INDIANA ARCHIVES AND RECORDS ADMINISTRATION

STATE AGENCY RECORDS MANAGER HANDBOOK

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The State Agency Records Manager Handbook is designed to help state government agencies in Indiana properly and legally care for the public records in their custody.

Note: Questions about the *confidentiality* of records, or about public records requests under the Indiana Access to Public Records Act (APRA), should be directed to the office of the Indiana Public Access Counselor at pac@opac.in.gov or (800) 228-6013 / (317) 234-0906.

This Handbook replaces the *State Agency Records Coordinator Handbook.*

Please discard copies of that publication and use the Records Manager Handbook instead.

About the Indiana Archives and Records Administration (IARA)

Agency Name Change

The former Indiana Commission on Public Records was officially renamed to the Indiana Archives and Records Administration by Indiana Senate Enrolled Act 528, effective July 1, 2015. All references to "Commission on Public Records" or "ICPR" in existing records retention schedules or agency policies now apply to the Indiana Archives and Records Administration / IARA.

Divisions and Services

Records Management Division:

- Develops records retention schedules and maintains the history of previous versions
- Provides online, public access to all active retention schedules
- Works with state agencies and employees to apply those retention schedules to their actual records

State Records Center:

- Provides temporary storage and document circulation for inactive records
- Offers confidential pickup and destruction services for eligible agency-based records
- Maintains master file of state agency records destruction notifications

Indiana Archives:

- Permanently collects legally and historically valuable records
- Provides public access to those records that are not confidential by law
- Maintains secure storage of microfilm negatives created by the State Imaging and Microfilm Laboratory

Electronic Records Program:

- Advises agencies on the management of electronic record formats and systems
- Works with Records Management, Indiana Archives and agencies to develop policies/procedures for electronic records
- Transfers and accessions archival electronic records into the Indiana Archives collections

Conservation Laboratory:

- Restores and repairs legally and historically valuable records
- Serves as a resource for disaster preparedness and emergency planning
- Advises agencies on proper records preservation methods

State Imaging and Microfilm Laboratory:

- Performs preservation microfilming of critical records, with experience in handling delicate and or damaged records
- Converts critical microfilm and paper-based records to digital access formats as technology/work environments change
- Preserves digital records by writing files to microfilm as a secure back-up file to content management systems

Forms Management Division:

- Assigns a master number (State Form Number) to all State Forms
- Maintains a master file folder and database record for each State Form
- Designs forms for agencies and analyzes/approves the design of agency-created forms

PUBLICATIONS

The Indiana Archives and Records Administration has created a variety of publications that detail proper records and information management practices for state agencies. These publications are available in electronic format through the Archives and Records Administration's website.

Some of our titles are listed below, but new information is being added all the time, so be sure to check out the Services For Government section at www.IN.gov/iara.

Printable Documents - (*Services for Government/IARA Publications*)

- Records Manager Handbook
- Quick Tips for Records Managers
- Guidelines for Indiana State Records, Nonrecords, and Personal Papers
- Working with the State Records Center: A Guide for State Records Coordinators and Other Agency Staff
- A Guide to Proper Records Destruction
- Imaging and Public Records: Basic Questions and Answers for Government Officials
- Managing Your Records: A Guide for Appointing Authorities, Deputies, and Division Managers
- Indiana's Public Records: the Legal Framework of Records and Information Management in State Government

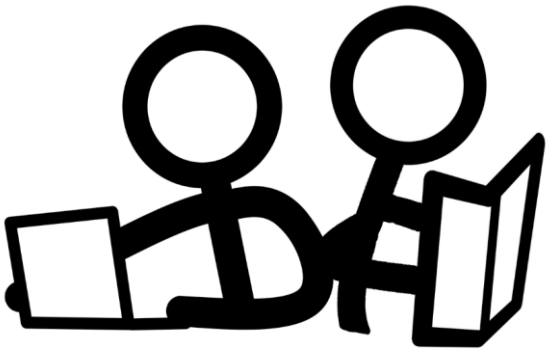
Online Training Modules - (*Services for Government/Workshops and Training*)

- **Records Management Basics**: Now part of new employee onboarding, but recommended for *all* state employees.
- **Reading and Understanding Retention Schedules**: Useful for all staff, crucial for agency Records Coordinators.
- **Creating and Updating Retention Schedules**: Need to revise your agency retention schedules? This course is for you.

IARA Forms - (*Services for Government/IARA forms*)

All State Forms required for interacting with IARA divisions are available via the IARA Forms page with the following exceptions:

- Forms that are always generated by IARA staff, then sent to your agency for review and action.
- SF 46634 - Records Center Boxes – which must be ordered directly from the Records Center, using
    - SF 53485 for new boxes.
    - SF 54744 for used boxes.



1. INTRODUCTION TO THE RECORDS COORDINATOR'S HANDBOOK

1.1 Definition and Purpose

Public records are at the heart of public *service*. The Indiana Code, in 5–14–3–1, makes this point clear when it states:

> *A fundamental philosophy of the American constitutional form of representative government is that government is the servant of the people and not their master. Accordingly, it is the public policy of the state that all persons are entitled to full and complete information regarding the affairs of government and the official acts of those who represent them as public officials and employees.*

Public records, in this context, doesn't mean that all of the records are open to the public to *view.* It refers to records created in the course of government business, which *belong* to the public.

There are three reasons every Indiana state agency needs an effective records management program: to perform its legal mandates and responsibilities, to minimize the costs of record storage, and to assure public access to the documentary evidence of government. Together, these services ensure the functioning of an efficient, democratic form of government.

1.2 The Three Partners in State Records Management

Making your agency's records management program actually *function* effectively depends on three groups working together to classify, care for, and eventually dispose of your records:

1.2a The Indiana Archives and Records Administration (IARA)

- Works with state agencies to develop retention schedules for the maintenance and disposition of agency records
- Helps state employees *apply* those records retention schedules via education programs and any-time consultation
- Advises agencies on best practices for arranging, preserving, and transferring electronic records
- Provides storage, retrieval, and destruction services for inactive paper records at the State Records Center
- Images and microfilms records for space-saving, backup, and preservation at the State Imaging and Microfilm Lab
- Preserves state government records of permanent legal and historical value in the Indiana Archives

1.2b The Oversight Committee on Public Records (OCPR)

- Represents the interests of both state government and the public during discussion/action on major records issues
- Holds a monthly, open-to-the-public, meeting
- Reviews and approves the creation or update of Indiana government records retention schedules
- Reviews and approves special disposition requests for records *not* covered by a records retention schedule

1.2c Agency Records Coordinators and Managers

Finally, there's the most important member of this partnership: ***you*** -- state agency Records Coordinators and records managers.

A **Records Coordinator** is the individual officially assigned by the head of your agency to be the central contact point between your agency and IARA, signing off on transfer and destruction of records, working with IARA to update your agency records retention schedules, sharing information and education on records management with fellow employees, and helping to answer your questions about specific records management issues within your agency. You can find a list and contact information for all official Records Coordinators on the IARA website (iara.IN.gov) under *Services For Government*.

A **records manager** is any employee of a state government agency who arranges, stores, scans, saves, transfers, deletes, destroys, or is otherwise responsible for what happens to records created and received by their agency. If it sounds like we're saying that *every* employee is a records manager, it's because that's exactly right! Everybody who works for a public agency works with public records, is responsible for what happens to them, and needs to know how to correctly and legally take care of them.

IARA can develop rules for records management and help you apply them. The Oversight Committee on Public Records can review and approve those rules.

In the end, though, it's you – both Records Coordinators and records managers – who care for the records, follow the retention requirements, ask for help or advice from IARA when you need to, and make records management happen.

This Handbook will provide you with simple, clear tools and guidelines to get that job done.

2. RECORDS AND NON-RECORDS

Let's start at the very beginning, with a question you may not have asked yourself because it seems so simple: what *is* a public record?

2.1 Public Records

A **public record** is any **piece of recorded information** that is

- created or received by your agency

and

- documents the activities of your agency

no matter what

- medium it's recorded *on*

or

- format it's recorded *in*.

2.1a Medium

The **medium** is the **type of container** used to store the information, such as

- Paper
- Microfilm
- CD
- Computer hard drive
- Audiocassette

2.1 b Format

The **format** is the **way that information on that medium is *arranged*,** such as

- Text
- Image
- Microsoft Word
- Database file
- Audio recording

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 who has the right to see records, how long to keep them, or what happens to them when they reach the end of that period. It's the other way around: those rules should be used to guide your choice of the best format and medium for your records.

2.2 Non-Records

Just as it's important to know what public records are, so you can take care of them properly and follow the laws and rules that govern them, it's also important to know what's *not* a public record, and therefore not subject to those particular laws and rules.

A Non-Record is any piece of recorded information you might have in your agency that:

- does NOT document the activities of your agency, such as:
  - reference and training materials used by your agency but not created by it
  - publications that you did not create, even if they're from another government agency
  - advertising material you receive, whether in paper or electronic (e-mail) form
  - personal papers or correspondence of someone in your agency that don't relate to their government job

or

- is a duplicate of information that *is* a public record, such as:
  - a copy of your information in the same format as the original
    - for instance, photocopies or duplicate electronic files
  - a copy of the same information in another format
    - for instance, microfilm, scanned records, or a paper printout of an electronic record
  - information *about* your agency that is published by another government agency
    - For instance, an Audit Report created by the State Board of Accounts – this *is* a public record, but it's the responsibility of the SBOA to retain it. Yours is just a copy for reference.

2.3 The Copy of Record

When you're dealing with duplicates, whether they're in the same format as the original, or a different format, you'll need to determine which version is the **Copy of Record**, with all other versions being a duplicate.

As long as the information is the same, you get to decide which version that is. The Copy of Record does not need to be the original. It doesn't even need to remain the same copy over the lifetime of the record: if you duplicate a paper record in microfilm format, you might decide that the microfilm is now the Copy of Record and destroy the paper originals.

The Copy of Record is whichever version of the information your agency currently uses to fulfill the legal retention requirements for that type of information.

As long as

- the information is an authentic duplicate
- the format and medium meet IARA standards (60 IAC 2 for microfilm, and OCPR Policy 20-02 for electronic records)

then *any* version of the information can be the Copy of Record.

2.4 Destroying Duplicates and Other Non-Records

The following items may be destroyed at any time, once they are no longer needed/useful for your agency:

- Copies of a public record that are NOT the Copy of Record
- Non-record materials

You do not need prior permission from IARA, nor do you need to notify anyone afterward.

You don't need to need to fill out any forms or follow the other destruction procedures for public records described later in the Handbook, because these things are **not considered records**.

Duplicates of confidential materials are still confidential, though, and must be destroyed in a confidential manner.

3. RECORDS RETENTION SCHEDULES

Once you know what a public record *is*, you'll need to figure out what to do with yours. IARA works with your agency to create **records retention schedules** to make that as easy as possible for you, listing and describing

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

Not all records are covered on your retention schedules: new record types are created all the time, and older types can go unnoticed until it's time to clean out that storage room or filing cabinet.

If you come across a record that your Records Coordinator agrees doesn't seem to be covered by a retention schedule, contact IARA's Records Management Division at rmd@iara.in.gov/317-232-3380, so that they can help you identify it, and if necessary, update a relevant retention schedule to include it.

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. By the end of this section, you'll have that key in your hand.

3.1 Record Series

Often abbreviated to just "RS" for brevity, record series are the categories that make up a retention schedule.

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.

Retention Schedules and Record Series

Retention Schedule

Record Series 1
Record Series 2
Record Series 3
Record Series 4

Each Record Series contains three major pieces of information:

3.1a Record Series Number

The record series number is a unique identifier assigned when the record series is first added to a retention schedule and approved by the Oversight Committee on Public Records. It's also the key piece of identification used when filling out the State Forms required for destroying or transferring records to the Indiana Archives; they can't be approved without it.

- **Agency-Specific Record Series Numbers:** The first two digits of a record series number belonging to one specific state agency show the year when the record series was approved. The next digits, after the dash, indicate its place in the sequence of record series approved by the OCPR that year. For example, "72-166" would identify the 166th series created in the year 1972.
- **General Retention Record Series Numbers:** Record series so common that all agencies produce them are collected in a single publication called the General Retention Schedule for All State Agencies. These record series have numbers that indicate that fact, then their subject area, then the order in which new record series were added to that subject area. For example, "GRADM-3" indicates General Retention, Administrative Records, 3rd series created in that category.

When consulting with Archives and Records Administration staff, Records Coordinators should always provide the record series number (if known) to prevent the mis-identification of records.

3.1b Record Series Title and Description

The Record Series Title is a concise, descriptive name for the record series. Unlike the RS Number, it is not always unique; several different agencies might have a record series called "Case Files" that contains a completely different type of information from another agency's Case Files. Record series titles should, however, be unique within their own retention schedule.

The Description is a brief synopsis of the type of information covered by the record series, usually located below the title. (If the title is very, very self-explanatory, there may be no additional description.) It usually mentions:

- government programs the records are part of
- who sends the records to the agency
- why they're created or treated in a certain way
- the different document or data types that may show up in the file.

More specifically, in the Title/Description section, you're likely to find…

1. A simple narrative explanation. The length of this may vary, but the goal is to make it as brief and easy to understand as possible. Your retention schedule may be used by

   - new staff (or just new to your agency)
   - employees in other divisions or agencies, trying to weed out the series that *don't* cover their documents
   - regular citizens who want to know how you're preserving their records.

   So when writing record series, IARA tries to avoid both wordy legal definitions and internal jargon that's only familiar to those who work closely with the records or program.

2. Listings of commonly found State or Federal forms so that people searching for those numbers or titles can find the record series that explains what to do with them.

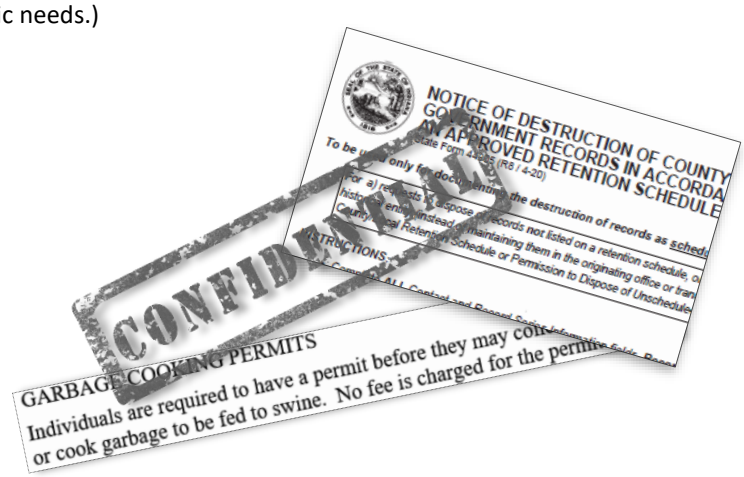
   However, just because one form is referenced specifically and another may not be, don't assume the second one isn't covered by the record series. This is true of *anything* you don't find listed: a form, report or document doesn't need to be mentioned explicitly, as long as the overall description covers the subject matter.

3. If relevant, the format or media in which the records are most commonly created or stored. Confidentiality, retention lengths, and final dispositions are the same regardless of format, but where you store records and how to make sure they last for the full retention period may differ.

4. Any state, federal, or local legal citations (or other government publications) that affect

   - public access to the records: so that both citizens and state employees will be aware that some or all parts of the record might be confidential, and be able to seek out the relevant laws to learn the details.

   - the retention instructions: so that those curious about the reasons behind the listed retention can read the laws and find out. (If there is no retention-related citation, then the retention period was assigned based on agency or programmatic needs.)



3.1c Retention Period and Disposition Instructions

This section is the nitty gritty of a record series, and what most readers of retention schedules go there to find: the details on what the agency must *do* with the covered records.

Again, the instructions are written as briefly and straightforwardly as possible (though specific legal or business phrases are required in certain situations), so that

- all records managers can understand what they need to do to fulfill their legal requirements toward the records.
- no records are accidentally disposed of improperly, or too soon.

These instructions may include…

1. **Format conversion instructions:**
   - Whether – and when – to microfilm original paper records. Microfilming records is almost always optional, and thus won't be mentioned in most retention and disposition instructions, but you will see it for records that have been designated as Critical Records. (See Section 3.1f, Record Series Terminology.)
   - What to do with both sets of records after the conversion.

1. **Information on how long the records need to remain**
   - in various locations

     and/or
   - in your agency's ownership before their final disposition.

2. **What finally happens to your records** after their retention period is over:
   - **destruction**
   - **transfer of records to the Indiana Archives**

     Records with potential historical significance will be scheduled for Indiana Archives transfer, where the Archivists may preserve them exactly as received, or may weed, sample, and evaluate the records to retain only those items with permanent value in the collections.

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

Using the same fictional record series from our earlier example, RS 72-166, here's how it looks when it's all laid out:

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	72-166	CASE FILES Case investigation files on state contractors and vendors suspected of fraudulent activity during business interactions with government-run medical facilities. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9). Retention based on IC 34-11-2-6.	TRANSFER to the RECORDS CENTER one (1) year after case closure, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional five (5) years in the RECORDS CENTER.

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

The retention schedule (when printed or displayed in document format) consists mainly of a table containing a bunch of record series laid out just like this.

3.1e Item Numbers and Record Series Order

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	72-166	CASE FILES Case investigation files on state contractors and vendors suspected of fraudulent activity during business interactions with government-run medical facilities. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9). Retention based on IC 34-11-2-6.	TRANSFER to the RECORDS CENTER one (1) year after case closure, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional five (5) years in the RECORDS CENTER.

Item Number

The item number wasn't listed earlier under the three main parts of a record series, and there's a good reason for that: item numbers are *not* part of the record series. They're just a changeable, automatically-assigned line number to help you keep track of where you are on the page when you're reading.

Each retention schedule consists of a specific collection of record series, regardless of the order in which they're listed on that schedule.

- **Retention schedules generated by IARA and sent to your agency Records Coordinator when the newest version of the schedule is approved:** group record series together by similar or related functions. IARA prefers that you use this version, but only because it will probably be the most helpful. If you need a copy of a schedule in this format, and your Records Coordinator doesn't have one or isn't available, just contact IARA's State Records Management section at rmd@iara.in.gov, and they'll be happy to send it to you.
- **Retention schedules printed from the retention schedule search in IARA's ResearchIndiana database:** auto-sort the record series in record series number order. These can be useful if you know the number and just need to look up the instructions for it, but not so great if you're trying to figure out what sort of record you've even got.
- **Retention schedules specially printed up for you by IARA staff:** may sort the record series by title, manually group them by similar retention instructions, or any other useful order that you've requested and we're able to create.

Any of these versions of the same retention schedule are fully legal to use, and every one of them would have the item number "2" assigned to a completely different record series.

So in short:

- Don't worry about the item numbers on retention schedules; they don't have any individual meaning, and you'll never need to supply that information on a records disposition or transfer form.
- Don't assume there's something wrong with your copy of a retention schedule if the record series are in a different order than you're used to. The one that you think is missing is most likely just on a different page!

3.1f Record Series Terminology

While IARA records analysts try to write as plainly as possible, some of the language used on retention schedules may still be a bit obscure. Other words are familiar enough, but may be put together in a way that doesn't immediately make sense if you're not used to records management. Here's a brief guide to help clear things up!

AUDIT

Unless another type of audit is specifically mentioned, this refers to the audits performed by the Indiana State Board of Accounts. You'll find these references in the instructions for when to transfer or destroy certain records, and they'll usually list a period of time, then add "…and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges."

Here's how to verify that you've fulfilled this requirement:

1. Visit the SBOA Audit Report Database (https://secure.in.gov/apps/sboa/audit-reports/)
2. In the "SEARCH" text box, type "Federal Single."
3. In the "UNIT TYPE" drop-down box, choose "State."
4. Leave everything else blank.
5. Click the SEARCH button.
6. In the results, click the arrow next to "End Date" to sort by that column.
7. Click the same arrow again to bring the most recent to the top.
8. Find the most recent End Date.
9. If your records date is ON OR BEFORE that End Date, you're good to go!

You don't have to prove that a specific record or file was examined by the auditors; you just have to prove that it *could* have been, by verifying that an Audit Report has been published since the time when the last information was added to the record.

CONFIDENTIAL

Depending on the age of the record series you're working with, you may find this stated in a number of different ways.

Older phrasings:

- Confidential
- Partially confidential
- Confidential at the discretion of a public agency

Modern phrasings:

- Access [to these records] may be affected by…
- Disclosure [of these records] may be affected by…

All of these will be followed by a state, federal, or local legal citation that (if you look up the cited code) will explain why the record or some parts of it are confidential, and if applicable, how long the information must remain that way. (Some records are confidential forever; some have a time-limit.)

For an employee reading the retention schedule, these all mean basically the same thing: these records, or some part of these records, contain information that not everyone is allowed to access. The details on who is allowed to access the records, which parts might be open to everyone, any time limit on the confidentiality, and the reasons for it, can be found by reading the full text of the listed legal citation in its source publication. (Indiana Code, US Code, etc. Your agency doesn't need a copy of these codes; they're all available online if you need to look one up.)

If you have questions about the confidentiality of a certain type of record, you or your Records Coordinator can contact the office of the Indiana Public Access Counselor for advice and assistance at 1-800-228-6013 or pac@opac.in.gov.

CRITICAL RECORD

On a select number of record series, you'll find the phrase "THIS IS A CRITICAL RECORD" in the description. This refers to records that are considered critical to the continuity of Indiana government in an emergency situation, as described in Indiana Code 5-15-5.1-12.

Critical records are determined by IARA (with input from county/local stakeholders) during a retention schedule's development. **For Critical Records, microfilming is mandatory** (unless other arrangements are made under IARA guidance) and will be listed on the records retention schedule as such, with copies of the microfilm distributed and retained as indicated in the relevant retention instructions.

DISPOSITION

What happens to the records, including any changes of format. Disposition isn't synonymous with "destruction." Rather, destruction (or deletion of electronic records) is one type of disposition, covered in Section 7 of this Handbook. The most common other type of disposition is transferring a permanent record to the Indiana Archives, which we'll cover in Section 5.

EVALUATION, SAMPLING or WEEDING

Most record series scheduled for transfer to the Indiana Archives will contain language like "for EVALUATION, SAMPLING and WEEDING pursuant to archival principles."

This just means that the archivists are authorized to review the contents of the records transferred to them, and keep for the permanent collections only those parts that they determine to have lasting value. Those "archival principles" consist of their own experience and education, best practices in the archival profession, and any processing guides that have already been created for that record type by Indiana Archives staff.

IMAGE

This is another word for SCAN, and it's the preferred term used in newer retention schedules. It means to copy original paper (and sometimes microfilm) records to an electronic format, a process that might occur within your own agency, or can be performed by the State Imaging and Microfilm Lab. (See Section 6.) You'll see it most often in the phrase, "IMAGE records according to IARA standards." Those standards are currently found in OCPR Policy 20-02. (Appendix K.)

Related phrase:

- **After verification of electronic records for completeness and legibility."** This is the quality control that your agency must perform once you create or receive your electronic records and before you can destroy any paper originals.

MICROFILM

Copy original paper (and sometimes data) records to microfilm format. Some record series instructions may refer to micro*fiche*; this is still microfilm. Fiche is just a specific way of printing and cutting the film.

Related phrases:

- **"According to 60 IAC 2."** This is the Indiana Administrative Code that lists the minimum standards for government entity microfilm.

- **"After verification of microfilm for completeness and legibility."** This is the quality control that your agency must perform once you receive your completed microfilm rolls, before you can destroy any paper originals. You confirm that the film has been verified by signing a State Form 42775, Certificate of Compliance/Verification (Appendix C) sent to you by the State Imaging and Microfilm Lab.

OUTDATED OR REPLACED

Some records are only useful while they are the active copy of the information, and have no agency or historical value once a new version has been created or received. For records like these, you will likely see retention instructions of "DESTROY when outdated or replaced." This means that once you have the new copy, or the information on your current copy is no longer accurate, it's fine to destroy that one.

TRANSFER

Most often used to mean: You should move the records from their current location – usually within your agency – to the the Indiana Archives, or to some other listed repository.

In some rare cases: You may find a phrase like "If XYZ happens, TRANSFER to Record Series PDQ." In that situation, TRANSFER means that because certain criteria (XYZ) have been met, these records should now be considered to fall under a different record series (PDQ), and you should follow the retention instructions for that other series.

Terms Used in the Record Series/Retention Schedule Search

While you won't find them in a printed retention schedule, these may come up if you're using IARA's online search:

Discontinued series: This is a record series that is deactivated and no longer authorized for use. Either the record type is no longer created, or the records are now covered under a different record series. Discontinued series will not appear on printed retention schedules, but are available in the online search, so that you can research them for historical purposes.

Status note: If present, this note will let you know when a record series was discontinued, why, and which other record series (if any) to use in place of it.

3.1g Differences in Format

The Retention and Disposition instructions in a record series are phrased for the format in which a record is most *commonly* found. They may refer to transferring records to the Records Center because most records of that type are paper records, or deleting records in the agency because most records of that type are electronic records, or imaging paper records and then destroying the originals because that's a known workflow of the agency.

However, records can be created or received in many formats; they may also be converted from one format to another. If the retention instructions in the applicable record series don't address the format of the specific records you're working with, here's how to handle that:

1. If the retention schedule says IMAGE, but you are no longer imaging that record series and have paper records that you would like stored at the Records Center, contact the Records Management Division about revising your retention schedule. Records Center storage *must* be specifically approved on the retention schedule.

2. If the retention schedule says TRANSFER to RECORDS CENTER, but you have electronic records, just maintain them in your agency until their final disposition date instead.

3. If the retention schedule says the final disposition is DESTROY, but you have electronic records, DELETE them instead. (For details on proper deletion of electronic records, see Section 8.1g of this handbook.)

4. If the retention schedule says the final disposition is TRANSFER to the INDIANA ARCHIVES, this applies no matter what format you have. (For help with transferring electronic records to the Archives, see Section 8.4 of this handbook.)

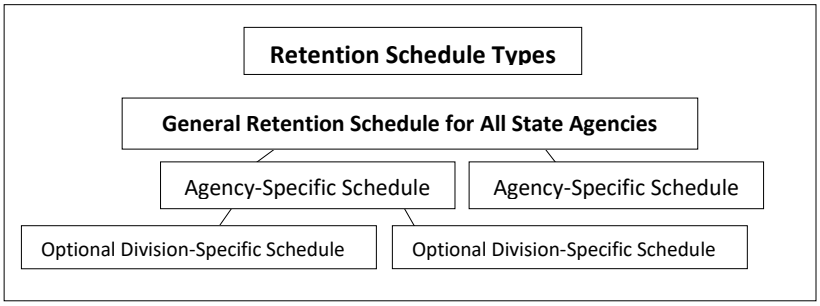
5. If the retention schedule says that the records are CRITICAL RECORDS, then they *must* be MICROFILMED no matter what their original format is, unless alternate arrangements are specified on the approved retention schedule.

6. If the records are *not* designated as CRITICAL RECORDS on the retention schedule, and the retention schedule says MICROFILM and TRANSFER to the INDIANA ARCHIVES,

    a. but you have electronic records, just transfer those instead, on the same time-schedule.

    b. but your agency would prefer to IMAGE instead of MICROFILM, see Section 8.3 of this handbook.

3.1h General and Agency-Specific Schedules



Agency-specific state retention schedules list all of the record series that belong to a specific unit of state government: a specific agency, or a specific division of an agency.

The State General Retention Schedule contains broad and common record series that can apply to *all* state agencies.

For records that could fall under an agency-specific record series AND a series on the General Retention Schedule: use the longer of the two retention periods.

3.1i Where to Find Current Retention Schedules

To get the latest approved version of any state government retention schedule (including the State General Retention Schedule for all agencies), see the iara.IN.gov website under *Services For Government/State Retention Schedules*, or contact the State Government Records Management section directly at 317-232-3380.

3.2 Creating and Updating Record Series and Retention Schedules

3.2a What if My Record is NOT on a Retention Schedule?

Ideally, every record we work with would already be covered by an existing record series, but real life doesn't work that way. Employees are always both creating new record types, and finding older records that were never added to a schedule.

If a record is not covered under an existing retention schedule and your agency still creates/receives it:

Create a new record series! Work with your agency Records Coordinator and IARA to follow the retention schedule update process outlined in the rest of Section 3.2.

If a record is not covered under an existing retention schedule, and your agency NO LONGER creates / receives that type of record:

Then we don't want to add it to a retention schedule. "Schedule" and "series" both refer to things that are going to happen again, and these records won't.

Instead, follow the process outlined in the rest of Section 3.2, but ask your IARA Records Analyst to create a "PR-2: Request for Records Disposition" for your obsolete records, instead of updating your retention schedule with a new record series.

The PR-2 goes through the same drafting and approval process as a retention schedule would, and looks almost exactly the same. It just won't receive a Record Series Number, and once approved, it will only cover the exact collection of obsolete records described in it.

3.2b Making a Records Inventory

The first step an agency should take when creating or updating a records retention schedule is to inventory its records. A complete and reliable records inventory and analysis is essential to developing an accurate retention schedule. This is not, however, an item-by-item or folder-by-folder listing of a file cabinet. Instead, it's an inventory of the *types* of records you create or receive. Compare this inventory to your existing retention schedules (including the General Retention Schedule for All State Agencies), and note which records are already described on the schedule, which are not, which may need updates to description or retention instructions, and which are listed on the schedule, but no longer created by the agency.

3.2c The Revision and Drafting Process

In cooperation with the agency, the State Records Management section of the Archives and Records Administration will analyze the results of your records inventory and work with the Records Coordinator to create a new draft. The draft format shows the existing retention schedule with additional markup which proposes that new series be added, existing series be amended, and series whose records are no longer created/received be discontinued. When all parties are satisfied with a schedule as drafted, it is submitted for the approval of the Oversight Committee on Public Records (OCPR).

3.2d The Oversight Committee on Public Records

The Oversight Committee meets monthly; meetings are open to the public and, of course, to representatives of any state agency.

The members consist of the Governor or a designee, the Secretary of State or a designee, the Examiner of the State Board of Accounts or a designee, the Director of the State Library, the Director of the Archives and Records Administration (serves as Secretary for Committee), the Commissioner of the Department of Administration or a designee, the Director of the Office of Technology or designee, the Public Access Counselor or a designee, a county clerk or recorder who serves on a county commission of public records, a member of the press or journalistic professional agency, and a member of the public, generally in a records-related profession.

Once the OCPR approves a retention schedule, the Secretary signs it. One copy is then sent to the Records Coordinator, who is expected to make copies as needed and distribute to the agency director and affected divisions. After the approved schedule is received by the agency, it goes into effect and should be followed.

3.2e Steps of the Retention Schedule Update and Approval Process

1. Agency Records Coordinator and IARA Records Analyst discuss changes to a current retention schedule.

- **a.** Agency initiates because of need for specific updates

OR

- **b.** IARA initiates when four years have passed since the last review/revision.

2. IARA Records Analyst sends MS Word draft to Records Coordinator.

- **a.** Contains revisions proposed by IARA or by agency, arranged into a specific draft format

OR

- **b.** IARA has no revisions to propose; existing schedule sent for agency review and potential changes.

3. Agency/division staff (records managers come in here) reviews draft or existing schedule.

- **a.** Agency suggests changes

OR

- **b.** Agency agrees that existing schedule currently needs no updates

OR

- **c.** Agency approves proposed changes as-is.

4. Records Coordinator notifies Analyst that

- **a.** Further changes are needed: back to Step 2

OR

- **b.** No updates are needed at this time: Analyst marks schedule as up-to-date, project closed until next cycle

OR

- **c.** Proposed changes are approved as-is and this is the final draft: on to Step 5.

5. IARA Analyst submits final draft to IARA administration team for review.

6. Administration team returns notes or approval to Analyst.

- **a.** Changes are requested by IARA administration; draft goes back to the Records Coordinator and Step 2

OR

- **b.** Administration team approves draft as-is: on to Step 7.

7. IARA e-mails PDF final draft packet to Coordinator for agency-head to sign that includes SF 39443/SF 41139 (Appendix A).

- ☆ Barring emergency corrections, no changes should be requested at this point.

8. Records Coordinator e-mails the digitally-signed pdf back to IARA analyst.

9. IARA Analyst routes to State Board of Accounts for their expert review and signature.

10. Fully signed packet is placed on the agenda for the next available monthly OCPR meeting.

11. Records Coordinator is notified of meeting date/time/location and whether an agency staff member needs to attend.

12. OCPR members discuss and vote at meeting.

- **a.** Changes requested by Committee, no agency staff present: schedule tabled until next meeting. On to Step 13a.

OR

- **b.** Changes requested by Committee, approved by agency staff at meeting: schedule approved with amendments

OR

- **c.** Committee approves schedule as presented.

13. IARA analyst sends Records Coordinator:

- **a.** New draft with changes requested by Committee. Only informal approval (e-mail reply from Coordinator) is necessary, then revised draft is submitted for Committee approval as Old Business at the next meeting. On to Step 13b.

OR

- **b.** **Finalized schedule, signed by IARA's Executive Director. This is the new official schedule.**

MICROFILM
TRANSFERd
affected
retention
archival
sampling
confidential
DESTROY
series
record
description
disposition
SBOA
receipt
standards
verification
disposition
may include
access
include
state form
based on
records
report
audit
retention
sampling
access
files
standards
months
principles
include
forms
item number
DELETE
IMAGE
weeding
verification
evaluation
records center
records
microfiche
may include
60 IAC 2
state form
SBOA
legibility
completeness
item number
not limited to
Indiana Code
disclosure
report
audit
evaluation
access
include
report
audit
retention
disclosure
years
IC
SCAN
DELETE
IMAGE
verification
evaluation
records center
records
may include
disposition
state form
disposition
DELETE
IMAGE
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access
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disclosure
disclosure
disclosure

4. THE STATE RECORDS CENTER

4.1 Purpose

In order to minimize storage costs and to free office space for use by agency staff, the State Records Center provides state agencies with off-site storage for their inactive paper records, when a fully approved retention schedule authorizes the transfer. After the transfer, title and ultimate responsibility for the records remains with the agency that created them.

4.2 Transferring Agency Records to the Records Center

4.2a Use of IARA Records Boxes

Agencies must pack records in cubic-foot-size white IARA Records Boxes (SF 46634, Appendix B). These boxes are designed to accommodate both letter-sized and legal-sized documents. Both new and used Records Center boxes must be ordered directly from the State Records Center using State Form 53485 (for new boxes) or 54744 (for used boxes).

4.2b Arranging Records in Records Center Boxes

All records in a box must be from the same record series.

Letter sized files (8.5" x 11") must be placed in the Records Center box with files facing the labeled end of the box. Legal sized files (8.5" x 14") must be placed in the box facing the right of the labeled end of the box. Do not use hanging file folders in Records Center boxes; they can damage both boxes and records.

When packing documents, space must be left to ensure room to refile or add documents. Records must be arranged neatly and not over-packed, so that the lid fits securely on the box.

If present, CDs, DVDs, and other non-paper storage media should be boxed separately if at possible. If paper and other formats must remain together for filing purposes, then it should be noted on the Records Transmittal and Receipt form that the records are mixed-format.

4.2c Marking the Files

The Records Coordinator should standardize the filing system(s) for the records being sent to the Records Center; if the Records Center staff is not able to identify a file, they will not be able to retrieve records.

4.2d Labeling the Boxes

Use a broad-tipped, black, permanent-ink marker or print labels in large, bold, black type, so information will be enduringly legible. For a new box, use the preprinted label on the end of the box, and label one end only. If using a recycled box, cross off the information on the used end, and use the pre-printed label on the other end. If *both* ends have already been used, cross off one end and use SF 25186 (Appendix B) on the other. **SF 25186 must be printed on self-adhesive label stock, Avery 5126 or equivalent; boxes with taped-on or glued-on labels will not be accepted.** Pre-printed labels may also be purchased from PEN Products.

- Record Series Number and Record Series Title must be entered in the spaces provided.
- Calculate Disposition Date from retention schedule and record dates, and enter it in the space provided.
    - To calculate Disposition Date, start with the date of most recent records, then add the period specified in the retention schedule, plus one month. For example, General Files (GRADM–4 on the General Retention Schedule) can be destroyed after three (3) years. Therefore, if the latest records are dated November 2018, then the records may be destroyed in December 2021.
- Arrange all boxes with the same record series in chronological order by Disposition Date, *then* assign box numbers.
    - Within each record series, maintain permanent sequential numbering of boxes transferred to the Records Center. In other words, if your last transfer of boxes from this record series ended with Box 15, start the next transfer with Box 16. Don't start over, and don't skip any box numbers. Records Center staff can inform you of the last box number used within a series, if you are unsure.
- Location field should be left blank for use by the Records Center staff.

4.2e Records Transmittal and Receipt Form

Agencies must then submit a separate Records Transmittal and Receipt form (SF 23628, Appendix C) for each record series being transferred to the Records Center. (A large number of boxes may require multiple sheets to list, but this is still considered one form.) A *new* form must be used each time you begin listing boxes from a different record series.

List boxes in order by box/carton number, which should *also* be chronological order by Disposition Date. The "notes" section is optional, but may be used to provide a brief description of the contents of each box. Leave the accession number and location columns blank; these will be assigned by the Records Center staff. All other sections must be completed and the form signed by the Records Coordinator before the Records Center will accept the records.

4.2f Record Transfer and Pickup

Send the completed Transmittal form to the Records Center. The staff will arrange to pick up the records for agencies in the Indianapolis area once the transmittal has been verified. After the records have been shelved in the Records Center, an inventory list is sent to the Records Coordinator noting the shelf location information for each box. It is imperative that this location listing be saved, since it contains information necessary to retrieve records from the Records Center.

4.3 Retrieving Materials From the Records Center

An agency may request its own records back from the Records Center by completing a Request for Records form (SF 24019, Appendix D). These will only be accepted from the agency of ownership, regardless of the confidentiality status of the records requested; the Records Center will not accept reference requests directly from members of the public.

4.3a Request for Records

To complete a Request for Records form, copy the record series name, record series number, Records Center box number, and the location of the desired record from the inventory list sent by the Records Center after transfer. Be sure to fill out the box on the form specifying which file is requested; if the entire box of records is required, write "Entire Box" in this space.

Requests may be e-mailed to the Records Center or sent by interdepartmental or postal mail. If sending a physical form, be sure to retain a copy for yourself so that you can track which records have been requested/received.

4.3b Emergency Requests for Records

When an agency has an urgent need for a record, its staff may hand-carry reference requests to the Records Center. In such a situation, the requestor must present proper state identification to the Records Center staff. The staff will fill the request as quickly as possible. Please call ahead if at all possible, to allow Records Center staff to best be prepared to help you.

4.3c Returning Materials to the Records Center

When returning records to the Records Center for re-filing, a copy of the original Request for Records (or a note listing the same information) must be attached to the file(s). Without it, the Records Center staff cannot return the file to its original box. If you've lost the identifying information, your only options are to file the record in another box of the same record series, or retain the file in your agency until the approved disposition date.

4.4 Disposing of Records at the Records Center

The Records Center destroys records stored there or transfers them to the Indiana Archives when they become eligible according to the appropriate records retention schedule. All records destroyed by the Records Center are recycled; confidential records are destroyed in a manner that prevents their reconstruction.

4.4a Records Disposition Notification from the Records Center

When the disposition date for records arrives, a Records Disposition Notification form (SF 16, Appendix H) is sent to the agency's Records Coordinator, who should sign it, then return a copy to the Records Center. Upon receipt of that form, or after six (6) weeks if the form isn't returned, the records will be processed according to the approved retention schedule.

4.4b Do Not Destroy Records form (SF 47167, Appendix H)

If the records should *not* be destroyed or transferred yet, the Records Coordinator should fill out SF 47167, stating the reasons why and suggesting a possible future disposition date. They should send that form to the Records Center along with the <u>unsigned</u> Records Disposition Notice. The SF 16 will be re-dated and re-sent to the Records Coordinator for approval when the new date arrives.

4.4c After Disposition

Once the records have been destroyed or transferred to the Indiana Archives, a copy of the SF16 will be returned to the Records Coordinator, with the date of actual destruction/transfer noted. This copy should be retained according to the General Retention Schedule for All State Agencies, Record Series GRREC-2.

5. THE INDIANA ARCHIVES

5.1 Purpose

The Indiana Archives is the final repository for all state government records of permanent legal or historical significance. When an agency transfers its records to the Indiana Archives, the title to these records is transferred to the Indiana Archives as well.

The Archives holds records of the legislative, executive, and judicial branches of Indiana government from the Territorial Era (1790s) to the present. Most records held by the Archives are open to review and are available for examination. Records deemed confidential by law are restricted, as are records in great need of conservation that are too fragile to be examined.

5.2 Transferring Records to the Indiana Archives

5.2a Contact the Archivists

Before sending records, Records Coordinators should contact the Indiana Archives to describe the materials involved, and determine what steps to take for the transfer:

> **For physical records**, contact arc@iara.in.gov or call 317-591-5222 to speak with an archivist.
> **For electronic records**, contact IARA's Electronic Records Program at erecords@iara.in.gov.

The transfer paperwork must be submitted to and approved by the Indiana Archives before any records may be transferred.

5.2b Packing Guidelines

The following are guidelines for packing boxes that should be followed *in addition to* contacting the Archives staff, not instead of.

- Physical records should be packed in Records Center boxes with lids (SF 46634, Appendix B), unless the record format is too large. Both new and used Records Center boxes can be ordered directly from the State Records Center using State Form 53485 or 54744.
- Reels of microfilm should be placed in individual, carefully-labeled acid-free boxes, then *those* boxes should be packed in Records Center boxes, with the labels on the reel boxes facing up and in the same direction. A Microfilm Transmittal and Receipt - State Agency (SF 52408) should be filled out and submitted to the Indiana Archives.
- Each box must be properly labeled with the following information: agency name, division name, record series title, record series number, box number and total number of boxes.
    - For example, if the Indiana Department of Environmental Management transferred thirteen boxes, the proper label for Box Ten would read: **IDEM | Air Pollution | General Files | RS 83–409 | Box 10 of 13.**
- Beyond just labeling the boxes, agencies should make an inventory of the records involved in order to prevent any confusion over what has been transferred. Each inventory should include a list of the folders or of the microfilm rolls enclosed in a particular box. As well, please include the name and telephone number of the person making the transfer.
- Records with different record series numbers should be boxed separately.
- Records that could potentially be damaged in transit, such as fragile documents or physical media such as CDs, cassettes, and USB drives should be packaged in such a way as to prevent breakage. Hard drives should be sent with cables included.

5.2c State Archives Records Transmittal and Receipt Form, State Form 48883 (Appendix E)

After physical records are properly boxed and labeled, or electronic records are arranged as instructed by Electronic Records Program staff, the Agency Records Coordinator should fill out State Form 48883. A separate form should be filled out for each record series number being transferred, regardless of whether the records are sent to the Archives physically or digitally.

5.2d After Transfer

The Indiana Archives staff will process the records according to the retention schedule. Some records may be thinned or sampled according to archival criteria, while others will be kept in their entirety. Archives staff will provide a copy of the accession report upon request. The Indiana Archives full catalog can also be searched at researchindiana.iara.in.gov.

5.2e Transfers to the Archives from Records Center storage

Records Center staff will handle the transfer process. A State Form 16, Records Disposition Notification (Appendix H), is sent to the Records Coordinator. The Coordinator is given six weeks to respond to the SF 16, and can request that the records be maintained longer in the Records Center if necessary. After approval, or if six weeks go by with no response, the records are transferred to the Archives where they are processed according to the retention schedule.

5.3 Access to Records at the Archives

The Indiana Archives retrieves records regularly for reference by the public and by state government personnel. With rare exceptions for certain ceremonial displays, the Archives does not loan items for use outside of its reading room. In most situations, however, staff can make reasonable numbers of photocopies at little or no cost to state agencies. Photocopies of large or voluminous sets of records are billed at cost. There are also charges for reproducing items such as photographs, records from micrographic forms, and architectural drawings. Archives staff can provide a detailed list of these fees and services.

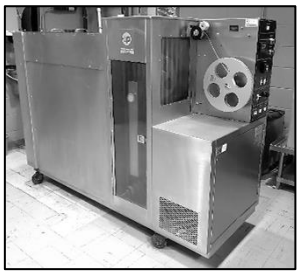
Requests to agencies from members of the public for records at the Indiana Archives should be referred directly to the Indiana Archives; this will ensure that patrons receive the most prompt and efficient service.

6. MICROFILMING OR IMAGING RECORDS

6.1 Acceptability of Microfilm and Imaged Records for Record Retention Requirements

ANY record may be microfilmed according to the standards outlined in 60 IAC 2 or Indiana Rules of Court Administrative Rule 6, to meet agency storage /access needs. Once the microfilm has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to it, while the original is considered a duplicate and may be destroyed as discussed in Section 2.4.

ANY record may be imaged according to IARA imaging standards (OCPR Policy 20-02, Appendix K) to meet storage/access needs.



- **Permanent/Archival records:** if the relevant record series does not address electronic records directly, consult with IARA's Electronic Records Program for preservation requirements before beginning any imaging project or destroying any original records.
- **Non-permanent records:** once the digital record has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to it, while the original is considered a duplicate and may be destroyed as discussed in Section 2.4.

6.2 The State Imaging and Microfilm Laboratory

The purpose of the State Imaging and Microfilm Laboratory is to safely preserve records for long time storage and make it easy for agencies to access those records. One way the Imaging Lab does this is through microfilming, where both paper and digital documents can be converted to film for long term preservation. Through a multitude of processes, physical formats can also be converted to electronic files in order to increase the ease of accessibility for agencies. The Request for Services form (SF 56676, Appendix G) has the list of services that the lab is able to perform. If you have a need not listed, please call the Imaging Lab to discuss a possible solution.

It's the goal of the State Imaging and Microfilm Laboratory to become the specialist for the ever-changing records preservation and accessibility needs of Indiana government. While we understand that distance and budget may affect an agency's ability to use their services, IARA strongly encourages you to contact the Lab to discuss your records situation and requirements before making that decision.

6.3 Transferring Records to the State Imaging and Microfilm Laboratory

To initiate an imaging project, the Records Coordinator should contact the State Imaging and Microfilm Laboratory to discuss their agency needs, and fill out a Request for Services form (SF 56676, Appendix G). The laboratory will then prepare for the agency an agreement that states the procedures used by the lab and describes its services.

Records must be properly prepared before transfer. All staples, paper clips, and other fasteners must be removed. Physical records should be sent to the lab in cubic-foot records boxes. The files within each box and the records within each file must be placed in the proper sequence in the order to be filmed. All files will be microfilmed and/or imaged in the order in which they are found.

Each box should be marked properly on the outside using carton labels. The label should include the agency/division name, the record series number and title, and the number of the box within the group (i.e. "Box 1 of 10"). Each box should also contain a list of its contents. This list will help laboratory staff to keep folders in their proper order and in the proper box.

Digital records should be sent to the lab on an encrypted CD or external hard drive. The files within must be placed in the proper sequence in the order to be filmed. All files will be microfilmed and/or imaged in the order in which they are found. Each CD or external drive should be marked properly and include a physical and digital manifest. These lists will help laboratory staff to keep files in their proper order.

If records cannot be or are not prepared properly, the State Imaging and Microfilm Laboratory is willing to process the materials for a fee (SF 56676, Appendix G). Contact the State Imaging and Microfilm Laboratory to discuss the needs for such records.

NOTE: Due to the limited space available for records storage, please call the State Imaging and Microfilm Laboratory for availability of shelf space before sending records.

6.4 Verification of Services Against the Original Documents

All microfilm of Indiana government records must comply with the requirements of Title 60, Section 2, of the Indiana Administrative Code, which establishes standards for producing and preserving archival quality microfilm. The full text of Title 60 can be found via the IARA website under *Services for Government/Laws, Rules, and Policies*.

After microfilming records, the State Imaging and Microfilm Laboratory will review and test the physical characteristics of the microfilm. Staff will not review the film for content. As per 60 IAC 2, each agency is responsible for verifying its microfilm against the original documents. Accordingly, the laboratory will return the original records and a duplicate working microfilm copy to the agency after filming for verification and review, along with a Certificate of Compliance/Verification (SF 42775, Appendix G).

All digital images of Indiana government records must meet a minimum standard of 300 dpi (dots per inch) on records scheduled for transfer to the Indiana Archives, and 200 dpi on all other records. Imaging performed by the State Imaging and Microfilm Laboratory meets these standards, but as with microfilm, the agency is responsible for verifying the digital images against the original documents. After imaging, the laboratory will return the original records and new digital images to the agency for verification and review, along with a Certificate of Compliance/Verification (SF 42775, Appendix G).

After receiving the records and the duplicate microfilm and/or digital images, the agency should review them for completeness and legibility. If the film or digital images are not a complete copy of the records or are not legible, the records should be returned to the lab for re-processing. If the film or digital images *are* a correct copy, the agency should confirm that by completing and signing the Certificate of Compliance / Verification that came with the film, and sending that to the State Imaging and Microfilm Lab. The retention schedule may specify a modification of this standard procedure; in this case, the agency should inform the laboratory staff of any variation.

6.5 Microfilming/Imaging Done by an Agency

Standards and Testing

State agencies that do their own microfilming or use another agency should contact the State Imaging and Microfilm Laboratory for information on both filming and processing procedures. To comply with the requirements of 60 IAC 2, several technical standards must be met. The laboratory can provide the necessary assistance and/or training.

A complete microfilming program requires the use of a microfilm camera to capture the images and a microfilm processor to develop the film. Before the microfilming process is initiated, calibration tests are necessary to coordinate the camera and the processor. The laboratory staff should be contacted to ensure that the appropriate tests are conducted.

State agencies that do their own scanning or digital document capture or use another agency should contact the State Imaging and Microfilm Laboratory for information on proper procedure. All digital material must comply with the minimum requirements discussed in Section 8.

6.6 Processing Agency Film/Images

If an agency wishes the State Imaging and Microfilm Laboratory to physically or digitally duplicate microfilm or images created by another agency, the materials must be sent to the lab for processing. (Duplication of IARA-created microfilm does not require this, since IARA has the original negatives.)

Each set of materials sent to the Microfilm Laboratory for processing or scanning must be properly labeled and contain the agency name, the record series number, the record series title, and where applicable, the name of the starting and ending files of the roll or reel, and the roll or reel number.

6.7 Outside Vendors

It is strongly suggested that agencies use the State Imaging and Microfilm Laboratory for all of their imaging and microfilming needs. The agency should consult directly with the lab before contacting any outside vendor. An agency that does choose to contract with a private firm or outside vendor for microfilming original documents must determine, prior to making the contract, whether or not the microfilm standards in 60 IAC 2 are applicable. Should these standards apply, a copy of 60 IAC 2 and a copy of the relevant record series must be attached to the contract.

6.8 Charges for Services at the State Imaging and Microfilm Laboratory

Micrographics services from IARA are provided to agencies at cost. The fees provide funds for the Archives and Records Administration to purchase replacement supplies for the State Imaging and Microfilm Laboratory and support the Indiana Archives. The current rate schedule is available on the Request for Services form (SF 56676, Appendix G), which must be filled out in full before the lab can begin work.

7. DESTRUCTION OF RECORDS

7.1 Destruction Options

When a retention schedule indicates that the records it governs are due to be destroyed, an agency has two options: it can either destroy the records in-house, or contact the Records Center, which destroys records as a service to all state agencies. The preferred method of destruction for most records is recycling. According to IC 5–15–5.1–13, however, confidential records must be destroyed in such a manner that they cannot be "read, interpreted, or reconstructed." The Records Center can destroy both ordinary and confidential records in the approved manner.

Whether agencies decide to destroy records in-house or at the Records Center, extreme caution should be exercised: destroyed paper records can't be recovered. Make sure that the criteria specified in the retention schedule are met before initiating the process.

7.2 Calculating When Records are Eligible for Disposition

To calculate the date records are eligible for destruction or (if instructed in the retention schedule) transfer to the Indiana Archives, start with the month/year date of the latest records, then add the period specified in the retention schedule, plus one month.

For example, General Correspondence (GRADM–4 on the General Retention Schedule), can be destroyed after three years. If the latest correspondence is from March, 2014, then the records may be destroyed in April, 2017.

7.3 Destroying Your Own Records

Retention schedules grant agencies the authority to destroy records after the specified period; it's not necessary to obtain permission from the Archives and Records Administration each time scheduled records are due for destruction. It *is* necessary to notify the Administration that the records were destroyed, in order to be able to satisfy any later request for an audit trail. This applies to both physical and electronic records.

To initiate the destruction of records that you are able to destroy yourself, complete a Records Disposition Notification (SF 16, Appendix H).

Complete all required entries on the Records Disposition Notification form, especially those that note the dates of the records and the date they are eligible for destruction. It is extremely important to use the record series title and record series number exactly as they appear on the retention schedule, since it may be necessary to establish at a later date that the records were destroyed legally. The Disposition Notification must be signed and dated by the agency's Records Coordinator.

After completing the form, retain a copy for your records, then send the form itself to the Records Center for review and processing. If you have already destroyed the records, the Records Center will file the notification; if the records are to be destroyed by the Records Center staff, you will receive another copy of the notification once this has been accomplished.

When performing your own records destruction, be aware that your agency may also have additional requirements related to the *manner* of disposal for certain confidential records. These are not listed in the records retention schedule, but instead are set by internal agency policies, specific contracts, or federal guidelines for your programs.

7.4 Requesting Records Center Destruction

7.4a Records Center Courtesy Destruction

While agencies may destroy their own eligible records, the Records Center also provides a pick-up and destruction service for agencies in the Indianapolis area, if requested.

To ask the Records Center for courtesy records destruction, complete the Records Disposition Notification (SF 16, Appendix H) as instructed above, just as if you were performing the destruction yourself, but check Yes in the box for "Request destruction by Records Center?" Then send the completed form to the Records Center, and their staff will arrange to pick up the records from the agency.

To avoid confusion, all records picked up for destruction by the Records Center staff must have fully-completed box labels, just as if you were preparing them for storage.

7.4b Electronic Media Destruction

State agencies wishing to destroy electronic media may do so through IARA's Electronic Media Destruction Program. Under this program, IARA will pick up and ensure secure destruction of physical electronic media, including floppy disks, compact discs, tape-based media, USB flash drives and portable hard drives at a cost of $0.60 per pound. All charges will be ID billed by the State Records Center.

To begin the process, complete and submit a SF 16 to the Records Center; any and all records contained on electronic media must have reached the end of their scheduled retention period(s) before the media may be approved for destruction.

- If all records present are duplicates not subject to retention requirements, record series number should still be listed. Type "DUPLICATES" in the record series title field and "IMMEDIATE" in the "Disposition due date" field, leaving "Latest date of records" blank.
- If media has been erased, leave record series number blank. Type "MEDIA ERASED" in the record series title field and "IMMEDIATE" in the "Disposition due date" field, leaving "Latest date of records" blank.
- In the box for "Type of Media," check "Electronic – physical media" and under "Request Destruction by Records Center?" check Yes.

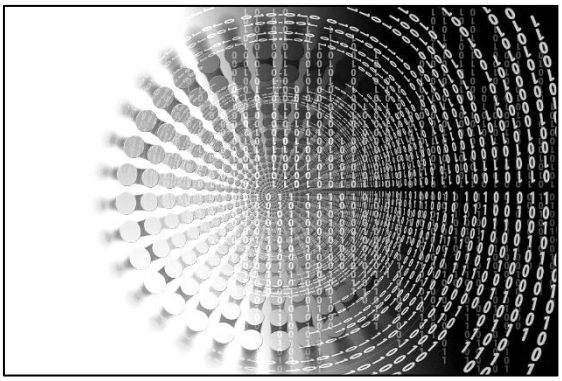
Electronic media should be boxed separately from any paper records for pick-up.

Please note that the destruction of State-owned computer hardware undergoing PC Refresh is managed by the Indiana Office of Technology (IOT) and is subject to IOT's PC Removal Policy (12-02). IARA does not accept these materials.

For more information about IARA's Electronic Media Destruction Program, contact Marilyn Fernandez, Deputy Director, at MaFernandez@iara.in.gov or 317-232-3663.

8. CARING FOR ELECTRONIC RECORDS

8.1 Electronic Record Keeping



Electronic records are any records created, maintained, altered, or deleted in a digital format. These records are subject to the same record keeping requirements as are paper records.

However, the complexities of media (the physical storage objects on which electronic records are stored) and format (the programs, versions, file types, and operating systems that are required to access the records) require agencies to think ahead, and incorporate records retention requirements within record keeping systems at the point of design.

Records Coordinators must work with agency IT staff to communicate retention policies for electronic records to their agency's employees, and take the steps necessary to ensure compliance.

8.1a Electronic Record Keeping Systems

Documentation

Proper records retention and disposition must include full, accurate, and current documentation of the system (hardware and software), functions supported by the system, how the information is collected, used, accessed, and maintained on each of the systems mediums, and the procedural controls employed to preserve the integrity of the system's data.

Documentation files should do the following: identify system hardware and software; formalize file naming conventions; perform back up and security procedures; identify the sources and uses of information and their confidential or non-confidential status; and outline quality control procedures and storage requirements. Documentation should also cover employee training procedures and the verification of employee attendance at training sessions.

Development and Implementation

Before implementing any new electronic records system, consult with IARA's Electronic Records staff (erecords@iara.in.gov).

Several issues should be addressed when developing an electronic records program as different agencies have a wide range of system capabilities and characteristics. To determine the most accurate, complete, and practical method of managing records, agencies need to develop procedures that fit their specific situations. Understanding the capabilities of a system is a prerequisite to determining how the records will be identified, organized, and stored. The Indiana Office of Technology (IOT) is the best source of answers regarding appropriate software, and IARA's Electronic Records staff can advise your agency on options for retention within that system type.

The following questions are designed to assist Records Coordinators, records managers, and systems designers when developing an electronic record keeping system:

1. How long are the records to be retained? If the system will contain multiple record series, how will you identify which records within the system belong to which record series?
2. If some or all of the electronic records are required to be transferred to the Indiana Archives at a certain time, how will you identify those records, and can they be exported in a format which the Archives can accept?
3. Will secondary information, such as reports, be created from the data, and how will these be maintained?
4. Can old records be converted easily to new versions of software without loss of data?
5. How will access to the records be maintained?
6. Are the records confidential?
7. How will the system be secured?
8. What is the system back-up and/or disaster plan?
9. Who will maintain documentation of the system?

8.1b Trustworthy Records

Agencies are responsible for establishing the trustworthiness of their electronic records when called upon to do so in a court of law or while fulfilling an Access to Public Records Act (APRA) request. The trustworthiness of electronic records depends on their:

- Integrity: the content is complete and untampered. Any modifications are documented according to pre-established policies.
- Usability: the content can be located and viewed. Any relevant context should be maintained.
- Reliability: the content is a complete and accurate representation of agency activities.
- Authenticity: the content can be proven to have been created by the originating agency.

An excellent way to establish trustworthy records is to follow the procedures outlined in Section 8.1a. Specifically, creating high quality documentation of record keeping systems, working with IOT and IARA during the design phase of your system, and ensuring that you are creating electronic records that will be usable for the entirety of their legally required lifespan.

Agencies collecting information on citizens, particularly that of a personal nature, should be aware of the Fair Information Practices Act (FIPA), IC 4-1-6-1, as it defines statutory requirements for documentation. Because of FIPA, the importance of documenting procedures for systems that transmit or store personal information cannot be overemphasized.

8.1c Preservation

There are two main categories of electronic records: born-digital records and digitized records.

Born-digital records are records that are created from the beginning in a digital format. They come in a variety of structured and unstructured formats, for example: e-mail, PowerPoint presentations, and databases.

Digitized records have been converted into a computer-based format from paper or another analog format. Some examples are scanned documents and audio cassette tapes converted to MP3 files.

It is important to keep in mind that no electronic format can be considered truly "permanent." The records you create may be considered of permanent evidentiary, fiscal, or historical value, but the media they are stored on will not last forever!

This aspect of electronic records is critical to their long-term accessibility. Consider the last time you saw a computer with a 3.5" floppy drive, or were able to open a document created in Microsoft Office 95. Computer hardware and software can become obsolete within a relatively short period of time, which requires that your agency monitor and migrate your files to updated systems and formats as needed to ensure they remain readable on current equipment.

8.1d Access

Difficulty in retrieving these records is not a legitimate reason to deny access; therefore, electronic records must remain reasonably accessible within the agency throughout the required retention period. Requests for non-confidential electronic records must be treated in the same manner as requests for other public records.

Regarding the public's right to inspect and copy public records or recordings, Indiana Code 5-14-3-3(2)(j) indicates the following:

> *A public agency that maintains or contracts for the maintenance of public records in an electronic data storage system shall make reasonable efforts to provide to a person making a request a copy of all disclosable data contained in the records on paper, disk, tape, drum, or any other method of electronic retrieval if the medium requested is compatible with the agency's data storage system.*

Maintaining accessible records is the responsibility of the creating agency. Prior to transfer of records to the Archives, your agency may be asked to convert or migrate records if they have not been held in an acceptable modern format.

8.1e Organization

Electronic records should be indexed in an organized and consistent manner, and reflect the way they will be used and referenced. A good rule of thumb can be to apply successful organizational processes already in use for your agency's paper records. Every effort should be made to file electronic records systematically for convenient retrieval.

Records maintained electronically have the potential advantage of supplying multiple access or index points.

Example: Agency correspondence is indexed in the following manner:

- date sent or received
- name of the sender or recipient
- subject, topic, or purpose

If the correspondence is related to a particular type of record, such as a personnel file, the primary index point will be what is used for that file (the name and/or social security number of the employee).

Standardized filing rules within an agency may serve this purpose. File naming conventions that standardize labels, acronyms, and date formats across an agency can make this easier, and additionally support the retrieval of documents through the use of key words and terms. Barcodes or ID numbers can also act as unique identifiers for locating specific records.

Agencies not technologically equipped to maintain electronic records for the full retention period in a readable electronic format should contact the Indiana Office of Technology for advice and assistance.

8.1f Security

In addition to following all information security policies issued by the Indiana Office of Technology, security measures should be taken within agency electronic record systems to protect records from unauthorized alterations or deletions.

8.1g Destruction

All electronic records must be disposed of in a manner that ensures protection of any sensitive, proprietary, or confidential information. Magnetic recording media previously used for electronic records containing sensitive, proprietary, or confidential information is not to be reused if the previously recorded information might be compromised in any way by reuse.

8.1h Education

Agencies are responsible for ensuring that employees become familiar with the legal requirements for creation, maintenance, and disposition of records. Records Coordinators, records managers, and records custodians should emphasize to users that electronic records are public records subject to records retention schedules.

8.2 Electronic Communications

Because electronic communication is increasingly used to conduct state government business, its volume and ease of creation/deletion present special challenges for records management. Electronic communications include but are not limited to e-mail, texting, chat logs, recordings of video chat, voicemail (recordings and transcripts), blogging, and social media.

It's crucial that agencies develop procedures to ensure that records created or received via electronic communication systems are managed according to approved records retention schedules and record series. All electronic communication conducted on state government computers is owned by the State of Indiana and *almost* all of it is subject to record retention requirements, just like any other information created and collected by your agency.

One of the most important things to know about electronic communication is that it is only a *format*, not a record series. An inbox full of e-mails is legally the same as a stack of physical letters on your desk: a collection of records that needs to be sorted by content into the various record series that apply to each type of information, and retained for the same time period as you would retain a paper letter about the same subject.

That sorting doesn't have to be difficult, however, because most agency electronic communications are going to fall into one of four categories:

- **Personal and Transitory messages:** Transitory communications include unsolicited advertisements, the recipient's copy of messages sent to a mass audience (such as a professional mailing list or a group chat), and routine office communications that convey information of temporary value, the equivalent of a sticky note or "while you were out" phone message.
- **General Files** – GRADM-4 on the General Retention Schedule for All State Agencies.
- **Policy Files - Appointing Authorities, Deputies, and Division Directors** – GRADM-3 on the General Retention Schedule for All State Agencies.
- **Program-related records:** Records related to the specific programs of your office, which you would classify under the same record series numbers that you use for records in that program that *aren't* electronic messages.

8.3 Imaged Records

Imaged records are a specific type of digitized record: a paper or other eye-readable physical record is electronically scanned, which creates a picture of it in digital form.

IC 5-15-1-1(a) explicitly allows for the use of an imaging system in the creation and storage of public records:

> Any officer, office, court, commission, board, institution, department, agent, or employee of the state may have or cause to have records recorded, copied, or reproduced under this subsection by any optical imaging process that correctly and accurately copies or reproduces, recreates, or forms a medium of copying or reproducing the original record, document, plat, paper, or instrument in writing.

As long as your digitized images meet the qualifications listed in OCPR Policy 20-01 (Appendix J) and the resolution standards set out in OCPR Policy 20-02 (Appendix K), you may use them to meet both the requirements of your records retention schedule, and the Indiana Access to Public Records Act.

This means that <u>unless your retention schedule specifies that the records are CRITICAL RECORDS</u> (see Section 3.1f, Record Series Terminology), **you may**

- **image *any* record**, regardless of whether imaging is specifically mentioned in the Retention and Disposition instructions.
- **image records instead of microfilming them**, as long as the images meet the specifications in Policy 20-02.
- **destroy originals** once you have verified that images are authentic duplicates and meet the specifications in Policy 20-02.

If you need guidance on this matter, please contact Electronic Records staff, at erecords@iara.in.gov.

If you have questions about the process/cost of digitizing your records, please contact the State Imaging and Microfilm Lab.

8.4 Transferring Electronic Records to the Archives

The Archives only accepts electronic records that are scheduled for permanent retention and can be proven to be trustworthy (see Section 8.1a).

If this is your first electronic records transfer, please contact the IARA Electronic Records program to discuss the following:

- Record series
- Type of system the records were created in
- File format(s) you will be transferring
- Folder and file organization
- Whether or not the records contain any Personally Identifiable Information (PII) or classified information
- Whether or not the records are on physical media (e.g. a hard drive)
- How often you will be submitting electronic records
- Required documentation

Please keep in mind that if your electronic records fall under multiple series that are inextricably interconnected and must be retained as a whole to retain their trustworthiness, you may need to consider reclassifying them or creating new record series. If you believe this to be the case, please contact State Records Management at rmd@iara.in.gov.

If you have previously transferred records, please provide the IARA Electronic Records program (erecords@iara.in.gov) with a fully-completed and signed State Form 48883 for each record series you are transferring.

Even if you have transferred electronic records previously, it is helpful to conduct an inventory prior to completing State Form 48883. You will want to determine

- how many record series you are transferring.
- the date range of the records.
- the file types.
- the total amount of data to be transferred.
- the types of physical media on which records are stored (if applicable).

Please be aware that larger direct network transfers may require Indiana Office of Technology support. If you need to submit more than 500GB at once, please contact Electronic Records to discuss appropriate arrangements.

9. Criteria and Duties for an Agency Records Coordinator

9.1 Criteria

An Agency Records Coordinator is assigned by the agency's Appointing Authority (agency head) or their designee by filling out and sending State Form 42035. If you are an Appointing Authority preparing to make this choice, or a departing Records Coordinator preparing to help your agency head make this choice, **elements to look for include:**

- Long-term familiarity with the business of the agency
- Background or some level of familiarity with being a records manager
- Attention to detail and ability to follow written procedures
- Time to work on records keeping in addition to regular tasks
- Able to provide a record inventory and comfortably fill out records transfer and disposition forms
- Strong communication skills
- Willingness to learn

9.2 Duties

An agency Records Coordinator is almost always *also* a records manager, but has a few extra duties that are all their own:

- **Complete and keep up with any training provided by IARA.** You can find information about both in-person and online training courses on IARA's Workshops and Training page, under *Services For Government* on the IARA website.
- **Be the person that records managers in your agency can go to when they have questions.** If you know the answers, great! If you don't, that's okay too. Just use what you've learned from this Handbook and the resources on the IARA website to figure out
    - who at IARA can best help you
    - how to describe the help you need.
- **Work with IARA on updates to agency retention schedules**, whether they're
    - initiated by your agency
    - initiated by an IARA Records Analyst and sent to you for review.

  This may mean passing on the drafts for revision from/to Division Directors or others in your agency, rather than working on them yourself, and that's fine. You can even suggest that a staff person from the affected area should work directly with IARA and just keep you in the loop on the progress of the revision.

  Just be that initial contact point between your agency and IARA, and then keep track of the progress of the project. If you've passed it on to a division for review and you haven't heard back from them in a while, follow up on that. If you've sent a final draft to your agency head for signature and they're having trouble signing it electronically, help them out. When IARA sends you a finalized new retention schedule, make sure you keep a copy and pass it on to staff in the affected division(s).

  In other words, just like the job title says, coordinate!
- **Review and sign off on Records Disposition Notices (SF 16).** In addition to those sent out from the Records Center, you might fill out notices for records destroyed by your agency, or you might receive them from agency staff.

  In all cases, before you sign off on anything, make sure you check the dates of disposition and record(s) dates against the appropriate retention schedule, and verify by that the records are actually eligible.
- **Review and sign off on records being transferred to the**
    - Records Center (SF 23628, Appendix C)
    - Indiana Archives (SF 48883, Appendix E)

  Again, just make sure to become familiar enough with reading a retention schedule that you can check any transfer form sent to you for signature, verifying that the information is correct and nothing is missing, before you sign it and pass it on to IARA.
- **Keep an agency file of all completed disposition notices and transfers of records,** managing the files under Record Series GRREC-2, GRREC-3, and GRREC-5 on the General Retention Schedule for All State Agencies.

APPENDICES: STATE FORMS with INSTRUCTIONS FOR COMPLETION (where applicable)

These are only samples, and should not be copied for actual use; most of them are not displayed at full size. For the current versions, always visit the IARA Forms page, on the IARA website under *Services For Government/IARA Forms.*

Any forms shown here that are *not* available on the IARA Forms page are not meant to be filled out by state agencies; they are generated by Archives and Records Administration Staff and sent to agencies for signature or as a notification.

APPENDIX A: Transmittal of Proposed/Approved Records Retention and Disposition Schedule (SF 39443) and Notification of Record Series Action (SF 41139)

TRANSMITTAL OF PROPOSED / APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULE
State Form 39443 (R7 / 3-19)

Agency	Issued by:
Division *(If left blank, retention schedule applies to entire agency.)*	The Indiana Archives and Records Administration Records Management Division 402 West Washington Street, Room W472
Date sent *(mm/dd/yyyy)*	Indianapolis, IN 46204 rmd@iara.in.gov

SECTION I — PROPOSED RECORDS RETENTION AND DISPOSITION SCHEDULES

Please have your Appointing Authority (agency head) sign this sheet electronically in the blank provided under Section III to acknowledge approval of the proposed amendments. Then, return the electronic file to IARA's Records Management Division. You will be sent a copy of the final version of the schedule after it has been approved by the Oversight Committee on Public Records.

SECTION II — GENERAL INFORMATION

An approved Records Retention and Disposition Schedule grants your agency the authority to transfer or destroy records on a continuing basis. Please consult the Records Coordinator and Records Center handbooks for transfer and destruction information, or contact the Indiana Archives or Records Center staff directly for guidance on their specific procedures.

Any questions concerning how to interpret the instructions in your approved retention schedule should be directed to the Records Management Division at rmd@iara.in.gov.

A retention schedule must be current to be effective. The Records Management Division will contact your Agency Records Coordinator for periodic reviews to ensure that both language and content are up to date. If your agency needs to change the schedule between those review periods, just contact the Records Management Division, and a new update project will be initiated immediately.

SECTION III — PRE-MEETING REVIEW BY:

Agency Head e-signature

State Board of Accounts e-signature

SECTION IV — APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULES

The Oversight Committee on Public Records, at its meeting held on _____, approved this Records Retention and Disposition Schedule for your agency.

The finalized schedule is enclosed. The Records Coordinator should retain the original and forward copies to agency staff as needed.

Indiana Archives and Records Administration e-signature of final approval

NOTIFICATION OF RECORD SERIES ACTION
State Form 41139 (R4 / 3-19)
Indiana Archives and Records Administration
Records Management Division

Agency name
Division name
Year of most recent OCPR approval

INSTRUCTIONS: Action is being requested on the items below, which appear on the attached retention schedule. All schedule items NOT listed here were previously approved by the OCPR and currently require no action.

New	Transferred FROM Another Schedule				Amended		Deactivated	Transferred TO Another Schedule	
Item No.	Schedule	Record Series	Item No.	Action	Record Series	Item No.	Record Series	Record Series	Schedule

Name of Records Analyst	Date prepared *(month, day, year)*
E-mail address	Telephone number ( )

Note: These forms exist only as internal templates for Archives and Records Administration staff to fill out; your agency will see the completed versions as part of the final draft packet during a records retention schedule update project.

See Section 3.2 for more about the retention schedule revision and approval process. IARA's online class "Creating and Updating Retention Schedules" can also provide helpful details.

APPENDIX B: Records Boxes and Labels (SF 46634 and SF 25186)

Records Box Assembly (SF 46634)

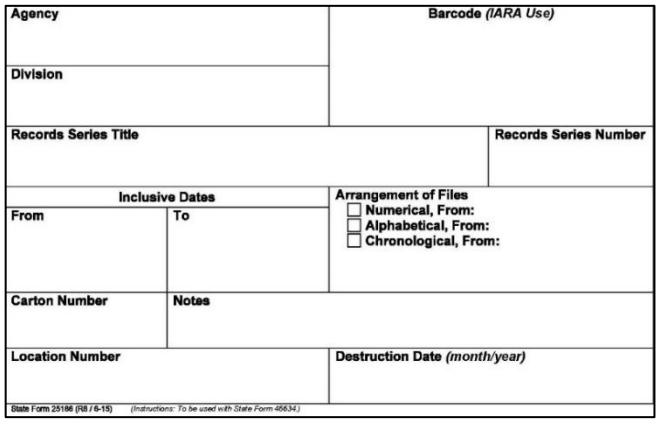
1. Open carton into a rectangle with flaps 1, 2, 3, and 4 at top.
2. Fold flap 1 into opening.
3. Fold flaps 2 and 3 into the bottom of flap 4.
4. Fold flap 4 on top of flap 1.
5. Turn carton over.
6. Pull flap 1 up (there is a notch in the flap for this function); pull flaps 2 and 3 up, and push flap 1 back down.
7. Push hand-hold tabs on each end of carton in, and between flaps 2 and 3 and the inside ends of the carton.
8. Fold in flaps 5 and 6.
9. Fold in flaps 7 and 8.
10. Fold lid and place on top of carton.

Records Box Labels (SF 25186)

These are pre-printed on the box, and also available to be printed on adhesive label paper as SF 25186.

If using the printed form, you MUST print it on adhesive paper stock (Avery 5126 or a same-size equivalent from another company). Boxes with taped-on or glued-on labels will not be accepted. If you would prefer to buy the labels with the form pre-printed on them, they are also available from the Forms Distribution Center at PEN Products.

All information must be printed with a broad-tipped, black permanent marker or indelible black printer ink in large type.


Agency
Barcode *(IARA Use)*
Division
Records Series Title
Records Series Number
Inclusive Dates
From
To
Arrangement of Files
☐ Numerical, From:
☐ Alphabetical, From:
☐ Chronological, From:
Carton Number
Notes
Location Number
Destruction Date *(month/year)*
State Form 25186 (RB / 6-15) *(Instructions: To be used with State Form 46634.)*

Instructions

1. **Agency** / **Division:** Self-explanatory.
2. **Record Series Title / Record Series Number:** from records retention schedule.
3. **Inclusive Dates:** <u>From</u> month/year of earliest record in box | <u>To</u> month/year of latest record in box.
4. **Arrangement of Files:** check appropriate box and add arrangement span ("Alphabetical, From: L to N").
5. **Carton Number**: Do not number boxes until labels have been otherwise completed for all boxes in the record series. Then arrange boxes in chronological order by Disposition Date, and number the boxes in that order. Do not start over with #1 for a new shipment or new year of the same record series -- keep a continuous numbering system, even over multiple shipments.
6. **Notes:** optional area for additional information about the contents of this specific box.
7. **Location Number:** Leave blank; this information is added by the Records Center.
8. **Disposition Date:** Month/year. To calculate, add total retention period from retention schedule to the ending date of the records, then add one additional month. (Example: 8/2011 + 10 years = 9/2021.)
9. **HIPAA Stickers:** PHI Florescent Red Labels - Per HIPAA guidelines, it is required that PHI (*Protected Health Information*) labels be placed on all cartons that contain health information. The appropriate place for these labels is the upper left corner on the same side of the box as the active box label. A second PHI label should be placed in the coordinating corner of the box lid.

See Sections 4.2 and 5.2 for more about the Records Center and Indiana Archives transfer processes.

APPENDIX C: State Records Center Record Transmittal and Receipt (SF 23628)

STATE RECORDS CENTER RECORD TRANSMITTAL AND RECEIPT
State Form 23628 (R13 / 5-19)

PAGE NUMBER		TOTAL PAGES
	OF	

INSTRUCTIONS:

1. *This transmittal must be typed in order to ensure accuracy and legibility.*
2. *Use one (1) transmittal for each record series number. Number boxes in a continuous sequence, within each series.*
3. *Complete and send entire form to the Records Center prior to the intended transfer date.*
4. *A receipt will be given at the time the records are transferred.*
5. *Location information will be sent to the agency upon completion of shelving.*

TO:

Indiana State Records Center
Indiana Archives and Records Administration
6400 East 30th Street, Indianapolis, IN 46219
Telephone: (317) 591-5326
Fax: (317) 591-5328
E-mail: recordscenter@iara.IN.gov

FROM:

State Agency
Division
Address
Location name where records may be picked-up
Address where records may be picked-up

Have these records been imaged *(check one)*?
☐ Yes ☐ No ☐ Not Required

Have these records been audited *(check one)*?
☐ Yes ☐ No ☐ Not Required

AUTHORIZATION TO TRANSFER RECORDS

Signature of records coordinator	Printed name of records coordinator	Date signed *(month, day, year)*	Telephone number ( )	E-mail address

Name of employee transferring records *(if different from above)*	Telephone number ( )

RECORDS SERIES

Record series title	Record series number *(e.g. 83-79)*

RECORDS DATA

CARTON NUMBER	LAST DATE OF RECORD		DISPOSAL DATE		NOTES	TO BE COMPLETED BY THE RECORDS CENTER LOCATION		
	MONTH	YEAR	MONTH	YEAR		RANGE	ROW	SHELF

RECEIPT OF RECORDS ***(For office use only.)***

Signature of Records Center employee receiving records	Printed / typed name of Records Center employee receiving records	Accession number	Date *(month, day, year)*
Verified by	Retention years for record series	Last accession number	Last box number

DISTRIBUTION: Original - Records Center; Copy - Return to agency with location information; Copy - Records Center

Instructions

1. **Page Number/Total Pages:** If transferring more than one record series, fill out separate sets of pages for each series. (Example: Pages 1 of 3 through 3 of 3 for GRACC-1, then Pages 1 of 5 through 5 of 5 for GRACC-2.)
2. **From:** State Agency/Division | Address of employee transferring records | Location Name/Address where records may be picked up, if different from above
3. **Records Coordinator:** Signature and printed name, plus date and contact information.
4. **Name and phone number of employee transferring records**: If different from Records Coordinator.
5. **Record Series Title:** From records retention schedule; all boxes on a page must share the same record series title.
6. **Record Series Number:** From records retention schedule; all boxes on a page must share the same record series number.
7. **Carton Number:** Boxes should be numbered and listed in chronological order by Disposal Date.
8. **Record Dates:** Month/year of the most recent record in the box.
9. **Disposal Date:** Month/year that box will be eligible for destruction or transfer to the Indiana Archives.
10. **Notes:** Optional, for adding more information about the contents of an individual box.
11. **All other areas are for Records Center staff use.**

See Section 4.2 for more about the Records Center transfer process.

APPENDIX D: Request for Record (SF 24019)

REQUEST FOR RECORD
State Form 24019 (R7 / 5-16)

Name and title of requestor	Telephone number ( )
Signature of requestor	Date signed *(month, day, year)*

FOR RECORDS CENTER USE ONLY
☐ Record destroyed ☐ Not in box
☐ Location info. incorrect *(please recheck)*
☐ On previous loan to:

Agency and Division	Address *(building, room number, city, and ZIP code)*	Estimated date of return *(month, day, year)*

NAME OF RECORD SERIES REQUESTED	RECORD SERIES NUMBER	ACCESSION NUMBER	DATE OF RECORD *(month, day, year)*	BOX NUMBER	LOCATION			ONE ITEM PER REQUEST FORM
					RANGE	ROW	SHELF	Name or number of file or whole box

DISTRIBUTION: White - Requesting Agency Canary - Records Center Pink - Records Center attach to box or file Green - Records Center on shelf

Instructions

1. **Name and title of requestor.**
2. **Telephone number.**
3. **Signature:** The requestor's signature; this form doesn't require the signature of a Records Coordinator.
4. **Date signed.**
5. **Agency and Division.**
6. **Address:** Where the record should actually be delivered.
7. **Estimated date of return:** If known.
8. **Name of Record Series requested**: From records retention schedule.
9. **Record Series Number:** From records retention schedule.
10. **Date of Record:** Date of specific record being requested, if available; otherwise, use box date.
11. **Box Number.**
12. **Location:** From inventory list provided to your Records Coordinator by the Records Center after original transfer.
13. **Name or Number of File:** Such as "Purchase Order 3556" or "Jones, Hayley." If you wish to retrieve the entire box, write "entire box" in this space. Do not leave it blank.
14. **Distribution:** Computer-generated forms do not need to be printed on colored paper; those references apply only to pre-printed 4-ply paper forms. Regardless of color, requestor should retain one copy; send remaining copies to the Records Center. Another copy will be affixed to the requested box or file when it is sent to you. This copy must remain with the box/file and be returned with it to the Records Center.

See Section 4.3 for more about the Records Center record request and retrieval process.

APPENDIX E: State Archives Record Transmittal and Receipt Form (SF 48883)

Reset Form

PAGE NUMBER	TOTAL PAGES
	OF

STATE ARCHIVES RECORD TRANSMITTAL AND RECEIPT
State Form 48883 (R7 / 4-20)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

Instructions and guidelines for transferring permanent paper and electronic records:

1. ***Use a separate transmittal for each record series submitted.*** *IARA will not accept any records without prior approval of this form.*
2. *The transmittal must be typed, printed, or reproduced electronically in order to ensure accuracy and legibility, filled out in its entirety, and signed.*
3. *Number all boxes / items / media in a continuous sequence. Multiple formats of the same series may be submitted on a single transmittal. One network / SFTP transmittal equates to one "box."*
4. *NOTES – Please designate importance, if records are scheduled to be sampled, or indicate the type of physical media on which records are held (e.g. CD, audio cassette, film reel).*
5. *Include a box- or folder-level inventory in an Excel spreadsheet to IARA prior to pick-up of paper records. For electronic, include a folder/file manifest listing all files submitted and their sizes. For paper transmittals, provide at minimum a list of all boxes and their contents prior to pick-up. For transmittals containing non-paper materials such as disks, audiovisual materials, or objects, a detailed list of all folders/items in each box is preferred. For digital-only transmittals, provide an itemized list of all folders and files submitted, including format and file size (e.g. a directory list).*
6. *By signing this form, a state or local agency transfers ownership of the records to the IARA, per IC 5-15-5.1-11.*
7. *An accession report will be provided upon request.*

TO:

Indiana State Archives
Indiana Archives and Records Administration
6440 E. 30th Street, Indianapolis, IN 46219
Telephone: (317) 591-5222
Fax: (317) 591-5324
E-mail: arc@iara.IN.gov

FROM: ☐ State Agency ☐ County / Local Government

State Agency / County / Local Office

Division

Address

Location name where records may be picked-up

Address where records may be picked-up

Have these records been imaged *(check one)*?
☐ Yes ☐ No ☐ Not Required

Have these records been audited *(check one)*?
☐ Yes ☐ No ☐ Not Required

AUTHORIZATION TO TRANSFER RECORDS

Signature of records coordinator / local official	Printed name of records coordinator / local official	Date signed *(month, day, year)*	Telephone number ( )	E-mail address

Name of employee transferring records *(if different from above)*	Telephone number ( )

RECORD SERIES INVENTORY

Record series title	Record series number *(e.g. 83-79)*

BOX, ITEM, OR MEDIA NUMBER TOTAL	RECORD DATES FROM *(mm/yyyy)*	RECORD DATES TO *(mm/yyyy)*	TYPE	NON-PAPER RECORDS ONLY: TRANSFER METHOD OR MEDIA	QUANTITY / SIZE / VOLUME *(e.g. 123 MB)*	NUMBER OF FILES / OBJECTS	FILE / OBJECT FORMATS *(e.g. PDF, DOC)*	NOTES *(See instructions above.)*
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				

RECEIPT OF RECORDS ***(For office use only.)***

Signature of State Archives employee receiving records	Printed / typed name of State Archives employee receiving records	Accession number	Date *(month, day, year)*

DISTRIBUTION: Original - State Archives file; Copy - Agency; Copy - State Archives processing

Instructions:

1. **Page Number/Total Pages:** Assign page numbers according to the record series being transferred. For example, if you have two boxes containing two different record series, fill out one transmittal form for each of them. The page numbers for both transmittals would be "1 of 1."
2. **From:** The first section indicates the parent agency, division, unit information and full address. The second section indicates the exact location where the boxes can be picked up. Please make the pick-up easier by being specific.
3. **Authorization to Transfer Records:** The Agency Records/Information coordinator must approve the transfer of all records. To indicate their acceptance, they should sign the first line of this section and include their contact information. Then the employee who is transferring the records, if other than the Records Coordinator, should print their name and contact information on the last line.
4. **Record Series Inventory:**
   a. Record Series Title and Number can be found on the appropriate records retention schedule; all boxes listed on a page should fall under the same record series.
   b. In the Box Number column, enter box number out of the total number of boxes: 1 of 15, 2 of 15, etc.
   c. "Record Dates" refers to the creation dates of the records within that box; be as specific as possible.
   d. "Type" should indicate whether the records are paper, electronic, or audio/video format.
   e. The "Non-Paper Records Only" section allows more specific information to be provided for other formats.
   f. In the notes, if the records need to be sampled in a specific manner, please indicate here.
5. **Send to the Indiana Archives:** After SF 48883 is filled in, send the form to the Indiana Archives at 6440 E. 30th Street. After the retention schedule is verified, the Archives will contact you to schedule the records pick-up or the mode of delivery. If the records are not approved for transfer, the Agency Records/Information coordinator will receive a copy of SF 48883 along with an explanatory letter.
6. **Receipt of Records:** When records are picked up, an IARA staff member will sign his or her name on the top line of SF 48883, with the printed name below. He or she will also enter the date and time that the records were picked up. The Records Coordinator receives a copy of this receipt. The accession number will be assigned by the Archives later.

See Section 5.2 for more about the Indiana Archives transfer process.

APPENDIX F: Indiana Archives - Microfilm Transmittal and Receipt (SF 52408)

MICROFORM TRANSMITTAL AND RECEIPT
State Form 52408 (R2 / 6-15)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

Page 1 of _____ pages

If a State agency, complete form and send to:

Indiana State Archives
Indiana Archives and Records Administration
6440 E. 30th Street, Indianapolis, IN 46219
Telephone: (317) 591-5222
Fax: (317) 591-5324
E-mail: arc@iara.IN.gov

If a county/local government, complete form and send to:

County/Local Records Management
Indiana Archives and Records Administration
402 W. Washington Street, Room W472, Indianapolis, IN 46204
Telephone: (317) 232-3380
Fax: (317) 233-1713
E-mail: cty@iara.IN.gov

Instructions and Guidelines for Transferring Microform Records

1. *USE A SEPARATE FORM FOR EACH RECORD SERIES*
2. *This form is to be used only for the transfer of records on any type of Microform. "Microform" means any type of microfilm, microfiche, or Computer Output Microfiche (COM).*
3. *Complete and send this form to the Indiana Archives and Records Administration (IARA) before sending the microform records. The IARA will not accept any microform records without prior approval of this transmittal form. An approved copy of this form must accompany the microform shipment.*
4. *Microform records transferred to the Indiana State Archives on an approved retention schedule must have a Record Series Number. Microform records not on an approved retention schedule will be accepted or rejected on a case-by-case basis.*
5. *By signing this form, a state or local agency transfers ownership of the microform records to the IARA. See IC 5-15-5.1-11.*
6. *Any microform record transferred to the Archives is considered to be a permanent record. The microform records must therefore meet the standards outlined in 60 IAC 2 or, where applicable, Administrative Rule 6, Indiana Supreme Court. The state or local agency is required to use acid-free boxes. The state or local agency must label the boxes using State Form 36074, which can be ordered from the IARA, State Imaging and Microfilm Laboratory, 100 N. Senate Ave., Rm. N055, Indianapolis, IN 46204, telephone number 317-232-3381, and e-mail address imaging@iara.IN.gov.*
7. *The state or local agency must verify the completeness and legibility of the records on the microform and must provide an inventory of the records on the microform.*

Name of state agency / county / local office		Name of division of state agency / county / local office
Record series title		Record series number
Total number of rolls or fiche sheets in shipment	Roll numbers From: To:	Inclusive dates of records filmed (*month, day, year*) From: To:

AUTHORIZATION TO TRANSFER MICROFORM RECORDS (*to be filled out by the state agency / county / local office*)			
Signature of records coordinator / local official	Printed name of records coordinator / local official		Date signed (*month, day, year*)
Address (*number and street, city, state, and ZIP code*)	Telephone number ( )	Fax number ( )	E-mail address
Signature of person shipping microform records, if different	Printed name and title of person shipping microform records, if different		Date signed (*month, day, year*)

RECEIPT OF MICROFORM RECORDS (*IARA use only*)		
The transfer of the microform records is ☐ Accepted ☐ Rejected. If rejected, state the reasons:		
Signature of IARA employee authorizing transfer	Printed name of IARA employee	Date signed (*month, day, year*)
Signature of Archives employee receiving microform records	Printed name of Archives employee	Date signed (*month, day, year*)

See Section 5.2 for more about the Indiana Archives transfer process.

APPENDIX G: State Imaging and Microfilm Lab - Request for Services (SF 56776) and Certification of Compliance / Verification (SF 42775)

REQUEST FOR SERVICES
State Form 56676 (9-19)
Approved by State Board of Accounts, 2019

Pursuant to IC 5-15-5.1-5(a)(16)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION
STATE IMAGING AND MICROFILM LABORATORY
100 North Senate Avenue, Room N055
Indianapolis, IN 46204
Telephone: (317) 232-3381
Fax: (317) 233-0908
Website: www.in.gov/iara/2341.htm

INSTRUCTIONS: Please complete all applicable fields and review to ensure they are completed correctly. Incomplete forms will be returned. Please see the complete price list on our website.

NOTE: All filming will be completed at the State Imaging and Microfilm laboratory and will meet the requirements of 60 IAC 2. Storage of master film in the Indiana Archives and Records Administration vault is provided at no additional cost.

AGENCY INFORMATION

Name of requestor	Telephone number of requestor ( )	Date of request *(month, day, year)*
Name of agency	Name of division	
Address of agency *(number and street, city, state, and ZIP code)*		

Project number	Activity number	Source number	Category number	Subcategory number	Locality number	Business unit	Fund	Department	Program number

Title of record series	Record series number	Number of boxes
Signature of requestor		Date signed *(month, day, year)*

REQUESTED SERVICES

Preservation Microfilming Services	Cost	Quantity	Total
☐ 16 mm – Standard size documents, up to legal size (8.5" x 14"), per image, minimum 1250 images	.03		
☐ 35 mm – Books, newspapers, etc. (Anything larger than 14"), per image, minimum 250 images	.205		
☐ 16 mm Diazo Negative Copy	11.00		
☐ 16 mm Process and Duplicate Only	13.35		
☐ 16 mm Silver Duplicate, Negative Only	29.00		
☐ 35 mm Diazo Negative Copy	17.00		
☐ 35 mm Process and Duplicate Only	19.93		
☐ 35 mm Silver Duplicate, Negative or Positive	32.00		
Scanning Services			
☐ Standard Size Black and White Document, per image	.025		
☐ Standard Size Color Document, per image	.12		
☐ Large Format Black and White Document, per image	.26		
☐ Large Format Color Document, per image	.52		
Image Conversion			
☐ Digital Files to Film (16 mm film)	32.50		
☐ Digital Files to Film (35 mm film)	52.50		
☐ Microfilm to Digital, 16 mm, per image	.02		
☐ Microfilm to Digital, 35 mm (Bi-Tonal), per image	.035		
☐ Microfilm to Digital, 35 mm (Gray Scale), per image	.14		
Other Services			
☐ Shipping – USPS, UPS	*Cost Varies*		
☐ Prep Work Charge, per Hour	20.00		
☐ 16 mm Jacket, per Jacket	.10		
☐ Jacket Loading, per Roll	25.00		
☐ Cartridge, Leader and Trailer	5.49		
☐ Optical Character Recognition (OCR) Service, per image	.035		
☐ Indexing, per Index Created	.10		
☐ Compact Disc, Jewel Case, and Label	4.43		

FOR LABORATORY USE ONLY

Date started *(month, day, year)*	Starting roll number	Date completed *(month, day, year)*	Ending roll number
Signature of Laboratory staff fulfilling request			Date *(month, day, year)*
Printed name of Laboratory staff		Title of Laboratory staff	

CERTIFICATION OF COMPLIANCE / VERIFICATION
State Form 42775 (RS / 6-15)

INSTRUCTIONS: 1. Type or print legibly.
2. Forward completed form to IARA, Records Management, IGCS W472.
3. Signature must be signed by hand.

ROLL NUMBER	AGENCY NAME	RECORD SERIES NUMBER	DOCUMENT NUMBER

CERTIFICATION OF COMPLIANCE

I hereby certify that this roll of microfilm meets the methods and procedures established by the Indiana Archives and Records Administration and is consistent with 60 IAC 2 as promulgated by the Oversight Committee.

Signature of supervisor	Printed name of supervisor	Date *(month, day, year)*

Final destination of the film

☐ Security ☐ Archives ☐ Duplicate ☐ Agency

FRAME BY FRAME INSPECTION

I hereby certify that this roll of film was inspected and verified frame by frame, according to the methods and procedures established by the Indiana Archives and Records Administration and is consistent with 60 IAC 2 as promulgated by the Oversight Committee. *(Negative responses explained below).* **This inspection to be performed by agency requesting filming.**

Name of agency

Signature of agency inspector	Printed name of agency inspector	Date *(month, day, year)*
Signature of agency supervisor	Printed name of agency supervisor	Date *(month, day, year)*

NEGATIVE RESPONSES EXPLAINED

Signature of supervisor	Printed name of supervisor	Date *(month, day, year)*

See Section 4.3 for more about services from the State Imaging and Microfilm Lab, and detailed instructions on how to use these forms.

State Form 56776 is available in the State Forms Online Catalog; State Form 42775 will be sent to you from the State Imaging and Microfilm Lab after any filming or imaging.

APPENDIX H: Records Disposition Notification (SF 16) and Do Not Destroy Records (SF 47167)

RECORDS DISPOSITION NOTIFICATION
State Form 16 (R16 / 9-19)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION
INDIANA STATE RECORDS CENTER
6400 East 30th Street
Indianapolis, IN 46219
Telephone: (317) 591-5326
E-mail: recordscenter@iara.in.gov

INSTRUCTIONS:
1. *Please type or print legibly.*
2. *Forward completed notification to address in the upper right corner of this form.*
3. *Signature must be signed by hand.*
4. *If this notification was sent to you by the Records Center, you have six (6) weeks to respond. Otherwise, the records will be destroyed automatically. You may fill out State Form 47167, "Do Not Destroy Records," and send to the Records Center along with this State Form 16, "Records Destruction Notification," if the records are not to be destroyed.*

These records will be destroyed in accordance with IC 5-15-5.1 and current retention schedule.

NOTE: Items marked with an asterisk (*) are required for billing purposes.

AGENCY INFORMATION

Name of agency	Name of division
Signature of Agency Records Coordinator	Date of signature *(month, day, year)*
Printed name of Agency Records Coordinator	

RECORDS INFORMATION

Records series number	Records series title		Latest date of records *(month and year)*
Disposition due date *(month, day, year)*	Total cubic feet of records	Disposition: ☐ Transfer to Archives ☐ Destroy	
Type of media ☐ Paper ☐ Electronic (digital file) ☐ Film ☐ Electronic (physical media)	Container / box number(s)	Location	Accession number *(if applicable)*

DESTRUCTION REQUEST

Request destruction by Records Center? ☐ Yes ☐ No				Request for shredding? ☐ Yes ☐ No				Project number
Activity number	Source number	Category number	Sub-category number	Locality number	Business unit *	Fund *	Department *	Program number *
If records will be destroyed by agency, *please sign.*						Date of destruction *(month, day, year)*		
Printed name								

FOR RECORDS CENTER USE ONLY

☐ **Approved** ☐ **Not Approved** *(see attached for explanation)* ☐ **Transfer to State Archives** *(do not destroy)*

Signature of Records Center staff	Date of signature *(month, day, year)*
Printed name of Records Center staff	

DISTRIBUTION: White – Records Center (file); Canary – Agency after disposal of records; Pink – Records Center transmittal; Goldenrod – With records

DO NOT DESTROY RECORDS
State Form 47167 (R2 / 6-15)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION
INDIANA STATE RECORDS CENTER
6400 East 30th Street
Indianapolis, IN 46219
Telephone: (317) 591-5326
Fax: (317) 591-5328

INSTRUCTIONS:
1. *Use this form if you have received State Form 16, "Records Destruction Notification," from the Records Center and the records may not be destroyed due to ongoing litigation or a pending audit.*
2. *Fill out this form completely and forward to the Records Center at the above address.*

AGENCY INFORMATION

Reason records may not be destroyed *(check one)*
- ☐ State Audit Pending
- ☐ Federal Audit Pending
- ☐ State / Federal litigation *(copy of court order attached)*
- ☐ Other: _____

New destruction date *(month, day, year)*	
Signature of Agency Records Coordinator	Date of signature *(month, day, year)*
Printed name of Agency Records Coordinator	

Instructions for completing Records Disposition Notification

1. **Agency and Division.**
2. **Agency Records Coordinator's signature and date.**
3. **Printed name of Records Coordinator.**
4. **Record Series Number:** From the appropriate records retention schedule.
5. **Record Series Title:** From the appropriate records retention schedule.
6. **Latest date of records.**
7. **Destruction due date:** month and year records became *eligible* for destruction/disposition.
8. **Total cubic feet of records to be disposed of:** a standard-size file box is 1 cubic foot.
9. **Disposition:** Agency staff should always check "Destroy" when filling this out. "Transfer to Archives" will only be used by Records Center staff for records stored in the Records Center.
10. **Type of media:** Paper/Film/Electronic/Other.
11. **Box number(s)/Location**: (For records stored at the Records Center, this will be filled out by Records Center staff.)
12. **Accession Number, if applicable:** Only applicable for records stored at the Records Center, in which case this information will be filled out by Records Center staff.
13. **Request destruction by Records Center? :** (Y/N)*
14. **Request for shredding? :** (Y/N)**
15. **Project # | Activity # | Source # | Category # | Sub-category # | Locality # | Business unit | Fund | Department | Program #**
    To be filled out by agency, but ONLY for shredding requests.
16. **If records will be destroyed by agency, please sign:** This should be the agency employee who performed the destruction, not necessarily the Records Coordinator.
17. **Printed name:** Of signee above.
18. **Date of destruction:** Actual date destroyed.
19. **Distribution:** Computer-generated forms do not need to be printed on colored paper; those references apply only to pre-printed 4-ply paper forms. However, agencies filling out SF 16 should always keep a copy for their own records before sending to the Records Center.

All other areas are for Records Center use.

* Courtesy destruction may be requested from the Records Center if an agency is unable to destroy its own records. Check the appropriate box and send the completed form to the Records Center, who will call to schedule a pick-up.

** The Archives and Records Administration provides confidential paper shredding bins on an ongoing monthly basis through their Confidential Shredding Program; SF 16 should not be used to initially request that service. Instead, contact the Records Center Manager directly at 317-591-5244 to set up a billing agreement, *then* use SF16 as directed by Records Center staff to document the records being shredded.

See Sections 4.4a and 5.2e for information on how the Record Disposition Notification is used by the Records Center, **and Section 7** for how and when an agency should fill one out.

See Section 4.4b for more about the Do Not Destroy Records notice.

APPENDIX I: Notice of Change of Agency Coordinator (SF 42035)

NOTICE OF CHANGE OF AGENCY COORDINATOR

State Form 42035 (R10 / 3-18)

Return completed notice to:	Type of coordinator
INDIANA ARCHIVES AND RECORDS ADMINISTRATION 402 W WASHINGTON ST RM W472 INDIANAPOLIS IN 46204-2739 or e-mail to: <fmd@iara.in.gov>	☐ Forms *(Forms only)* ☐ Records *(Records only)*

IMPORTANT NOTICE:
Indiana law [IC 5-15-5.1-10 (7)] requires that an Information Coordinator be designated by each agency.
Agency may prefer to designate two persons - one for Forms, one for Records.

Effective date of change *(month, day, year)*

Name and complete address of state agency		Agency number	Name of previous coordinator	
			Name of new coordinator	
Division			Working title of new coordinator	Telephone number
Name of agency head	Telephone number		E-mail address of new coordinator	Fax number
Signature of agency head			Signature of new coordinator	Date signed *(month, day, year)*

DISTRIBUTION: White - Indiana Archives and Records Administration; Canary - Agency Coordinator

Instructions:

1. **Type of coordinator:** check the box(es) to indicate whether this person will be your coordinator for agency records, State Forms, or both.
2. **Effective date of change**
3. **Name and address of state agency**
4. **Agency number:** (This is your agency's Business Unit number. For example, IARA is 062.)
5. **Name of agency head**
6. **Telephone number**: (of agency head)
7. **Signature of agency head:** An electronic signature is fine if they have that ability.
8. **Name of previous coordinator:** (If this form is a change for both forms and records, list both previous coordinators.)
9. **Name of new coordinator**
10. **Working title of new coordinator**
11. **Telephone number:** (of new coordinator)
12. **E-mail address of new coordinator**
13. **Fax number:** (of new coordinator)
14. **Signature of new coordinator:** An e-signature is fine here also, if they have that ability.
15. **Date signed**
16. **Mail (or e-mail) to the address indicated at the top of the form.**

See Section 9.2 for more about selection and duties of Agency Records Coordinators.

APPENDIX J:

Indiana Oversight Committee on Public Records Policy 20-01
Electronic Records Retention and Disposition

Applies to: Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives, they must adhere to this policy.

Purpose: To ensure electronic records are retained in a trustworthy, accessible, and appropriate manner.

Effective Date: 1/15/2020

Authority: Indiana Code 5-15-1-1 (a) and (b), Indiana Code 5-15-5.1-12, and Indiana Code 5-15-5.1-14.

Definitions:

Retention schedule means a Records Retention and Disposition Schedule approved by the Indiana Oversight Committee on Public Records.

Electronic records are stored in digital format on an information technology device and include both born-digital and digitized records.

Born-digital records are created in electronic format.

Digitized records are electronic copies of physical records and can include images and audiovisual information.

Physical records can be read without the aid of an information-technology device and include paper, film, and audio and video tapes.

Policy:

1) **General requirements:** Unless separate instructions are specified in the retention schedule, the following requirements apply to all records regardless of format:
   a) retention period before final disposition.
   b) confidentiality, access, and disclosure.
   c) final disposition: destruction or transfer to the Indiana Archives.
   d) confidential records must be destroyed according to IC 5-15-5.1-13.
   e) Critical Records as described by IC 5-15-5.1-1(d) must be microfilmed according to Indiana Administrative Code 60 IAC 2.

2) **Indiana Archives transfer:** Electronic records that are required to be transferred to the Indiana Archives according to their retention schedule must be
   a) created and maintained according to OCPR 20-02.
   b) transferred regularly on the timetable specified in the relevant record series.
   c) transferred in consultation with Electronic Records division staff.

3) **Agency retention:** Electronic records that are not required to be transferred to the Indiana Archives according to their retention schedule
   a) must be created and maintained by the agency according to OCPR 20-02 for the specified retention period.
   b) are exempt from retention schedule requirements to transfer records to the State Records Center.

4) **Destruction of digitized physical records:** Physical records which have been digitized may be destroyed if
   a) the terms described in Items 1-3 are met.
   b) the imaged records are verifiable authentic duplicates as described in OCPR 20-02.
   c) the terms in the Indiana Archives and Records Administration Electronic Records Guidelines are met.

5) **Destruction of born-digital records:** Born-digital records and their storage media may be destroyed if the terms in Item 1 are met.

6) When its provisions are met, this policy serves as the "written consent of the administration" described in IC 5-15-5.1-14.

APPENDIX K:

Indiana Oversight Committee on Public Records Policy 20-02
Electronic Records Technical Standards

Applies to: Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives they must adhere to this policy.

Purpose: To establish consistent standards for the creation and maintenance of public electronic records.

Effective Date: 1/15/2020

Authority: Indiana Code 5-15-5.1(a)(4).

Definitions:

Retention schedule means a Records Retention and Disposition Schedule approved by the Indiana Oversight Committee on Public Records.

Electronic records are stored in digital format on an information technology device and include both born-digital and digitized records.

Born-digital records are created in electronic format.

Digitized records are electronic copies of physical records and can include images and audiovisual information.

Physical records can be read without the aid of an information-technology device and include paper, film, and audio and video tapes.

Discoverable refers to the findability of electronic records during information requests, including during litigation.

Policy:

1) **Born digital records:** Electronic records must remain accessible for the duration of the retention period specified in their retention schedule. Accessible means that all electronic records must be
   a) readable
      i) by current, commonly available hardware and software OR
      ii) converted by the originating agency if the existing software or hardware is no longer current or commonly-available.
   b) stored appropriately
      i) in an electronic system accompanied by documentation of release notes, functionality, and backup provisions OR
      ii) on physical storage media that is descriptively labeled and readable by commonly available hardware and software.
   c) discoverable
      i) within a reasonable period of time and without excessive effort;
      ii) via original metadata and any metadata that is necessary to understand the content and structure of the record.
   d) properly maintained by the originating agency which includes
      i) migrating when the current storage medium and/or records management system nears the end of its practical lifespan.
      ii) avoiding proprietary storage systems, records management systems, or file formats.
   e) retained in accordance with OCPR 20-01.
2) **Digitized records:** Records which are digitized must adhere to Item 1 of this policy as well as
   a) Indiana Archives and Records Administration Electronic Records Guidelines
   b) act as authentic duplicates, meaning digital images or data must be verified against original records for completeness and accuracy.
3) **Critical records:** Unless alternate arrangements are approved in the retention schedule, Critical Records must be microfilmed according to Indiana Administrative Code 60 IAC 2
   a) regardless of their initial format
   b) in addition to any conversion to electronic format

   before the original hard copies may be destroyed.

CONTACT INFORMATION

www.IN.gov/iara

ADMINISTRATIVE OFFICES

W472 IGCS
402 West Washington Street
Indianapolis IN 46204

Voice: 317-232-3380
Fax: 317-233-1713

Hours: 8 a.m. to 4:30 p.m.

STATE RECORDS MANAGEMENT

Voice: 317-232-3285
E-Mail: rmd@iara.in.gov

ELECTRONIC RECORDS PROGRAM

Voice: 317-232-4530 or 317-232-3658
E-Mail: erecords@iara.in.gov

INDIANA ARCHIVES

6440 E. 30th Street
Indianapolis IN 46241

Voice: 317-591-5222
Fax: 317-591-5324

E-Mail: archives@iara.in.gov

Hours: 8 a.m. to 4:30 p.m.

STATE RECORDS CENTER

6400 East 30th Street
Indianapolis IN 46241

Voice: 317-591-5326
Fax: 317-591-5328

E-Mail: recordscenter@iara.in.gov

Hours: 7 a.m. to 3:30 p.m.
(closed for lunch 11:30 a.m. to 12:30 p.m.)

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7 a.m. to 3:30 p.m.