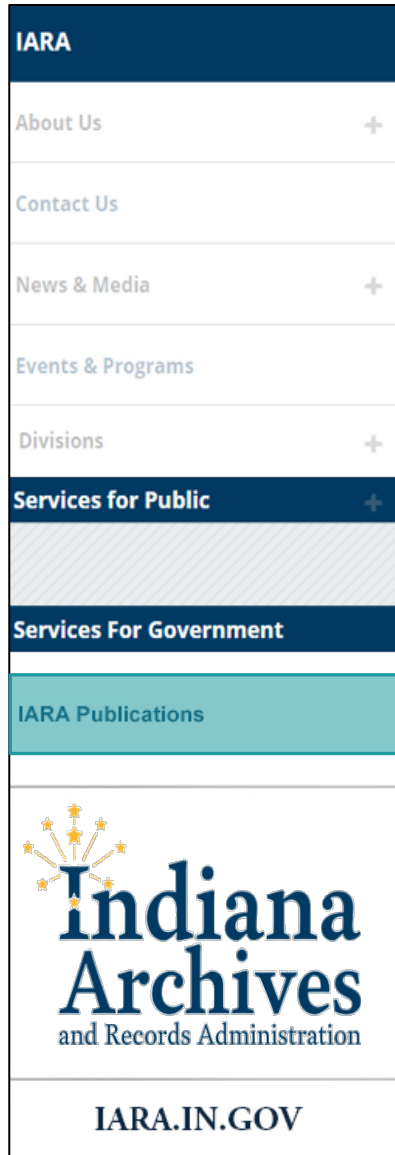
State Records Center:

Stores paper records off-site (if approved on the records retention schedule) for agencies who lack the space to keep them in the office, and returns requested documents to the agency as needed. Destroys records that have reached their required date of disposition, or transfers them to the Indiana Archives, as instructed on the retention schedule.

The Records Center also offers courtesy destruction of eligible records that are *not* already stored at the facility, as long as the agency's offices are within the Indianapolis/Marion County area.



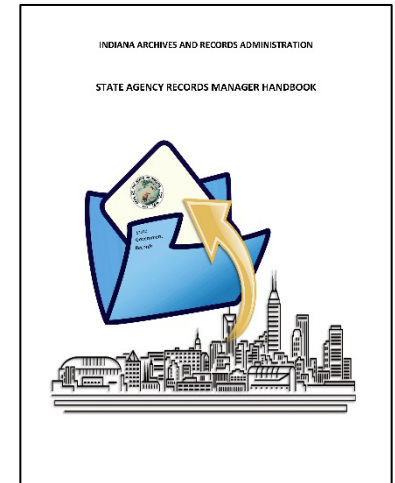
HANDBOOKS AND PUBLICATIONS



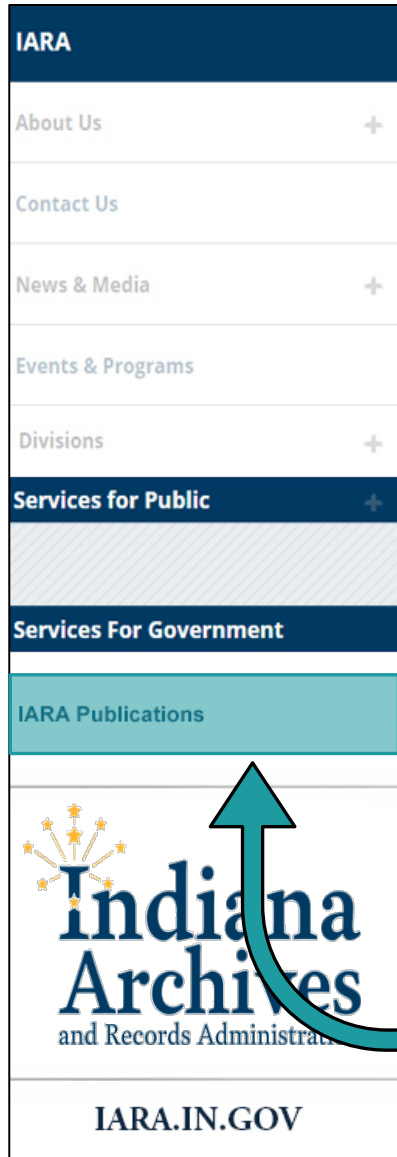
In addition to the retention schedules themselves, the IARA website offers a number of **reference publications**, including the two major handbooks that cover almost every records-related process a state employee might encounter:

The **Records Manager Handbook**

is our records policy/procedure manual for *all* employees - not just Records Coordinators. It explains which responsibilities you can handle alone, which ones you'll need IARA's help with, and how to request that help – including illustrations and instructions for the various forms required.

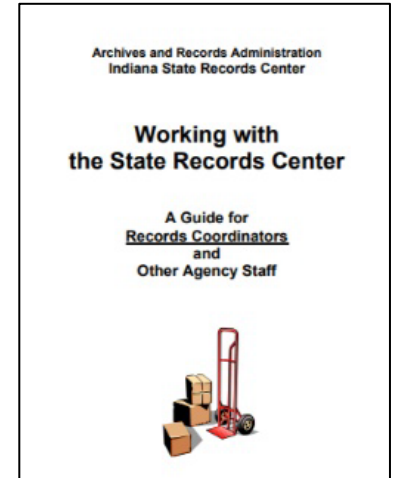


HANDBOOKS AND PUBLICATIONS



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The **Records Center Handbook** provides in-depth coverage of their records storage, retrieval, and destruction services, also including examples of the required forms and instructions for how to complete them.



You'll find the **IARA Publications** page and many more resources under **Services For Government**.



CONGRATULATIONS – YOU'RE A BETTER RECORDS MANAGER!

You don't have to memorize laws, procedures, and retention schedules to do a good job of managing your agency's records. You just need to learn

- where to go

and

- who to work with

when you have questions or need help!



TEAM PUBLIC RECORDS



State Employees



Agency Records Coordinators



Public Access Counselor



IARA



working together

to



Improve our offices



Serve our citizens



Protect Hoosier history





Thank you for taking our introductory course on
Records Management for Indiana State Employees.

For more in-depth information (including additional training options),
please visit our website at

iara.IN.gov

