2007 Records Coordinator Meeting

Date: 07/17/2007 ~ Location: Indiana State Library

AGENDA

- **Getting IN-Shape:** *Reducing the number of Record Series - by HALF*
- **Policy and Requirements for Scanning of State Records and Documents**
- **Critical Records - Surviving Disasters**
- **Changes with the State Records Center**

Getting IN-Shape: *Reducing the number of Record Series - by HALF*

- **Capturing ALL the Records**
  - Electronic Records and data require retention schedules too.
  - Whether paper, film, disk electronic, or stone, the content of the document dictates its retention, not the media it's written upon.
    - Meaning: All word files, databases, emails, etc., need to be maintained for the same length of time as you would a similar hard copy format.
- **An Explosion of Record Series**
  - On January 1, 2007 there were 10,600 individual record series in State Government, in addition to the 57 on the General Retention Schedule.
- **What You Can Do:**

  Work with ICPR to revise your retention schedule. Here's what to look for while preparing suggestions for revision:
  - Request the Removal of Record Series Already Covered by the General Retention Schedule
    - Accounting Records, Administrative records, HR Records, etc.
      - Example: Minutes on your agency schedule would fall under GRADM-1 on the General Retention Schedule.
  - Consolidate Similar Records
    - Examples: Multiple record series for different laboratory test results with the same retention period can be combined into one series. The separate retention schedules for many DOC Facilities were replaced by one retention schedule for all facilities. State Hospitals are another candidate for this sort of revision.
  - Combine Redundant Record Series
    - Request the combination of Active and Inactive forms of the same record into one series:

      For example: GRPER-4 - Active Personnel Folders and
      GRPER-5 - Inactive Personnel Folders

      will soon be combined into: GRPER-5 - Personnel Folders
      (Planned for the next revision of the General Retention Schedule)
  - Define Records Correctly
    - Reference Material and Copies are NOT records; request removal of record series that refer to them.
  - Eliminate Outdated Record Series
    - Request removal of items that your agency no longer creates.

Scanning of Records with Short Retention Periods

- **OCPR Policy 06-01**
  - Any non-court records (records owned by executive branch agencies, including legal records) whose retention schedule states the records may be destroyed after a retention of ten (10) years or less, whether listed on the General Retention Schedule for all state agencies or on an agency-specific records retention schedule, may be converted from paper to electronic format, and the paper may be destroyed after verification of the electronic records for accuracy and legibility, provided:
- **Requirements**:
  - The imaging system has been approved by the Commission on Public Records before the conversion process begins.
  - It meets the Commission on Public Records standards for quality, migration, readability, and backup availability.
    - Standards: Quality: 200-300 dpi. Readability: General eye-readability. Migration: description of how you will be able to access records for the required ten years even if system vendor is no longer providing services. Backup: Basic description of how system is backed up - format, timeframe.
  - The agency can guarantee the records will be accessible for the life of the retention period.
  - An indexing system will be in place to allow for rapid recovery of electronic records.
    - Include a brief description of the methods which can be used to search for and retrieve information.
  - During the initial 12 months of the imaging program commencing, the original paper records will be retained to guarantee recovery should the system fail and should a failure occur, they shall be retained until the end of the twelve months or until the problems is resolved, whichever is greater.
- **Why 10 Years?**
  - Because it's the longest time period for which we can reasonably expect the format/software of your electronic records to still be active and readily available, given the short lifespan of storage media and rapidly changing technology.

Critical Records: *Preserving Government after a Disaster.*

- **ICPR's Role**
  - IC 5-15-5.1-12
    - Critical Records Program

      Section 12. The commission shall establish and maintain a critical records program for the state of Indiana. It shall determine what records are essential to the continuity of state government operations and shall survey agency records to identify those records. The commission shall plan and implement a program for protection of critical records through dispersal, duplication, or secure vault storage.
  - What is a Critical Record:
    - "Any record that is vital to the continuance or reconstruction of State Government."
    - NOT records which are vital to your agency's function, but rather Government as a whole.
    - Examples: Minutes, Birth Certificates, Property Records, Criminal Convictions.
- **We need your help**
  - Identifying Critical Records at your Facility
  - Labeling Them on the Retention Schedule
    - Determine which items on your existing retention schedule or in a current revision process might be critical records, and let ICPR Records Management know. Even if your retention schedule is not being revised, we can still mark the records as critical in our database in preparation for the next revision.
  - Back them up!
    - IOT - for electronic records
    - Micrographics - for microfilming and scanning services
    - Records Center / State Archives - follow your approved retention schedule!
  - ICPR is establishing a Critical Records Task Force to develop a comprehensive and statewide program to minimize risk in the event of disasters.

The Records Center

- **New Records Center Policies:**
  - We are now accepting electronic transmittals!
    - An alternative, not mandatory.
    - You will still use State Form 23628, www.in.gov/icpr/webfile/formsdiv/23628.doc
    - Email the filled-in form to RecordsCenter@icpr.in.gov
      - The Records Coordinator must be the one to email the form.
      - You will receive a reply with a scheduled time for pick up, or a corrected version which you must reply to stating that you have corrected the information on the boxes to be picked up.
  - Timely Destruction of Records
    - A notice of destruction will be sent, but if we do not receive a justification for holding the records within 6 weeks of notice, the records will be destroyed.
    - The Importance of Timely Destruction:
      - It opens up space for new records.
      - It saves ICPR and your agency from potential requirements to release your records under subpoena or investigation even if they are past their approved destruction date.

In Conclusion: Helping To Keep Your Agency Efficient

- **A Change in Thinking:**
  - In the past, ICPR's Records Management staff has waited for agencies to contact us before initiating revisions to agency Retention Schedules. This has resulted in situations where an agency's Retention Schedule is 20 or more years out of date. ICPR wants to insure that this doesn't happen again.
  - Thus, the Commission on Public Records is embarking on a project to get ALL agency Retention Schedules up to date. Starting now, ICPR will be contacting agencies who have not made recent revisions to their schedules; we will be suggesting changes and requesting your cooperation with the process of getting those changes approved in as efficient a manner as possible.
  - We still need *your* help. There are over 400 existing retention schedules for state government, and only two records analysts. Agencies should begin to review their own retention schedules for needed changes, including record series that can be replaced by General Retention items, and come to us, as well.
  - Once agency Retention Schedules have been brought up-to-date, we will begin conducting regularly-scheduled meetings with agencies to review their schedules and make sure they *remain* up-to-date.
- Training Workshop:
  - If you have not yet attended ICPR's "Information and Records Management" workshop, it is strongly recommended. The workshop is held quarterly, and the remaining dates for 2007 are Wednesday, August 1st, and Wednesday, November 7th. In order to best cover materials and questions in a time-period convenient to attendees, each workshop is limited to a maximum of 30 participants; to attend, ask your agency Training Coordinator to register you through State Personnel's Training Division.

Please contact ICPR staff with any follow-up questions:

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