



County Treasurers Conference August 2021

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Presentation

- IARA Overview
- Records Management Liaison
- Records Management Overview
- Retention Schedules & Forms
- County Commission of Public Records

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What is IARA?

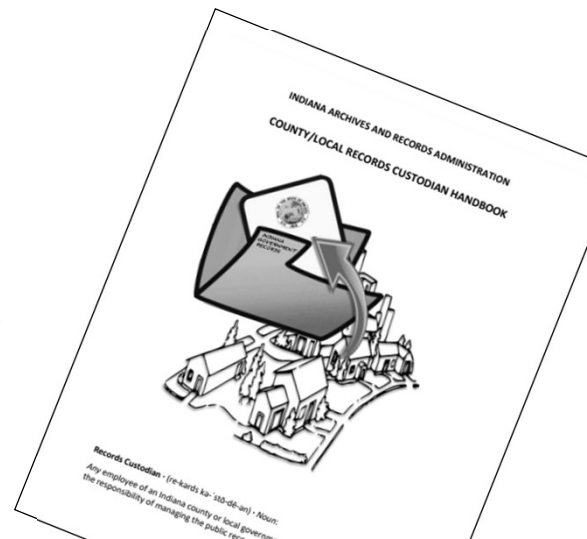
- Records Management
 - State Government
 - County/Local Government
- State Records Center
- Indiana State Archives
- Electronic Records Program
- Conservation Lab
- Imaging and Microfilm Services Lab
- Forms Management Division
- Oversight Committee on Public Records (OCPR)



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IARA's Records Management

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



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Records Management Liaison



- Hired in June 2020
- County/Local Agencies
- State Travel – County Clerks
- Weekly Email Blasts – Mondays, email “subscribe me!” to cty@iara.in.gov.
- 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?

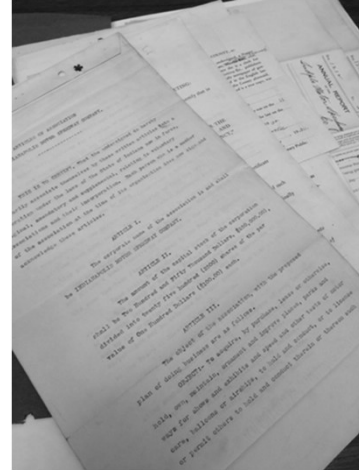
- | | |
|--|---|
| <ul style="list-style-type: none"> • Paper • Film and microforms • Website • Email • Data in a database • Born-digital records | <ul style="list-style-type: none"> • Scanned/Digitized images • Audio files • Social Media • Metadata and Indexes |
|--|---|

Record

Copy of Record

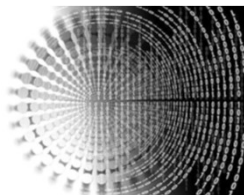
Non-Record

Duplicate



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Electronic Records



- Same record keeping requirements as paper records
- Media and format
- OCPR Policies 20-01 and 20-02
- Electronic Records Storage and File Management Best Practices
- Contact erecords@iara.in.gov with questions
- Deputy Director of Electronic Records Program, Meaghan Fukunaga, mfukunaga@iara.in.gov

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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
- Paper, Film, Electronic
 - 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.

The key to using retention schedules effectively is an understanding of their contents, format, language, and how to apply all of that to your records.

5 Retention Schedules:

- State - Agency Specific
- County/Local - Office Specific
- Judicial Retention Schedule (managed by Indiana Judiciary – court records, Tom Jones, tomjones@courts.in.gov)

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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 |
|---------|--|
| DESTROY | DESTROY three (3) years after expiration of license. |

Retention Period and Disposition Instructions

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Office Specific:

County Treasurer Retention Schedule (TR)

| RECORD SERIES | TITLE/DESCRIPTION | RETENTION PERIOD |
|---------------|---|--|
| TR 10-1 | PERMANENT TAX RECORDS Form 9 (R 1991) Tax Duplicate. Form 63 (R 1967) Ditch Duplicate. Form 63M (1972) Ditch Duplicate for Maintenance Assessments. Form 74T (1977) Treasurers Record of Delinquent Personal Property Tax and Judgment Docket. Form 137 (1988) Tax Sale Record. Delinquent Tax Duplicates (through 1876; now obsolete). | PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records. |
| TR 10-2 | NON-PERMANENT TAX RECORDS Form 18 (R 1989) Real Estate Tax Statement/Receipt. Form 18CD (R 1978) Conservancy District Tax Statement/Receipt. Form 18P (R 1988) Personal Property Tax Statement/Receipt. Form 18T (R 1986) Personal Property Tax Judgment/Receipt. Form 65A Drainage Maintenance Tax Statement/Receipt. Form 135 (R 1988) Mobile Home Tax Statement/Receipt. Form 137B (1992) Statement of Costs Paid on Tax Sale Property. Form 143 (R 1977) County Treasurers Record of Demands for Payment of Delinquent Personal Property, Levies on and Sales of Personal Property, Certification to Clerk of Circuit Court, and Record of Notice Precedent to Executions. Form 143B (R 1991) Demand Notice, Personal Property Taxes. SF 13 (R 1957) Inheritance Tax Report. SF 14 (R 1973) Inheritance Tax Receipt. SF 48835 – Indiana Inheritance Tax Return | DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. |

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County/Local General Retention Schedule (GEN)

County/Local General Retention Schedule (GEN)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION – County Records Management

| 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.

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County & Local Retention Schedules

- **Office Specific Schedules:**

- Assessing Official (AS)
- County Auditor (AU)
- Non-Judicial County Clerk (CL)
- County Coroner (CO)
- Zoning, Planning , Development, Enforcement (LAND)
- Public-Private Agreement Operators (PPA)
- Public Safety Agencies (PSA)
 - The local retention schedules are available via: <https://www.in.gov/iara/2739.htm>.

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Other Local Schedules

- **City/Town/District Retention Schedules**

- Cities And Towns (CT)
- Special Districts (SD)
- Township Trustee (TT)

- **Other Local Retention Schedules**

- Public Libraries (LIB)
- Educational Institutions (EDA/EDS/EDC) (Public & Charter Schools)

- **Additional Retention Information**

- Year-to-Year Destruction Schedule
- Judicial Records Retention Schedule (Not published or managed by IARA)

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Commonly Used State Forms

- **SF44905 Notice of Destruction or “NOD”**
- **SF30505 or “PR-1”**
- **<https://www.in.gov/iara/2783.htm>**


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Notice of Destruction – SF 44905

- **ALL SF 44905 NOTICE OF DESTRUCTIONS MUST CONTAIN RECORD SERIES INFORMATION.**
- The record series number is the # on the Retention schedule (left hand column) under which the record is listed
- Example: **Gen 10-10**, Basic Accounting Records - Revenue

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Request for Permission to Destroy or Transfer Certain Public Records – PR-1, SF 30505

| | | |
|---|---|---|
|  | REQUEST FOR EXCEPTION TO COUNTY / LOCAL RETENTION SCHEDULE OR PERMISSION TO DISPOSE OF NON-SCHEDULED COUNTY / LOCAL PUBLIC RECORDS (PR-1) <small>State Form 30505 (R6 / 6-20)</small> | INDIANA ARCHIVES AND RECORDS ADMINISTRATION COUNTY / LOCAL RECORDS MANAGEMENT 402 West Washington Street, Room W472 Indianapolis, Indiana 46204 Telephone: 317 232-3380 E-mail: clt@lara.in.gov |
| | <p>Please contact IARA at the above address if you have any questions while filling out this form.</p> <p>INSTRUCTIONS – Originating Agency:</p> <ol style="list-style-type: none"> This form is for permission to destroy or transfer the ONLY copy of public records. No permission is required to microfilm paper records or to destroy originals after microfilming. As long as one (1) copy of the information is maintained in paper or microfilm format, all other copies may be destroyed at any time. Fill out all information on the first page of this form. Contact the Indiana Archives or local historical entity to confirm interest prior to initiating a request to transfer. File one (1) copy with your County Commission of Public Records, and retain one (1) copy for your own records. Upon receipt of an approved copy from your County Commission of Public Records, follow the instructions dictated on the second page of this form and retain a copy for your records. (Your original copy of the request may be destroyed on receipt of the approved version.) <p>INSTRUCTIONS – County Commission of Public Records:</p> <p>Step 1. Upon approval of this request by the County Commission, the Secretary must preserve one (1) copy as part of the minutes of the County Commission, send one (1) copy to the county historical society or equivalent local historical entity if such exists, send one (1) copy to IARA at the above address, and retain one (1) copy for Step 2.</p> <p>Step 2. Fill out the section labeled "FINAL NOTIFICATION FOR ORIGINATING AGENCY" and send to the contact person at the originating agency, once:</p> <ol style="list-style-type: none"> The local historical entity or IARA has requested that records be transferred to them; OR Sixty (60) days have passed with no contact from the historical entity / IARA, and records may be disposed of subject to any limitations listed on page 2. | |
| TO BE COMPLETED BY THE ORIGINATING AGENCY OR OFFICE. | | |
| Name of government agency | | Date (month, day, year) |
| Address of government agency (number and street, city, state, and ZIP code) | | |
| Name of contact person | Telephone number | E-mail address |

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County Commission of Public Records Meetings

- Meets at least once a year
- Must have quorum to hold meeting
- Open to the public
- Virtual option and proxy members
- Secretary is either the County Clerk or Recorder
- Chairperson elected from Commission members
- Helps keep their county records managed efficiently!

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County/Local Records Custodian Handbook & Online Training

- **County/Local Records Custodian Handbook**
- <https://www.in.gov/iara/2359.htm>
- A guide to every aspect of managing county/local government records.
- Replaces (but contains much more than) the Guide to Preservation and Destruction of Local Public Records and Instructions for Holding a County Commission Meeting.

Online Tutorial: Records Management for Indiana County & Local Government

- <https://www.in.gov/iara/course-website-countylocalrecordsmanagement.htm>

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Thank You!

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