

**Archives and Records Administration
Indiana State Records Center**

Working with the State Records Center

**A Guide for
Records Coordinators
and
Other Agency Staff**



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Basic Information You Need To Know About The State Records Center And Your Records

Underlined items throughout this Handbook refer to official State Form Names or Numbers, or to important terms described in this Basic Information section.

Bold type items are used for emphasis, and to indicate required information on certain forms.

Italics are used for general emphasis, but not to indicate items of specific importance.

What the State Records Center Does

The Records Center picks up and stores certain types of inactive records for State agencies. The Records Center will process reference requests when you need one of those records back. The Records Center staff will either deliver the file or box to you, mail it through interdepartmental mail, or make it available for you to pick up at the Records Center. The Records Center will destroy your records when their approved period for storage is over, after having gained permission from your agency. As a courtesy to State agencies, the Records Center will also pick up records from your agency that are ready to be destroyed, and handle their disposal.

Each of these services depends on a different State Form that needs to be filled out and approved, and each service requires specific procedures for filling out the forms and preparing the records. These forms and procedures are explained in detail in this Handbook.

If you need help with any Records Center procedures, feel free to call (317) 591-5326 between the hours of 8:00 a.m. to 4:30 p.m., Monday through Friday.

Record Series Number: the First Thing You Need To Know

When working with the State Records Center, the first and probably the most important thing you need to know about your records is their Record Series Number. This is the official number that identifies the *type* of records you are dealing with. Some Record Series Numbers are approved for storage at the Records Center, and some are not. The Record Series Number is not the State Form number, and it does not refer to any number contained within the title that your agency uses for your records. It is a unique number assigned to each different *type* or *similar group* of records. You may be working with several different Record Series Numbers, and each one will have different rules for storage and destruction.

Agency Records Coordinator: the Person Who Can Help

If you do not know your Record Series Number(s), talk to your agency's Records Coordinator. This is the person officially designated by your agency to coordinate all storage, transfer, and destruction of public records. Talk to your Records Coordinator even if you *do* know your Record Series Number. He or she will have access to the Retention Schedule for your agency, and can tell you about Records Center procedures, and any recent changes. Your Records Coordinator can help you with instructions on how to prepare the correct forms for storing, retrieving, and destroying records, and you will need the Records Coordinator's signature on any record transmittal or destruction forms. Some divisions within agencies have their own informal Records/Information Coordinators, but only the official Records Coordinator for the entire agency can sign the required forms.

If you do not know who your agency's Records Coordinator is, you can view the list of all Agency Records and Forms Coordinators online at <http://www.in.gov/iara/2737.htm>.

If *you* are your agency's Records Coordinator, and you do not know the correct Record Series Number for the type of records with which you are working, or need any other assistance with records management, you can contact the Records Management division at the number listed above, for help.

Retention Schedule: Everything Else About Your Records

A **Retention Schedule** is a list of **Record Series Numbers** that was developed by your agency, and the Records Management division of the Archives and Records Administration, in order to comply with Indiana laws and codes concerning public records.

For each **Record Series Number**, the **Retention Schedule** will list:

- **Record Series Title** : the **official** title that should be used with your **Record Series Number**
- Agency retention: how long the records should be stored in your agency once they become inactive
- Records Center retention: whether the records are approved for Records Center storage, and how long they should be stored, if they are approved
- **Total Retention Period**: total amount of time the records must be stored after they become inactive, both in-agency and at the Records Center. You should use **this number** to calculate the possible destruction dates of your records
- Disposal instructions: What is supposed to be done with the records at the end of their **total Retention Period**
- Any other special requirements, such as microfilming, State Board of Accounts Audit requirements, additional copies, etc.

You may have a copy of this **Retention Schedule**; your **Records Coordinator** should *definitely* have a copy. Always make sure that you are using the most updated version that exists; important items like retention periods can change between versions.

Transferring Records to the Records Center For Storage

Preparing the Records in Boxes

If you have checked your **Record Series Number** on the **Retention Schedule**, and

- Your records are approved to come to the Records Center for storage
- All requirements listed in the **Retention Schedule** have been met (required microfilm copies have been made, records have been audited by State Board of Accounts, etc.)
- Your records have reached the end of their Agency retention
- Your records are not already past their destruction date (if so, see the section on Courtesy Destruction)

then you are ready to begin preparing boxes for transfer and storage.

You will need to make sure the records are boxed and filed properly. **ONLY** records from a single **Record Series Number** can go in the same box, and you should keep boxes with different **Record Series Numbers** separate from each other:

Which Boxes to Use

You **MUST** use only the 1-cubic foot boxes that are approved for Records Center storage, unless your records are warrants (checks). **The 1-cubic foot boxes are State Form 46634**, available directly from the Records Center - (317) 591-5326. Only the **white** boxes Records Center boxes, with carton labels pre-printed on both ends, will be accepted. Used white boxes are acceptable, as long as they are in good condition, but brown boxes will no longer be accepted for new shipments of records.

If your records are warrants (checks), contact your **Records Coordinator** or the Records Center (317) 591-5326, to determine the proper boxes to use.

Which Labels to Use

Instructions for *how* to fill out the labels are contained later in this Handbook, but you will need to know *which* labels to fill out, first! Only fill out the label on **one** end of each box. If the pre-printed label on one end of the box has old or incorrect information on it, cross that information off and use the blank label on the other end. If both ends have been used, **pressure sensitive Records Center labels, State Form 25186**, are available from PEN Products.

ONLY these labels are acceptable; no photocopies or home-made labels can be accepted. Labels may not be taped to the boxes, because tape will dry in the Records Center's climate, and taped-on labels will fall off. When you use a pressure sensitive label, also make sure the old information has been crossed off the other end of the box!

If your records are warrants (checks), contact your **Records Coordinator** or the Records Center-- (317) 591-5326, to determine the proper labels to use.

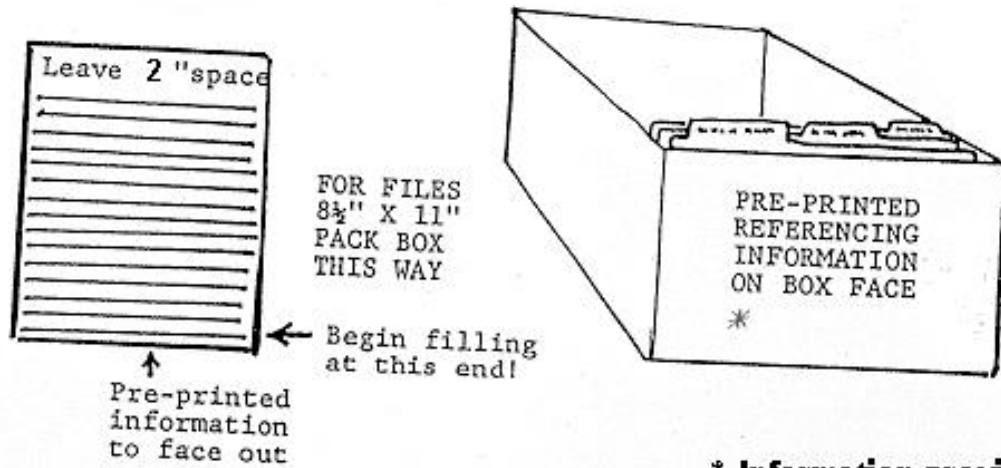
How Records Should Be Filed

(See diagrams in Pictures 1, 2, and 3.)

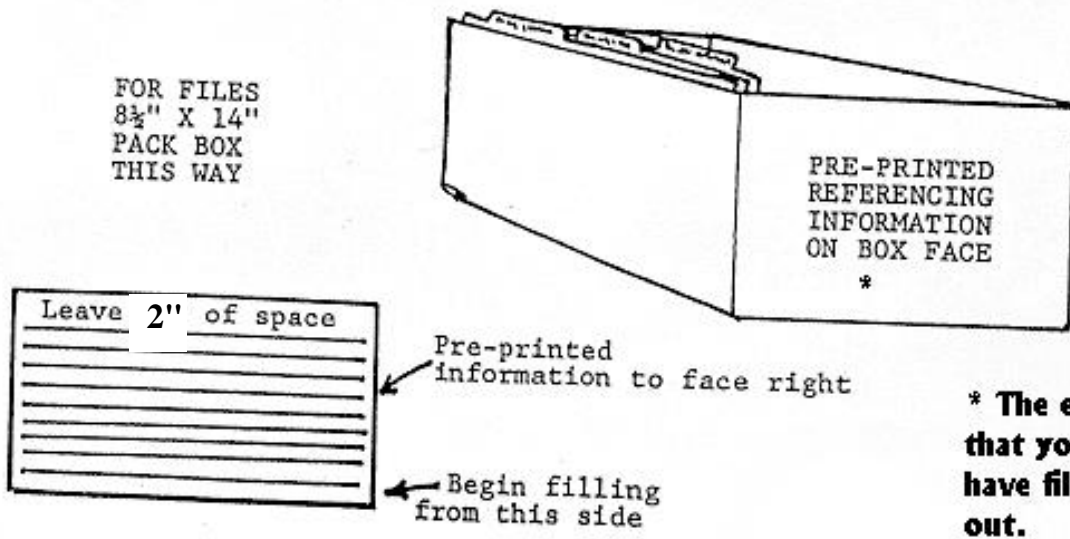
1. Before placing folders containing records in the box, fold **down** the flaps to reinforce the sides of the container. These flaps should not be used as lids!
2. Place the file folders in the container with the tabs facing the same direction:
8 x 11 folders should all face towards the end of the box containing the label you filled out. 8.5 x 14 folders should all face towards the side of the box that is just to the left of the label you filled out.
3. Make sure that the files are all in order within the boxes, and that all the boxes in one **Record Series Number** use the same filing system.
4. If tabs or dividers are used to separate dates, or other groups, file the applicable record folders **behind** each divider (not in front of it), and always place folders in the storage container standing up. The only thing that may be laid flat in the box is large computer paper that will not fit in the box unless it is stacked.
5. Never interleaf documents within the containers. This practice may cause damage to the records during the referencing process.
6. Always file the records so that the file name or number is *up*, where it may be more easily read.
7. Never use rubber bands to hold groups of documents together, because they deteriorate quickly in higher temperatures. Instead, use dividers or accordion files to keep large groups of records intact.
8. Never overfill storage containers. This practice causes stress to the seams and corners of the box. **At least 2 inches of space should remain at the rear of the container** to ensure sufficient space to safely reference the records contained or to re-file records which were not present when the container was packed.
9. Do **NOT** tape the lids onto the boxes.

Picture 1.

Preparation of records



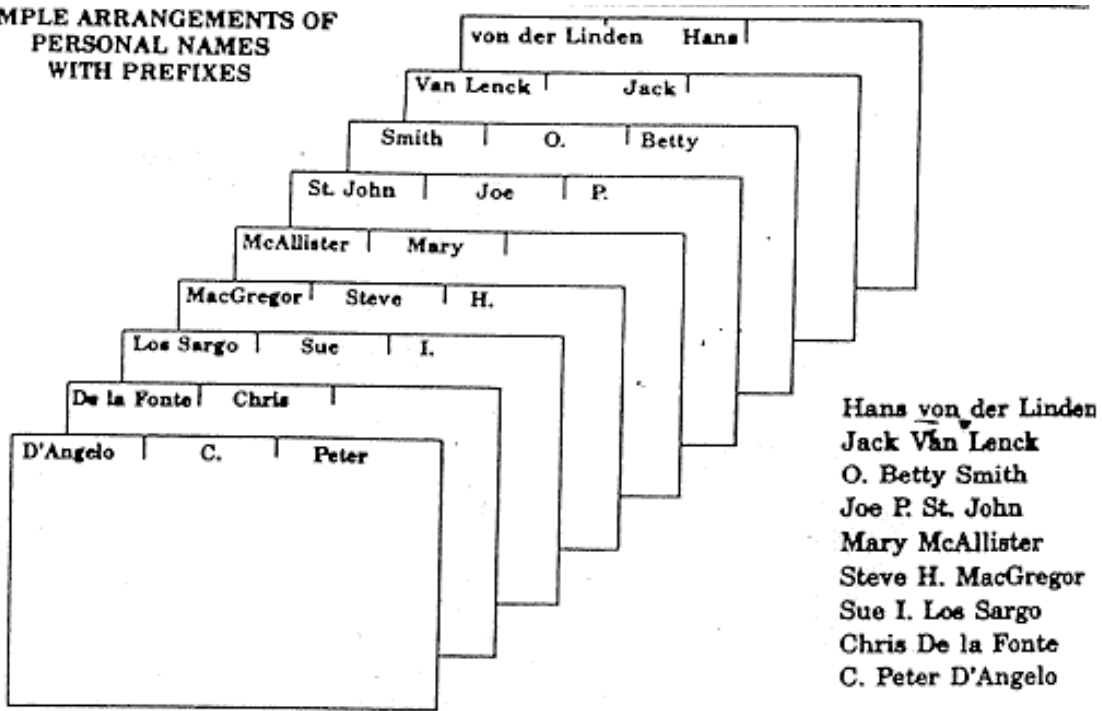
*** Information provided
by agency: the end you
have filled out.**



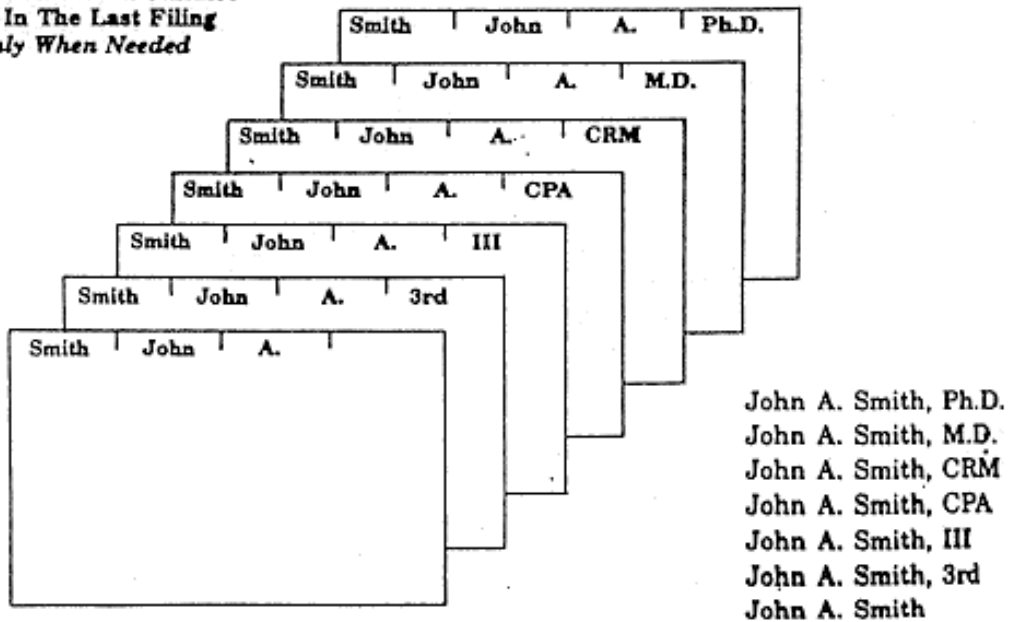
*** The end
that you
have filled
out.**

Picture 2.

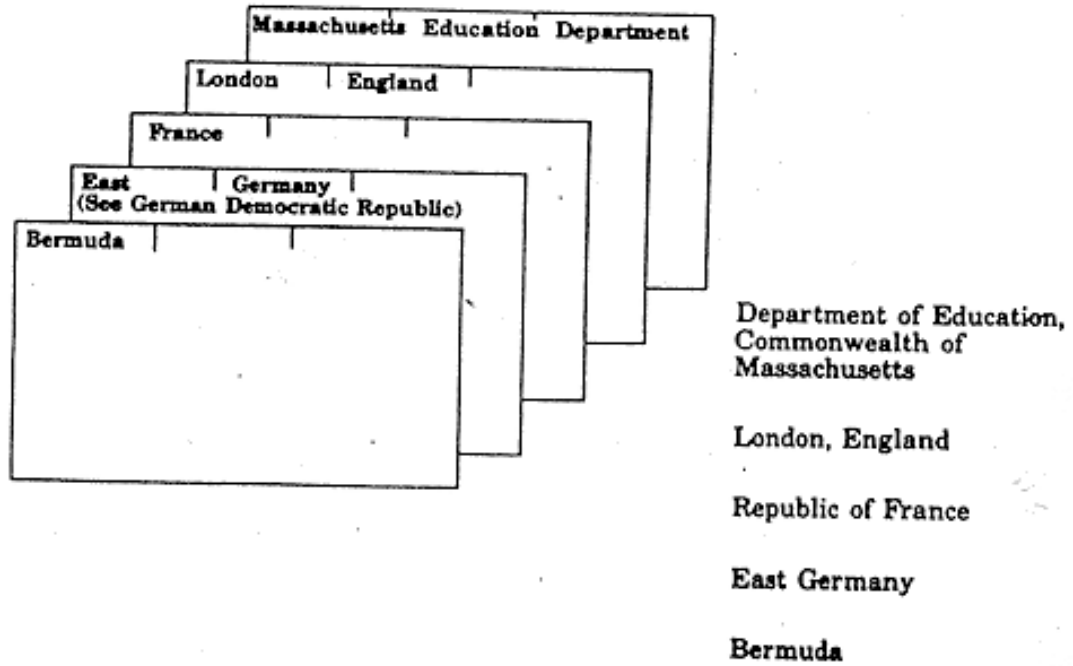
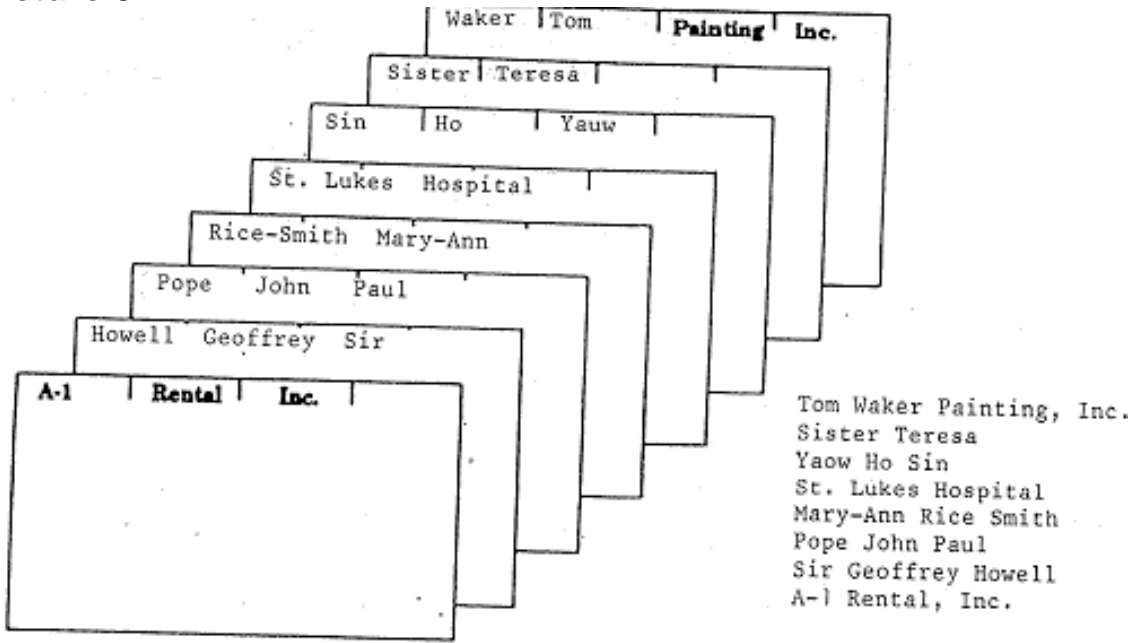
**SAMPLE ARRANGEMENTS OF
PERSONAL NAMES
WITH PREFIXES**



**Professional Titles and Suffixes
Are Used In The Last Filing
Unit Only When Needed**



Picture 3.



Filling Out the Box Label

Print Legibly. Use permanent black marker only. You will use the information on the Box Labels to fill out the Record Transmittal and Receipt form later on, and that information **MUST** match, for each box, so make sure *you* can read your labels, as well as the Records Center staff!

To fill out the Box Label, you will need to know the Record Series Number, and three things from the Retention Schedule for that Record Series Number: the Record Series Title, the Total Retention Period, and whether the records are to be **destroyed** at the end of that period, or **transferred to the Indiana Archives**.

Picture 4 shows the Box Label and the numbers that correspond to these instructions. Fill out everything on the label **except** Box 7, the Box Number, first. Special instructions for numbering your boxes are listed after Picture 4. All items in bold type are **required**.

Box 1: **Agency**

Box 2: Division

Box 3: **Official Record Series Title**

Box 4: **Record Series Number**

Box 5: **Inclusive dates** (date of oldest record in box to date of newest record in box). You may advance the ending dates to the end of the calendar or fiscal year if you choose, in order to have all boxes from the same year destroyed at the same time. (If the newest record is from 8/98, you may list it as 12/98, or 7/99, if you wish.)

Box 6: Arrangement of files. Very helpful to Records Center staff when retrieving files.

Box 7: **Box (or "Carton") Number.**

Box 8: Notes, such as specific box contents. Helpful to Records Center staff when retrieving files.

Box 9: **Destruction date.** To figure the correct Destruction Date, add the Total Retention Period to the ending date (newest records) of the box's contents, and then add one month. In other words, if the newest records in the box are from 8/98, and the Total Retention Period is 10 years, the Destruction Date should be 9/08. If the records date to the end of the calendar year, remember to add that extra month: 12/98 plus 10 years would equal a Destruction Date of 1/09. **If the Retention Schedule says that the records should be transferred to the Indiana Archives after their Retention Period is over, write " Archives" in this box, after the date.**

Box 10 and 11: Records Center Use Only.

HIPPA Stickers

PHI Florescent Red Labels - Per HIPPA guidelines, it is required that PHI (*Protected Health Information*) labels be placed on all cartons that contain health information. It has been determined that the appropriate place for these labels will be upper left corner of the side with the carton identification label. Also a second label should be placed in the coordinating corner of the lid.

Picture 4.

Box Label, State Form 25186

Agency 1		Barcode (CPR Use)	
Division 2		11	
Records Series Title 3		Record Series No. 4	
5 Inclusive Dates		Arrangement of Files	
From	To	<input type="checkbox"/> Numerical, From: <input type="checkbox"/> Alphabetical, From: <input type="checkbox"/> Chronological, From:	
6		6	
Carton Number 7	Notes 8		
Location Number 10		Destruction Date (month/year) 9	

State Form 25186 (R3 / 1-98) Instructions: to be used with State Form 48834 (R / 11-97)

Special Instructions For Numbering Boxes

Arrange all of the boxes chronologically within each **Record Series Number**, based on their destruction date, and, for boxes with the same destruction date, their contents' ending date. *Then* number the boxes, in that same chronological order! (If you started numbering with Box 1, then Box 1 would be the oldest box, Box 2 the next oldest, etc.)

You don't have to start at "1," but whatever number you start with, keep numbering in order for all of the boxes with that **Record Series Number**. Do not start over for boxes from a new year, or a new section. Do not start over with #1 even when you are sending a completely new shipment of a record series, if you have previously shipped that series to the Records Center. Instead, keep track of the last number you used, and begin the new shipment of that record series with the next number.

Only start over when you reach a new **Record Series Number**. When you reach a new **Record Series Number**, do start over, or start a different numbering system.

You can include letters in your box numbering system (such as "C-141"), but if you do, please put the letters first, and the number last; this helps Records Center staff when they are searching for a particular number.

The Record Transmittal and Receipt Form (State Form 23628)

When your boxes have been prepared, and the labels, including box numbers, have been filled out, you will be ready to prepare the **Record Transmittal and Receipt** form. This form lists all of the boxes that you wish to send to the Records Center for storage. It must be submitted to the Records Center and approved by the Records Center staff, before your boxes can be picked up. State Form 23628 is available from PEN Products, or online at <http://www.in.gov/iara/23628.doc>.

Filling Out the Record Transmittal and Receipt

For each group of boxes with the same **Record Series Number**, you must fill out one set of **Record Transmittal and Receipt** forms. The boxes **must** be listed in **numerical order** by Box Number, **and chronological order** by destruction date and contents' ending date. (This should be the **same** order!) This is why it is essential to arrange your boxes chronologically first, and *then* number them. This order should extend to all pages for the same **Record Series Number**. When you begin a new **Record Series Number**, you must start a new page, and start numbering the pages again from "Page 1".

The information for each box on the **Record Transmittal and Receipt** form should come from the **Box Label** for that box, so do not skip ahead to these instructions before filling out your **Box Labels**!

If the information on the **Record Transmittal and Receipt** does not match the **Box Label**, the boxes cannot be picked up.

Picture 5 shows the **Record Transmittal and Receipt** form and the numbers that correspond to these instructions.

Everything except signatures, Page Numbers, and "Archives" note **MUST** be typed. All boxes on the form are required, except the "Notes" box, which is for your use.

- Box 1: Agency and Division that is transferring the records, and your return address. If the form must be sent back for correction, Records Center staff must have your **office address**, not just the address where the records are actually located.
- Box 2: Address where the records are located. If it is the same as the address in Box 1, you may simply type "Same as Above Address."
- Box 3: Signature of the **official** Agency **Records Coordinator**
- Box 4: Date the form was signed by the **Records Coordinator**
- Box 5: Name of the person actually transferring the records, i.e. you, or your supervisor
- Box 6: Job title of the person transferring the records.
- Box 7: Phone number of the person transferring the records
- Boxes 8-10: RECORDS CENTER USE ONLY. Records Center staff person will sign his/her name, title, and date that records are received.
- Box 11: **Official Record Series Title** (Box 3 on the **Box Label**)
Remember: **only one Record Series Name and Number may be used on a single set of transmittal pages**. It is therefore only necessary to type the name once on each page, on the first line under Box 11.
- Box 12: **Record Series Number** (Box 4 on the **Box Label**)
Again, it is only necessary to type the **Record Series Number** once on each page.
- Box 13: If the **Retention Schedule** says that the final disposal for the records is "Transfer to Indiana Archives," print or type "ARCHIVES" in the blank space in Box 13.
- Box 14-15: Destruction Dates (Box 9 on the **Box Label**)

Remember: these MUST be listed in chronological order, by year, and then by month.

If the Destruction Date is this month, or earlier, **the box cannot be accepted for storage, and should not** be listed on the **Record Transmittal and Receipt**. If this is the case, see the section on Courtesy Destruction.

Box 16: Inclusive dates of the records in each box (Box 5 on the **Box Label**)

Box 17: Notes, for your use. Anything you think you will need to know about the box contents in order to help you identify which box your file is in! The Records Center does not index this information; its only purpose is to help *you*, so be as specific as you need to be.

Box 18: Box Number (Box 7 on the **Box Label**)

Only one box per line, and only list each box once!

Boxes MUST be listed consecutively.

Numbers should not be re-used within the same **Record Series Number**. (The next time you send a shipment of the same Record Series, please continue on from where you left off with the numbering system. If the last box on the previous shipment was #10, make the first one from the new shipment #11.)

Box 19: Accession Number: RECORDS CENTER USE ONLY. The Records Center will fill this out, but it will help immensely for you to understand what it is: this is an identification number assigned to each individual set of **Record Transmittal and Receipt** pages whose boxes were picked up at the same time, with the same **Record Series Number** (Pages 1 of 5 through 5 of 5, for example). So when you tell Records Center staff the Accession Number of a box, you are telling them **exactly** which **Record Transmittal and Receipt** form the box is listed on.

Box 20: Location: RECORDS CENTER USE ONLY. This area will usually remain blank. A copy of the form with the location information attached as a computer printout will be returned to the Agency **Records Coordinator**. This information should be shared with or passed on to the Division which transferred the records. If you do not receive location information for boxes you have sent to the Records Center, contact your **Records Coordinator**.

Box 21: Type or print the page number and the total number of pages **FOR EACH RECORD SERIES NUMBER YOU ARE TRANSFERRING**. Start over with "Page 1 of" when you begin numbering pages for a new **Record Series Number**.

The "Audited" and "Microfilmed" boxes should be checked as appropriate, only if those items are required by the **Retention Schedule**.



RECORD TRANSMITTAL AND RECEIPT

State Form 23828 (R3 / 4-11)

AUDITED YES NO
MICROFILMED YES NO

PAGE NO. TOTAL PAGES
OF

- INSTRUCTIONS:**
- This transmittal must be typed in order to ensure accuracy and legibility.
 - Complete and send entire form to the Records Center prior to the intended transfer date.
 - A receipt will be given at the time the records are transferred.
 - Location information will be sent to the agency upon completion of shelving.

AUTHORIZATION TO TRANSFER RECORDS

Signature of information coordinator **3** Date signed (month, day, year)

Name of employee transferring records **5**

Title **6** Telephone number **7**

RECEIPT OF RECORDS

Signature of records center employee receiving records **8** Date signed (month, day, year)

Title **10**

Restrictions to access Yes No

4

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TO STATE OF INDIANA
RECORDS CENTER
6400 E. 30th ST
Indianapolis, IN 46219
Telephone: 317-591-5326
Fax: 317-591-5328
E-mail: recordscenter@icor.in.gov

FROM Complete name and address of office of origin **1**

Location / address where records may be picked-up **2**

RECORDS DATA

RECORDS SERIES NAME	RECORDS SERIES NUMBER	DISPOSAL DATE			DATES	NOTES	CARTON NUMBER	TO BE COMPLETED BY THE RECORDS CENTER		
		MONTH	YEAR	YEAR				ACCESSION NUMBER	RANGE	ROW
11	12	14	15	16	17	18	19			

20

DISTRIBUTION: White - Records Center; Canary - Return to agency with location information; Pink - Records Center; Goldenrod - Return to agency

Picture 5.

Submitting the Record Transmittal and Receipt Form

If you are the **Records Coordinator**, and someone has submitted a **Record Transmittal and Receipt** to you, check it to make sure that the instructions for filling it out were followed correctly.

You now have two options for submitting the **Record Transmittal and Receipt**.

Electronic format:

1. Fill out the Microsoft Word version of the form, which can be downloaded here: <http://www.in.gov/iara/23628.doc>
2. Create a separate file for each set of boxes with the same **Record Series**.
3. The **Records Coordinator** should review the forms and type his/her name in the box provided.
4. Email the filled-in form(s) to RecordsCenter@iara.in.gov. The **Records Coordinator** MUST be the one to send the e-mail.

Paper format:

When you have completed the paper **Record Transmittal and Receipt** form, make sure your **Records Coordinator** has signed it. Paperclip each set of forms with the same **Record Series** together, and mail all forms to the Records Center at

Archives and Records Administration
State Records Center
6400 East 30th St.
Indianapolis, IN 46219

The forms can be sent through interdepartmental or U.S. mail.

What happens next:

The Records Center staff will check each form to verify that the information is correct according to the **Retention Schedule**. Items that will need correction (so check these before you send the forms) :

- Paper pages should be signed by your agency's official **Records Coordinator**; electronic files should come from the **Records Coordinator**'s e-mail address.
- **Record Series Number** MUST BE approved for Records Center transfer - this is not a correctable issue, unless you have merely listed the wrong number for your records.
- **Record Series Number** and **Title** must match.
- The agency retention period listed in the **Retention Schedule** must be over.
- Requirements such as State Board of Accounts Audit or microfilming must have been met.
- Destruction dates must be correctly calculated.
- Boxes that are past their destruction date should not be listed. They should be removed and added to a **Destruction Notice** (State Form 16); see the section on Courtesy Destruction on page 17.
- Boxes must be listed in numerical and chronological order.
- Only one **Record Series Number** may be listed on a page.
- Box Numbers may not be repeated within the same set of pages.
- None of the required areas should be left blank.

If corrections are needed:

1. Records Center staff will make them and contact you with a corrected version. For electronic submissions, this will arrive by e-mail. For paper submissions, the method will depend on the extent of the corrections required; minor changes can be conveyed by an e-mail note or phone call, while major corrections will require sending a paper copy back to you.
2. Records Center staff will wait for a reply from you indicating that your boxes have been corrected to match the corrected transmittal form.

Pick-up of Records for Storage

Once Records Center staff have verified that your **Record Transmittal and Receipt** form is correct (or they have made the necessary corrections and received your confirmation that you have corrected the boxes to match), your records will be placed on the schedule for pick-up.

It may take several weeks for the records to be picked up, not counting any time spent on correcting the forms. Pick-up time depends on how many different agencies have submitted **Record Transmittal and Receipt** forms, and availability of staff.

You will be called at least one day prior to pick-up of records; Records Center staff will make every attempt to give you more notice than that, but pick-up schedules can change due to many last-minute emergencies, vehicle breakdowns, downtown traffic, etc.

To get your records ready for pick-up:

1. Make sure that the boxes are in an area that Records Center staff can reach reasonably easily; this includes available parking for a large box truck. Records in the office should be as close to the front of the office as possible, because Records Center staff will need to bring a cart or pallet jack into your office, and will need as much room as possible to move it.
2. Make sure the boxes are stacked in the order in which they are listed on the **Record Transmittal and Receipt** form, and placed with the **Box Labels** facing OUT! Records Center staff will match each box to its listing on the form, and the sooner they can read the information on the boxes, the sooner your records will be picked up.
3. Make sure the boxes are clearly designated for pick-up by the Records Center, and make sure someone who knows where the boxes are located, and which boxes are which, is present on the day arranged for pick-up. If you have boxes for both storage and destruction (instructions for destruction are listed later in this Handbook), make sure these are kept separate from each other, and clearly designated as to which is which.
4. Make absolutely sure that your boxes and labels are the approved State Forms, that the information on your **Box Labels** matches the information on the **Record Transmittal and Receipt**, and that your **Box Labels** are filled out legibly in black marker.

If any of the items in number 4 are not correct, or the boxes are simply not ready at the time arranged for pick-up, your **Record Transmittal and Receipt** form(s) will be returned to you at that time, and the boxes will not be picked up until the forms have been sent back to the Records Center with an indication that the problems with the boxes have been corrected.

If the boxes are picked-up, a Records Center staff member will sign and date boxes 8, 9, and 10 on the **Records Transmittal and Receipt** form, and give the goldenrod copy to you or your representative as a receipt of pick-up.

Yellow **Record Transmittal and Receipt** with Locations

After your boxes have been picked up and given a location in the Records Center, you or your **Records Coordinator** will receive the yellow copy of the **Record Transmittal and Receipt**, with a location printout attached. This yellow copy will contain the Accession Number assigned by the Records Center. Keep all pages with the same Accession Number together!

The location printout will contain most of the same information as the **Record Transmittal and Receipt** form, arranged slightly differently. What you need to pay most attention to is the number in the "NEWLOC" column for each box. This is the current location of that box, and it is the one you should use when requesting files from the box (described later in this Handbook).

Keep the yellow copies and printouts together, and file them in the manner that is easiest for you to use; if you wish to match the way they are filed in the Records Center, it would be by **Record Series Number**, and then by Accession Number.

You may occasionally receive updated location printouts, if boxes need to be moved within the Records Center. If this happens, remove the old printout from the yellow form, and attach the new one.

Courtesy Destruction

Preparing the Records Destruction Notification (State Form 16)

Whether you will be destroying your own records, or you are requesting that Records Center perform the destruction for you, a Records Destruction Notification must be filled out and sent to the Records Center.

Therefore, you will need to prepare and send State Form 16 to the Records Center, at 6400 E. 30th St, Indianapolis. If courtesy destruction is requested, the Records Center Staff will contact you to arrange pickup of the records, just as they do for records to be stored.

You prepare the Records Destruction Notification with the same information you would use to prepare a Record Transmittal and Receipt: the Record Series Number, and the Retention Schedule.

Check the Retention Schedule and be sure that the records are eligible for disposal according to their date, that all other requirements, such as microfilming and auditing, have been met, and that the records are to be destroyed, and not sent to the Indiana Archives. (If they are to be sent to the Indiana Archives, contact the Indiana Archives at (317) 591-5222 for information about how to arrange transfer.)

Picture 6 shows the Records Destruction Notification. Required information is listed below.


Please type the information if at all possible, or fill out very neatly in black ink. Attach a note with your name and telephone number, as well as any additional notes about the location of the boxes.

- 1: Name of agency
- 2: Name of division
- 3: Signature of agency records coordinator
- 4: Date of signature
- 5: Printed name of agency records coordinator
- 6: Record Series Number
- 7: Record Series Title
- 8: Latest date of records (most recent record in box: month and year)
- 9: Destruction Due Date (line 8 plus retention listed in Records Retention Schedule)
- 10: Total cubic feet (boxes) of records to be destroyed.
- 11: Request for Courtesy Destruction? (Check the Yes box, in this case)
- 12: Box number(s)
- 13: Location (where Records Center will pick up boxes)

The rest of the form is for Records Center staff use, and will be filled out or left blank as applicable.

NOTE: The Archives and Records Administration also provides confidential paper shredding services to State agencies within Marion County; this is a fee-based service and is NOT part of the standard Courtesy Destruction process. More information on that program can be found here: <http://www.in.gov/iara/3105.htm>.

Picture 6.

 RECORDS DESTRUCTION NOTIFICATION <small>State Form 16 (9/12 / 12-12)</small>	INDIANA COMMISSION ON PUBLIC RECORDS INDIANA STATE RECORDS CENTER <small>6405 East 50th Street Indianapolis, IN 46219 Telephone: (317) 591-5326 Fax: (317) 591-5325</small>	
<p>INSTRUCTIONS:</p> <ol style="list-style-type: none"> 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. <p><i>These records will be destroyed in accordance with I.C. 5-15-5.1.</i></p>		
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) _____
Destruction due date (month, day, year) _____		Total cubic feet of records to be destroyed _____
		Request for courtesy destruction? <input type="checkbox"/> Yes <input type="checkbox"/> No
Box number(s) _____	Location _____	Accession number (if applicable) _____
		Request for shredding? <input type="checkbox"/> Yes <input type="checkbox"/> No
Destroyed by (signature): _____		Date of destruction (month, day, year) _____
Used only for the ICPR Confidential Shredding Program: http://www.in.gov/icpr/3105.htm		
Printed name _____		
<small>* Required field for billing purposes.</small>		
FOR RECORDS CENTER USE ONLY		
<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved (see attached for explanation) <input type="checkbox"/> Transfer to State Archives (do not destroy)		
Signature of Records Center staff _____		Date of signature (month, day, year) _____
Printed name of Records Center staff _____		
<small>DISTRIBUTION: White – Records Center (file); Canary – Agency after disposal of records; Pink – Records Center transmittal; Goldenrod – With records</small>		

Pick-up of Records for Courtesy Destruction

The boxes must be State Form 46634, just like boxes being sent for storage. You should:

1. Make sure that the boxes are in an area that Records Center staff can reach reasonably easily, both when parking a large truck, and using a cart or pallet jack in your office.
2. Make sure the boxes are stacked in the order in which they are listed on the **Records Destruction Notice**, and placed with the **Box Labels** facing OUT!
3. Make sure the boxes are clearly designated for pick-up by the Records Center, and that someone who knows where the boxes are located, and which boxes are which, is present on the day arranged for pick-up. **If you have boxes for both storage and destruction, make sure these are kept separate from each other, and clearly designated as to which is which.**
4. Make absolutely sure that your boxes and labels are the approved State Forms, that the information on your **Box Labels** matches the information on the **Records Destruction Notice**, and that your **Box Labels** are filled out legibly in black marker. If any of the items in number 4 are not correct, or the boxes are simply not ready at the time arranged for pick-up, your **Records Destruction Notice(s)** will be returned to you at that time, and the boxes will not be picked up until the forms have been mailed back to the Records Center with an indication that the problems have been corrected.

Requesting Records from the Records Center

When you need a file that is stored at the Records Center, you can request it back using a **Request for Record** form (State Form 24019, R4).

Procedures For Requesting Records

1. The Records Center will only honor **Requests for Record** which are submitted by the agency holding title to those records.
2. **Only one file, document, or box can be listed on each Request for Record.** One copy of the Request is placed in the box, or on the shelf, to act as an "Out" slip, so each request must only refer to one item.
3. All information requested on the **Request for Record** must be provided in as complete and legible a manner as possible. Typed requests are preferred. Be sure all four sheets of the 4-ply form are legible. Occasionally the chemicals do not transfer and some sheets cannot be read. In that case, carbon paper should be used.
4. Keep the top copy. This will enable you to keep track of your requests.
5. Send the three bottom copies to the Records Center. Two copies will be kept by the Records Center, and one, the yellow copy, will be attached to the requested document. The yellow copy must remain attached to the document/file folder.

Requests for Record should be sent to the Records Center through Inter-Departmental Mail in most cases. Only send **Requests for Record** through U.S. mail if you are not located in the Government Center and do not have access to Inter-Departmental Mail. If this is the case, mail requests to Archives and Records Administration, Records Center, 6400 E. 30th Street, Indianapolis, IN 46219.

In an **emergency**, **Requests for Record** may be faxed to (317) 591-5328. (Mailed requests are strongly preferred.) If your request is faxed, the copy attached to the document will be white or green.

6. In an **emergency**, completed **Requests for Record** may also be brought to the Records Center at 6400 East 30th St. to be filled. The person bringing the Request to the Records Center must present proper identification. **Please call ahead** and let Records Center staff know you will be coming, so that directions on how to locate the Records Center section of the building can be provided, and so that Records Center staff can pre-locate the required box in order to retrieve the requested files efficiently upon your arrival.
7. Requests will be filled in the order in which they are received.
8. **Telephone Requests for Record will not be accepted.**

Filling Out the Request For Record

Typewritten requests are preferred. When prepared by hand, please print legibly. All **bold type** information must be provided. Picture 7 shows the **Request for Record** with the corresponding numbers, plus two filled-out examples.

Boxes 1-4: **Name, title, signature, and phone number of person requesting the file, and the date requested**

In case of problems, the Records Center **must** know who to contact and how to contact them. Box 4, "Date Signed," is especially important. If the Records Center receives another request for the same document, we can tell the approximate date that the record was sent out from the Records Center, and to whom.

Box 5: **Agency and Division requesting record**

Box 6: **Address to which record should be delivered**

Box 7: **Official Record Series Name**

Box 8: **Record Series Number**

Box 9: **Date of Record**

Box 10: **Box Number**

Box 11: **Location**

If your location printout shows a "NEWLOC" column, use that entire number, including any letters. Each NEWLOC will have two dashes, dividing the location into three parts; put each part in order in a separate box (the Range-Row-Shelf boxes on the R). Do NOT use the "Range" "Row" and "Shelf" listed on the location printout. If you do not have a location printout, contact your Records Coordinator first, and then the Records Center.


Box 12: **Name or Number of File**

The identifier for the file. **Please** be sure to list an identifier that matches the method in which the box is arranged. A file number will be no help in locating a file if the box is arranged alphabetically, and a name will be no help if the box is arranged by file number.

Box 13: **Records Center Use Only.** If the request cannot be filled, it will be returned you, and this box will indicate why.


Picture 7.

Request For Record (SF 24019)

		REQUEST FOR RECORD State Form 24019 (R4 / 9-89)			Name and Title of Requestor 1.		Telephone Number () 3.		
		Signature of Requestor 2.			Date Signed (Month, Day, Year) 4.		13. RECORD CENTER USE ONLY		
Agency and Division 5.		Address (Building, Room Number, City, ZIP code) 6.						<input type="checkbox"/> Record Destroyed <input type="checkbox"/> Location Info. Incorrect (pls. recheck) <input type="checkbox"/> On Previous Loan To: <input type="checkbox"/> Not in Box	
NAME OF RECORD SERIES REQUESTED 7.		RECORD SERIES NUMBER 8.	DATE OF RECORD 9.	BOX NUMBER 10.	LOCATION 11.			ONE ITEM PER REQUEST FORM	
					RANGE	ROW	SHELF	Name or Number of File 12.	


DISTRIBUTION: White - Requesting Agency; White - Records Center; Canary - Records Center; Green - Records Box

Example of completed Request with new (mezzanine) location

		REQUEST FOR RECORD State Form 24019 (R4 / 9-89)			Name and Title of Requestor Dave Jones, Program Dir.		Telephone Number (317) 555-6697		
		Signature of Requestor <i>Dave Jones</i>			Date Signed (Month, Day, Year) 5/3/98		RECORD CENTER USE ONLY		
Agency and Division Department of Correction, Central Office		Address (Building, Room Number, City, ZIP code) IGCS Rm. E334						<input type="checkbox"/> Record Destroyed <input type="checkbox"/> Location Info. Incorrect (pls. recheck) <input type="checkbox"/> On Previous Loan To: <input type="checkbox"/> Not in Box	
NAME OF RECORD SERIES REQUESTED Offender Records		RECORD SERIES NUMBER 86-368	DATE OF RECORD 8/13/89	BOX NUMBER 6666G	LOCATION			ONE ITEM PER REQUEST FORM	
					RANGE	ROW	SHELF	Name or Number of File Keith A. Thomas 900693	

DISTRIBUTION: White - Requesting Agency; White - Records Center; Canary - Records Center; Green - Records Box

Example of completed Request with new (skid rack) location

		REQUEST FOR RECORD State Form 24019 (R4 / 9-89)			Name and Title of Requestor Dave Jones, Program Dir.		Telephone Number (317) 555-6697		
		Signature of Requestor <i>Dave Jones</i>			Date Signed (Month, Day, Year) 5/3/98		RECORD CENTER USE ONLY		
Agency and Division Department of Correction, Central Office		Address (Building, Room Number, City, ZIP code) IGCS Rm. E334						<input type="checkbox"/> Record Destroyed <input type="checkbox"/> Location Info. Incorrect (pls. recheck) <input type="checkbox"/> On Previous Loan To: <input type="checkbox"/> Not in Box	
NAME OF RECORD SERIES REQUESTED Offender Records		RECORD SERIES NUMBER 86-368	DATE OF RECORD 8/13/89	BOX NUMBER 6667G	LOCATION			ONE ITEM PER REQUEST FORM	
					RANGE	ROW	SHELF	Name or Number of File Amy A. Robinson 9006756	

DISTRIBUTION: White - Requesting Agency; White - Records Center; Canary - Records Center; Green - Records Box

Receiving Your File or Box

If you request a file, the Records Center will send it to you via interdepartmental mail, unless you let the Records Center staff know that you would like to pick it up yourself. If you request an entire box, Records Center staff will deliver the box to you.

Returning Your File or Box

When you are finished with the file, send it back to the Records Center with the yellow copy of the Request For Record still attached. When you are finished with a box, call the Records Center at (317) 591-5326 to arrange for Records Center staff to pick it up.

Destruction of Records Stored at the Records Center

Responding to Destruction Notifications Sent by the Records Center

For records stored at the Records Center, the Records Destruction Notification (State Form 16 - see Picture 6 for a diagram of this form) will be sent to the agency Records Coordinator for signature when destruction is due. If the Notification contains a note with the word "ARCHIVES" written or typed, the records will actually be transferred to the Indiana Archives for evaluation, **not** destroyed by the Records Center.

The agency Records Coordinator may submit the Notifications to the heads of the divisions concerned with the records, for their approval, but this approval should not be indicated on the Notification itself. Only the agency Records Coordinator's signature should go in Box 11, and only if records are approved for destruction.

If Records May Be Destroyed

The agency Records Coordinator should sign and date Boxes 3, 4, and 5 of the Records Destruction Notification (see pg. 14), and send the entire form back to the Records Center.

Agencies MUST respond to these notices in a timely manner, for your fiscal and legal protection, and ours. If the Records Center does not receive a justification (described below) for holding the records within 6 weeks of notice, **the records will be destroyed.**

If Records May NOT Be Destroyed

A copy of State Form 47167 (see **Picture 8**) will be sent with each month's Record Destruction Notifications from the Records Center. This form may be photocopied if you need extra copies of it. If there is some reason that the records cannot be approved for destruction:

1. Check the appropriate reason on the State Form 47167.
2. Give a possible destruction date if you can.
3. **Have the Records Coordinator sign and date the SF 47167 but NOT the Records Destruction Notification.**
4. Attach a copy of State Form 47167 to each group of Records Destruction Notifications to which that reason applies.
5. Return the unsigned Records Destruction Notifications to the Records Center, along with the attached State Form 47167.

Records Center staff will re-date the Records Destruction Notification(s) with the possible destruction date given on the SF 47167, and return them to the agency at that time.

Picture 8.



DO NOT DESTROY RECORDS

State Form 47167 (R / 10-11)

INDIANA COMMISSION ON PUBLIC RECORDS
 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 (<i>check one</i>)	
<input type="checkbox"/> State Audit Pending	
<input type="checkbox"/> Federal Audit Pending	
<input type="checkbox"/> State / Federal litigation (<i>copy of court order attached</i>)	
<input type="checkbox"/> Other: _____	
New destruction date (<i>month, day, year</i>)	
Signature of Agency Records Coordinator	Date of signature (<i>month, day, year</i>)
Printed name of Agency Records Coordinator	

What Happens When The Records Destruction Notification is Signed

Records to be destroyed are either shredded at the Records Center, and then sent to a private, bonded recycling company, or they are sent directly to the recycling company. Only records considered highly confidential are shredded at the Records Center. The records are recycled at no cost to the State of Indiana, with an occasional small profit.

Records scheduled for transfer to the Indiana Archives are either *sampled* by the Indiana Archives staff, or kept in their entirety, depending upon the instructions in the **Retention Schedule** and determination of possible historical value. Records transferred to the Indiana Archives become the property of the Indiana Archives, not the originating agency, and requests to see those records, if they still exist, must be presented to the Indiana Archives.

People, Addresses, and Phone Numbers You Should Know

Indiana State Records Center

6400 East 30th St.
Indianapolis, IN 46219

Phone: (317) 591-5326

Fax: (317) 591-5328

State Records Management Division

402 W. Washington
Indianapolis, IN 46204
Indiana Government Center South W472

Phone: (317) 232-3285

Records Analyst

Amy Robinson

County/Local Records Management Division

402 W. Washington
Indianapolis, IN 46204
Indiana Government Center South W472

Phone: (317) 232-3661

Records Analyst

Beverly Stiers

Indiana Archives

6440 E. 30th St.
Indianapolis, IN 46204

Main Phone Line: (317) 591-5222

Reference (Viewing of Records)

Phone: (317) 591-5220 ext. 232

Dr. Alan January

Accessions (Transferring Records)

Phone: (317) 591-5220 ext. 223

Tim Dunwoody

Micrographics Division

100 N. Senate
Indianapolis, IN 46204
Indiana Government Center North N055

Phone: (317) 233-3746

State Forms Distribution

PEN Products

757 Moon Road
Plainfield, IN 46168

Phone: (317) 838-7192

Agency Records/Forms Coordinators List: <http://www.in.gov/iara/2737.htm>

For further information, please contact:

Indiana State Records Center

6400 East. 30th St.
Indianapolis, IN 46219
(317) 591-5326
<http://www.in.gov/iara/2340.htm>

Indiana Archives and Records Administration

402 W. Washington St. - Room W472
Indianapolis, IN 46204
<http://www.IN.gov/iara>