



Indiana Archives and Records Administration

County Treasurers Conference 2022

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Presentation



- IARA and Records Management
- Records Management Liaison
- Records Management Overview
- Retention Schedules & Record Series
- Permanent & Critical Records
- State Forms 44905 & 30505
- County Commission of Public Records

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What is IARA?

- **Records Management**
 - State Government
 - **County/Local Government**
- State Records Center
- Indiana State Archives
- Electronic Records Program
- Conservation Lab
- Imaging and Microfilm Services Lab
- Forms Management Division
- Oversight Committee on Public Records (OCPR)



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IARA's Records Management

- State and County/Local sections
- Records Retention Schedules
- Online Training Modules
- Publications & Policies
 - County/Local Records Custodian Handbook
 - Electronic Records Policies 20-01 and 20-02
- Records & Forms Coordinators
- Answer Your RM Questions



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Records Management Liaison



- County/Local Agencies
- Traveling to Counties – starting March 2022!
- Monthly Email Blasts – “subscribe me!” to cty@iara.in.gov
- Monthly RM Microsoft Teams Chat, last Wed of the month at 11 a.m.
- Presentations and Education
- Revising and **creating retention schedules**
- Answers Your RM Questions

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What is Records Management?



Taking care of government records and retaining them under the requirements set out by the state of Indiana and federal laws, using records retention schedules developed for you by IARA.

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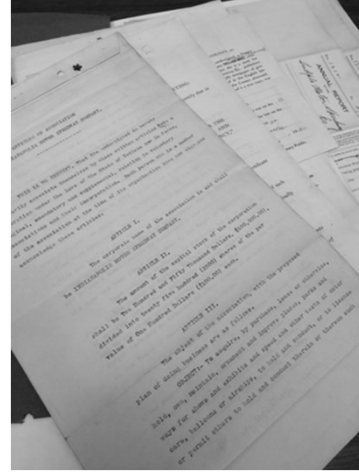
What is a Record and What's Not?

Record

Any piece of recorded information that is **created or received by your office AND documents the activities of your office.**

Non-Record

Any piece of recorded information that is created or received by your office that does **NOT** document the activities of your office.



Examples

Sending an email to a co-worker about the topic of an upcoming meeting.

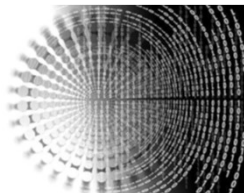
Sending an email asking a co-worker to lunch.

A brochure created by your office.

A brochure from a private organization.

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Electronic Records



- SAME record keeping requirements as paper records
- OCPR Policies 20-01 and 20-02
- IARA's **Electronic Records Guidelines** (<https://www.in.gov/iara/services-for-government/electronic-records-program/>)
- Contact erecords@iara.in.gov with questions or the Deputy Director of Records Management, Meaghan Fukunaga, mfukunaga@iara.in.gov
- Handbook, pages 22-26

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What is Records Retention?

- How is the length of retention determined?
 - Generally, Records Management staff work with county/local offices utilizing established retention schedules to identify:
 - The Administrative and Fiscal value
 - Legal value
 - Public Demand and Interest, and
 - Historical value of the information
- **Retention is based upon content – NOT storage media/format**



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Retention Schedules

IARA creates **records retention schedules** to make it as easy as possible for you, listing and describing

- the categories of records commonly created by your office
- how long to keep the records in each category
- what happens to those records both during and after that time period.

5 Retention Schedules:

- State & Agency Specific (2)
- **County/Local General & Office Specific (2)**
 - Judicial Retention Schedule (1)

(managed by Indiana Judiciary – court records, Tom Jones, tomjones@courts.in.gov)

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Office-specific: County & Local Retention Schedules

County Officers

- [County/Local General Retention Schedule \(GEN\)](#)
- [Assessing Official \(AS\)](#) (Revised 10/2020. Includes
- [County Auditor \(AU\)](#)
- [Non-Judicial County Clerk \(CL\)](#)
- [County Recorder \(RE\)](#)
- [County Treasurer \(TR\)](#)
- [County Coroner \(CO\)](#)

Other Local Retention Schedules

- [County/Local General Retention Schedule \(GEN\)](#) (Revised 7/2020. Includes Updates Guide.)
- [Public Libraries \(LIB\)](#) (Revised 10/2020. Includes Updates Guide.)
- [Educational Institutions \(EDA/EDS/EDC\)](#) (public and charter schools)
- [Public-Private Agreement Operators \(PPA\)](#)
- [Public Safety Agencies \(PSA\)](#) (law enforcement)

Cities, Towns & Special Districts

- [County/Local General Retention Schedule \(GEN\)](#)
- [Cities and Towns \(CT\)](#)
- [Special Districts \(SD\)](#)
- [Assessing Official \(AS\)](#)
- [Township Trustee \(TI\)](#)
- [Zoning, Planning, Development, and Enforcement \(LAND\)](#)

Additional Retention Information

- [Year to Year Disposition Chart](#)
- [Judicial Records Retention Schedule](#) (Not published or managed by IARA.)

How do you know if your agency has an office-specific retention schedule? ASK ME!

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Office-specific: County Treasurers

INDIANA ARCHIVES AND RECORDS ADMINISTRATION (IARA) – County/Local Records Management
County Treasurer Retention Schedule (TR)

ITEM #	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
1	TR 10-01	PROPERTY TAX DUPLICATES Records may include but are not limited to Form 9 (Tax Duplicate), Form 63 (Ditch Duplicate), Form 63M (Ditch Duplicate for Maintenance Assessments), and Delinquent Tax Duplicates (through 1876; now obsolete), or their substitutes.	PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.
2	TR 22-01	DELINQUENT PROPERTY TAX JUDGMENTS Records may include but are not limited to Form 74T (Treasurer's Record of Delinquent Personal Property Tax and Judgment Docket) or its substitutes.	PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.
3	TR 22-02	PROPERTY TAX SALE RECORDS Records may include but are not limited to Form 137 (Tax Sale Record) or its substitutes.	PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.
4	TR 10-02	PROPERTY TAX RETURN, DEMAND, NOTICE, AND PAYMENT RECORDS Records may include but are not limited to Form 18 (Real Estate Tax Statement/Receipt), Form 18CD (Conservancy District Tax Statement/Receipt), Form 18P (Personal Property Tax Statement/Receipt), Form 18TJ (Personal Property Tax Judgment/Receipt), Form 63A Drainage Maintenance Tax Statement/Receipt, Form 135 (Mobile Home Tax Statement/Receipt), Form 137B (Statement of Costs Paid on Tax Sale Property), Form 143 (County Treasurers Record of Demands for Payment of Delinquent Personal Property), Levies on and Sales of Personal Property.	DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

UPDATED!

**As of
February 2022**

**Includes
updated
cover sheet
and
an updates
overview**

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County/Local General Retention Schedule (GEN)

ITEM#	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
ADMINISTRATIVE			
1	GEN 10-01	MINUTES Official minutes of any county/local agency, board, commission, or of any division. Includes agendas and other supporting documents presented at the meeting. THIS IS A CRITICAL RECORD. Retention based on IC 5-15-5.1-5(a) (9), and IC 5-15-5.1-12.	PERMANENT and CRITICAL. MICROFILM according to 60 IAC 2 standards. TRANSFER original microfilm roll to the INDIANA ARCHIVES after verification for completeness and legibility. MAINTAIN duplicate microfilm roll permanently in office of origin. DESTROY hard copies after verification of INDIANA ARCHIVES transfer.
2	GEN 10-02	COUNTY/LOCAL AGENCY, BOARD OR COMMISSION MEETING RECORDINGS For offices, boards or commissions that record their meetings in audiovisual or electronic formats for the purpose of transcribing the minutes, and use the recordings to complete the minutes of the meetings.	DELETE recording or DESTROY storage media after relevant minutes are transcribed and approved.
3	GEN 10-03	POLICY FILES - OFFICE HOLDERS, DEPUTIES, AND DIVISION DIRECTORS These office files document substantive actions of administrative agency appointing authorities, deputy directors, and division directors. These records constitute the official record of an agency's performance of its functions and the formation of policy and program initiatives. This series may include various types of records such as correspondence, memos, and reports concerning agency policy and procedures, organization, program development and	PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.

- This Retention Schedule is divided into five (5) categories:

1. Administrative
2. Accounting and Finance
3. Personnel
4. Publications and Reports
5. Audio, Video and General Media

- GEN schedule is applicable to **ALL** offices in addition to their office specific Retention Schedule.

All retention schedules can be found on the IARA website

<https://www.in.gov/iara/divisions/records-management/countylocal-records-management/countylocal-retention-schedules/>

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What is in a retention schedule?

A retention schedule is a list of record series.

Each record series describes a broad group of records that have the same physical form, are arranged under a single filing system, are related to a particular subject, document a particular transaction, serve the same function, or are produced by the same activity – and so form an identifiable type.

A retention schedule is a collection of record series in much the same way that **a dictionary is a collection of definitions**, except that a record series both defines a type of record, *and* tells you what needs to be done with it.

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Record Series

Record Series includes a **Number #**, **Title & Description**, and **Retention & Disposition** instructions

3.1d What a Record Series Looks Like When It's All Put Together

Using the same record series from our earlier example, CL 10-17, here's how it looks when it's all laid out:

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	CL 10-17	BAIL AGENT LICENSE/POWER OF ATTORNEY Retention based on IC 27-10-3.	DESTROY three (3) years after expiration of license.

Record Series Number | Record Series Title and Description* | Retention Period and Disposition Instructions

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Retention Periods

Retention period instructions may include:

1. Format conversion instructions
2. Information on how long the records need to remain
3. What finally happens to your records after their retention period is over

Examples:

PERMANENT, TRANSFER,
DESTROY/DELETE, RETAIN,
RECORD, FILE

	RETENTION PERIOD
BY	DESTROY three (3) years after expiration of license.

Retention Period and Disposition Instructions

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PERMANENT or PERMANENT & CRITICAL records

- Any records marked **PERMANENT** must either remain in the original format or be microfilmed. You can digitize *in addition* to microfilming or keeping the paper, but you can't only keep a digital copy.
- Any records marked **PERMANENT AND CRITICAL** *must*, at some point, be microfilmed. You can digitize *in addition* to filming, but you can't not film (or stop filming) in favor of digitizing.

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NON-PERMANENT records

- Any records NOT marked PERMANENT may be kept in **ANY** format or media you choose.
- One format may be better than another for easy access; one medium may be better than another at preserving records for a long time. Those things do matter to recordkeeping – they just don't affect the rules about how long to keep records, who has the right to see them, or what happens to them when they leave your office.
- The order of importance is the other way around: **how long you are required to keep a record should be one of the first things you consider when you're choosing the best media and formats to balance your access and preservation requirements.**

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Remember...

When trying to locate the correct record series for a record...

First, always look at your *office-specific* retention schedule
(if you have one)

Second, look at the *GEN* retention schedule

Third, reach out to *IARA* for help!

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Commonly Used State Forms

What can I do with records that can be disposed of?

- **SF44905 Notice of Destruction or “NOD”**

What can I do with records that can be transferred or aren't
on a schedule to be disposed of?

- **SF30505 Request for Exemption... or “PR-1”**

- **<https://www.in.gov/iara/2783.htm>**

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SF44905: Instructions

New instructions!

This form is to be used only for documenting the destruction of records as scheduled on an approved county / local records retention schedule.

For: a) requests to dispose of records not listed on a retention schedule, or b) requests to transfer records scheduled as PERMANENT to a local historical entity instead of maintaining them in the originating office or transferring them to the Indiana Archives, use State Form 30505, Request for Exception to County / Local Retention Schedule or Permission to Dispose of Unscheduled County / Local Public Records (PR-1).

- INSTRUCTIONS:**
1. Complete ALL Contact and Record Series Information fields. Record Series Number is REQUIRED for all records listed.
 - a. If you do not know the Record Series Number, contact IARA's County / Local Records Management section for more information.
 - b. If the records do not have a Record Series Number, use State Form 30505 as described above.
 2. Destroy records in accordance with the listed Record Series Number and complete the Destruction Information fields on this form.
 3. Send one (1) copy of the completed form to the secretary of your County Commission of Public Records for inclusion in the minutes of the next meeting and retain one (1) for your records.

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SF 44905: Contact Information

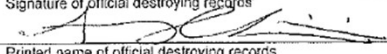
CONTACT INFORMATION			
Name of office		County	
Address (number and street)		City	ZIP code
Name of contact person	Telephone number	E-mail address	

CONTACT INFORMATION			
Name of office Randomville Office		County Random	
Address (number and street) 123 Main St		City Random	ZIP code 12345
Name of contact person Amy Random	Telephone number (123) 456-7890	E-mail address random@random.com	

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SF 44905: Destruction Information

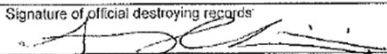
DESTRUCTION INFORMATION		
These records were destroyed according to a retention schedule approved for use by the Indiana Oversight Committee on Public Records.		
Signature of official destroying records		Date signed (month, day, year)
Printed name of official destroying records	Position	Date records destroyed (month, day, year)

DESTRUCTION INFORMATION		
These records were destroyed according to a retention schedule approved for use by the Indiana Oversight Committee on Public Records.		
Signature of official destroying records 		Date signed (month, day, year) 04/18/2022
Printed name of official destroying records Amy Christiansen	Position Clerk-Treasurer	Date records destroyed (month, day, year) 04/18/2022

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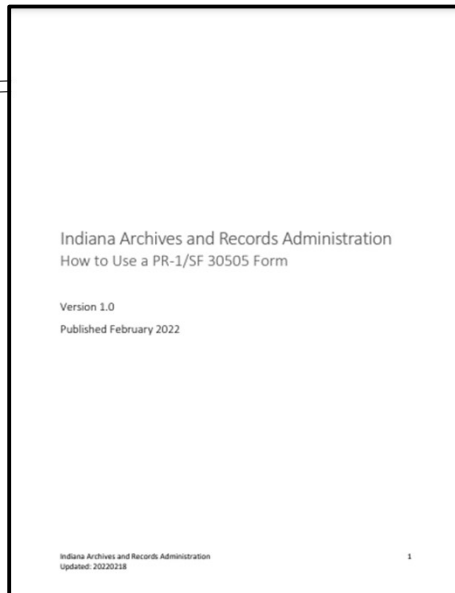
SF 44905: Destruction Information

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Printed name of official destroying records Amy Christiansen	Position Clerk-Treasurer	Date records destroyed (month, day, year) 04/18/2022

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How to Use a PR-1/SF30505 Form Guidelines



A guide to when and how to use the *Request For Exception to County/Local Retention Schedule or Permission to Dispose of Nonscheduled County/Local Public Records* form.

<https://www.in.gov/iara/files/countylocal-howto-pr1.pdf>

Published February 2022!

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County Commission of Public Records Meetings

- **Approves PR-1 forms**, receive completed NODs to include in minutes
- Meets at least once a year
- Must have quorum to hold meeting
- Open to the public
- Secretary is always either the County Clerk or Recorder
- Chairperson elected from Commission members
- Helps keep their county records managed efficiently!
- See Handbook, pages 27-30 for more info

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IC 5-15-6 – Local Public Records Commissions (Membership)

IC 5-15-6-1 (b) The county commission shall consist, ex officio, of:

- (1) the judge of the circuit court or the judge's designee;
- (2) the president of the board of county commissioners or the president's designee;
- (3) the county auditor or the auditor's designee;
- (4) the clerk of the circuit court or the clerk's designee;
- (5) the county recorder or the recorder's designee;
- (6) the superintendent of schools of the school district in which the county seat is located or the superintendent's designee; and
- (7) either: (A) the city controller of the county seat city or the city controller's designee; or (B) if there is no city controller as described in clause (A), then the clerk-treasurer of the county seat city or town.

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Thank You!

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