We the Representation of the prople of the Tomitony of Indianas, in boursentions met, as boundon, on one day the lenth day of June in the year of our Lord eighter and a la and independences of the United States the Archives Sien unto the General

Responsible Records Destruction for State Agencies

Housekeeping

- This webinar is **being recorded**.
- Please **remain muted** until the question & answer section.
- Feel free to type questions into the chat when you think of them, but be aware that they may not be addressed until the question & answer section.

Your Hosts Today



Amy Robinson State Agency Records



Anna Lucas Electronic Records



Kalita López – Electronic Records



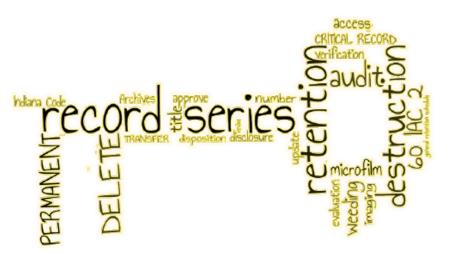
Brittany Cohen State Records Center



What is Records & Information Management (RIM)?

IARA's RIM team provides assistance and education for Indiana government agencies and offices in managing, retaining, preserving, transferring, and disposing of public records.

The RIM Team works with state agencies and county/local offices to **develop and update records retention schedules** that balance the **storage needs** of the government office with state/federal/programmatic **retention requirements**, as well as the need for **preservation** of documents with permanent historical value.



What is the Records Center?



To minimize storage costs and to free up 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 records retention schedule authorizes the transfer.

After the transfer, ownership and ultimate responsibility for the records remains with the agency that created them.

Overview



Future home of the Indiana Archives and Records Administration*, currently being constructed in downtown Indianapolis!

* Except For The Records Center

- Records Retention Concepts to Understand
- When Can Public Records Be Destroyed?
- Responsible Records Destruction
 - Calculating When Records are Eligible
 - Completing and Submitting a State Form 16
 - Selecting a Method for Destruction
 - Vendor Shredding & Storage Unlimited
 - Records Held at the Record Center
 - Destroying Records Converted To Another Format
- Q&A



- Public Records
- Records Management
- Records Retention Schedule
- Record Series
- Disposition
- Scheduled for...
- Copy of Record

PUBLIC RECORDS:

records created or received by a government agency in the course of doing government business.

- Public Records
- Records Management
- Records Retention Schedule
- Record Series
- Disposition
- Scheduled for...
- Copy of Record

RECORDS MANAGEMENT:

how we create, receive, store, use, access, and dispose of records, regardless of their format.

Concepts to Understa Public Records

- Public Records
- Records Management
- Records Retention Schedule
- Record Series
- Disposition
- Scheduled for...
- Copy of Record

ITEM #

RECORD TITLE/DESCRIPTION SERIES NUMBER

RETENTION PERIOD

74-132 CONTINUING EDUCATION

Documentation of a licensee's completion of required professional credit hours for the current renewal period,

on SF 999988 or equivalent. May be submitted in paper or electronic format.

Access to these records may be affected by IC 38-15-2(a). Retention based on 58 CFR 12.5(f) and 12.8. TRANSFER paper records to the RECORDS CENTER after renewal date.

DESTROY

after an additional four (4) years in the RECORDS CENTER.

DELETE electronic records

four (4) years after renewal date.

2 74-133 WITHDRAWN APPLICATIONS

License applications which have been withdrawn by the applicant before the close of the official review period, and associated correspondence. DESTROY three (3) years after date of withdrawal correspondence.

3 74-134 DEPED SURVEYS

Submitted annually to the U.S. Department of Education per 9800 USC 380. Original PDF form is uploaded to USDEPED online database, which is permanent and publicallyaccessible. DELETE original PDF file after electronic confirmation of receipt by U.S. Department of Education.

Concepts to Understa Public Records

- Public Records
- Records Management
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ITEM # RECORD SERIES NUMBER RETENTION PERIOD

DESTROY

74-132 CONTINUING EDUCATION Documentation of a licensee's completion of required professional credit hours for the current renewal period,

TITLE/DESCRIPTION

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after an additional four

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DESTROY

after an additional four (4) years in the RECORDS CENTER.

DELETE electronic records

four (4) years after renewal date.

TWO TYPES OF RETENTION SCHEDULE:

State General

- Broad categories of records produced by most state agencies
- Applies unless there is an agency-specific Record Series with a longer retention

• Agency-Specific

- Record Series unique to your agency
- Larger agencies may also have Divisional retention schedules

- Public Records
- Records Management
- Records Retention Schedule
- Record Series
- Disposition
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- Copy of Record

POSSIBLE DISPOSITIONS

1. **TRANSFER** to the Indiana Archives

2. MAINTAIN permanently in agency

3. DESTROY

- Public Records
- Records Management
- Records Retention Schedule
- Record Series
- Disposition
- Scheduled for...
- Copy of Record

Scheduled for...

just means

"This is what the retention schedule says to do with it."

- Public Records
- Records Management
- Records Retention Schedule
- Record Series
- Disposition
- Scheduled for...
- Copy of Record

COPY OF RECORD:

the version of the information that you are currently using to officially fulfill records retention requirements.

Concepts to Public Reco

- Public Records
- Records Managem
- Records Retention Schedule
- Record Series
- Disposition
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- Copy of Record



COPY OF RECORD

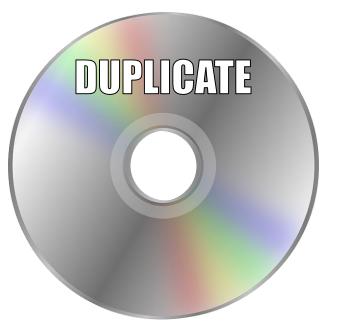
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ore Destroying

Concepts to Public Reco

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DUPLICATE

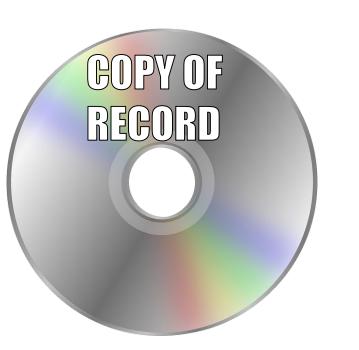
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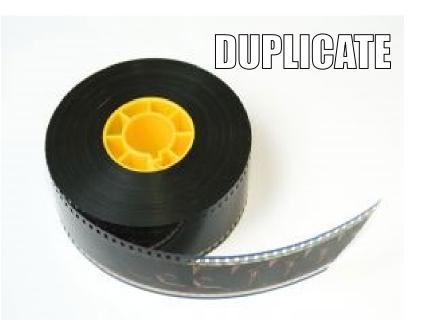
ore Destroying

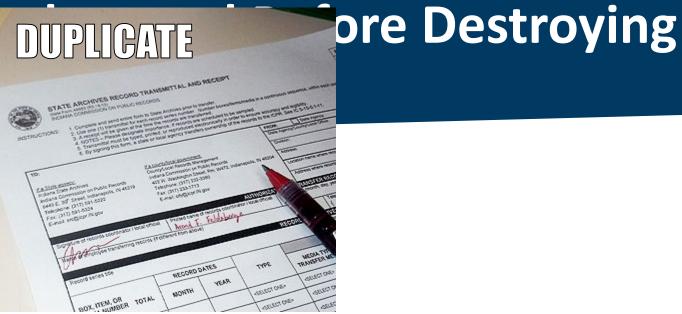


Concepts to Public Reco

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Additionally, it can be a good idea to know some of the Indiana Code citations that pertain to the destruction of records:

IC 5-15-5.1-13

• Explains how confidential records may be managed and destroyed.

IC 5-15-5.1-14

• Explains that public records must be disposed of in accordance with an approved Records Retention Schedule or IARA's written consent.

When Can Public Records Be Destroyed?

Public records created or managed by State agencies may be destroyed when:

they fall under a record series listed on a retention schedule AND their scheduled disposition date has been reached

OR

they are a collection of no-longer-created records that have never been listed on a retention schedule, AND IARA has issued a PR-2 document giving permission to destroy

OR

they are so damaged or so unsafe that they cannot be retained until their scheduled disposition date, AND IARA has issued a PR-2 document giving permission to destroy the unsalvageable records.

Responsible Records Destruction

There are 3 key steps for responsible destruction of public records:

8--- Calculate when the records become eligible for destruction.

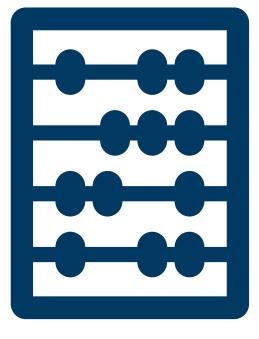
- 8- Complete and submit **State Form 16** if required.
- 8 Select a method of destruction and determine who will destroy the records, based on their format and confidentiality.

Calculate when records are eligible for destruction.

To calculate the date that records are eligible for destruction:

- Go to your retention schedule(s) and find the record series that corresponds with your records.
- Review the listed disposition of the record series to confirm is scheduled for destruction, and the specified retention period before the records become eligible.
- Note the date of the latest (newest) record in a box, folder, or other container or the last-modified date if you're working with individual electronic files.
- **Add the retention period** specified in the retention schedule(s) to that date.

The records will be eligible for destruction as of the beginning of the following month.



Calculate when records are eligible for destruction (cont.)

Example 1:

GRADM-4, General Correspondence can be destroyed after three (3) years. If an email that falls into this category is dated October 15, 2023, then it becomes eligible for destruction (deletion) as of November 1, 2026.

H				
	4	GRADM-4	GENERAL FILES	DESTROY after three (3) years.
			Any records that do not develop or document official agency policy, do not fall under another general or agency-specific Record Series, and are not subject to any known legislative, contract, or policy requirements that would require a longer retention period. Files may include, but are not limited to: staff responses to routine public inquiries, general information concerning an agency's events, programs, products and services, routine day-to-day office management activities and correspondence, electronic communications, and phone calls recorded for quality-assurance purposes. Records may include information subject to various disclosure restrictions; if present, that information should be destroyed in a confidential manner.	
- H				

Calculate when records are eligible for destruction (cont.)

Example 2:

GRPER-10, EMPLOYMENT APPLICATIONS, SF 22477-NOT HIRED; these records can be destroyed after three (3) years. If you have a filing cabinet drawer of GRPER-10 with a date range of January 2013-January 2017, the newest record in this record series became eligible for destruction in February 2020. These records have met their required retention date and are eligible for destruction.

19	GRPER-10	EMPLOYMENT APPLICATIONS, SF 22477-NOT HIRED	DELETE information (3) years after the decision
		Series includes applications from persons seeking employment who are not hired. Series also contains vacancy notices, job information bulletins, unsolicited resumes, rejection correspondence, examination material, and other related materials. This process is now completely electronic. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3- 4(b)(8)(b).	not to hire.

Complete and submit a State Form 16

The **State Form 16, Records Disposition Notification**, documents the disposition of records in accordance with IC 5-15-5.1 and a current retention schedule.

- State agencies will need to complete the State Form 16 for records destruction performed by your office, an external vendor, or the State Records Center.
- The form should be retained by your agency in accordance with <u>GRREC-2</u> on the General Retention Schedule.
- Duplicates of a record are considered non-records and thus do not require a State Form 16 unless requesting courtesy destruction from the Records Center.
- RIM does not require that the State
 Form 16 be completed for email record destruction.

Complete and submit a State Form 16 (cont.)

Ready to destroy your Copy of Record?

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			fer to Archives Destroy				
Type of media Paper Electronic (digita Film Electronic (physi		Container / box number(s)	Location		Accession	n number <i>(if applicable)</i>			

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

- Fill out the SF16 as completely as possible.
- If you are destroying your files in-house, there is a place to note that on the SF16.
- If the Records Center is picking up your records for destruction, pay special attention to "total cubic feet of records" and "container/ box number."
- Once your SF16 is completed and signed by your Agency Records Coordinator, simply send it to <u>recordscenter@iara.in.gov</u>.

Select a Method of Destruction

What are your destruction options?

Depending on the format of the record, extent of records, and the equipment available to you, your options are:

- destroy records in your office
- contact the Records Center for courtesy destruction pickup
- contact the State's vendor for paper and media recycling.



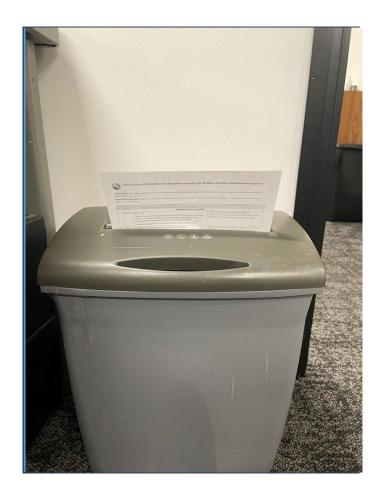
Before you destroy, keep in mind:

- Follow the law when destroying sensitive and confidential data. Confidential records must be destroyed in such a manner that they cannot be "read, interpreted, or reconstructed".
- Do not destroy records subject to audit, pending or active litigation, investigations, or a public records request even if their scheduled disposition date has been reached.
- You may retain records scheduled for destruction beyond the period outlined in the Record Retention Schedule if there is a legitimate business use case.
- Check whether your office has its own internal destruction procedures prior to destroying records.
- Whether destroying records yourself or with a vendor, make sure records are securely stored until their destruction.

In-Office by the Agency

Paper and electronic media in small volumes can be destroyed in-office with minimal equipment.

- **Paper:** Acceptable in-office methods for paper destruction include shredding records in your office using an office shredder.
- **Electronic Media:** Shredding media, such as CDs or DVDs, can be done in-office if your office shredder is designed for such materials.
- Electronic Files: Can be deleted from server, cloud storage, or recordkeeping system.
- Note: If you are destroying confidential or sensitive records in-office, make sure that your shredding equipment can destroy the records in such a manner that they cannot be "read, interpreted, or reconstructed."

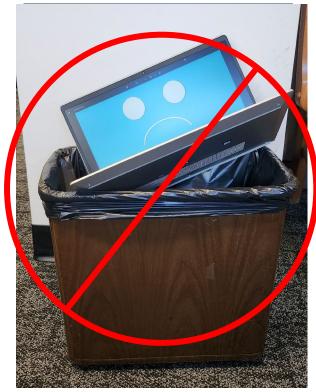


In-Office by the Agency - Electronic Records Destruction

Electronic records, whether stored on a server, in the cloud, M365, or an electronic recordkeeping system – should also be destroyed once they have exceeded their required retention period.

Agencies can destroy electronic records by deleting the files and/or their associated metadata.

- Destruction of electronic records also requires a State Form 16 be completed.
- Confirm with your IT or software vendor that when you destroy electronic records, the records are permanently deleted, and cannot be reconstituted.
- Records sent to an electronic recycle bin or similar holding area are still recoverable and are not actually deleted.
- Backups and replicated Cloud storage must also be taken into account, as complete destruction includes the Copy of Record as well as any access or disaster recovery (DR) copies.



State-Authorized Vendor: Shredding and Storage Unlimited

(central and southern Indiana)

- Offer document destruction service for paper records destruction and digital media recycling.
- Approved for confidential records destruction.
- Will come to your facility and pick up the records.
- Offer on-site or off-site destruction.
- Ensure records are secured and attended until they are no longer in a form that can be read or recreated.

Vendor Contact Information

Central and Southern Indiana

Grant Durnil IDOA Vendor Manager Gdurnil@idoa.in.gov (317) 232-3018

Josh Gornall Shredding & Storage Unlimited Josh@shreddingunlimited.com (812) 332-3299

Northern Indiana

Agencies can reach out to IDOA's Vendor Manager for destruction options.

Grant Durnil

IDOA Vendor Manager Gdurnil@idoa.in.gov (317) 232-3018

The Records Center

The State of Indiana, through the **Records Center**, can arrange for **courtesy destruction**.

- The RC will pick up paper files from your agency that are eligible for destruction and do NOT require shredding. The records will be loaded onto a destruction trailer to be destroyed at a third-party location.
- The Record Series Description should tell you if your records contain (or may contain) confidential information that would require shredding.



Records Held at the Records Center

IARA's Records Center acts as a temporary steward of state agency records, holding eligible records and keeping track of their retention period.

- If the agency in question would like to see their records, we are happy to give them back (with proper paperwork), as we do not own them. They still belong to the originating agency until disposition.
- When the disposition date is reached
 - the agency can request the records back to complete disposition responsibilities on their own, **OR**
 - Records Center staff will carry out the scheduled disposition, which is either destruction or transfer to the Indiana Archives. Once records go to the Archives, they no longer belong to the originating agency.



Destruction After Converting Records to Another Format

- When you create a copy of your records, whether in the same or another format, you get to decide which version is now the Copy of Record.
- Any versions that are *NOT* the Copy of Record may be destroyed after verification of the Copy of Record for completeness and legibility.
 - No SF16 or notification of IARA is required, because the older copy is now a non-record duplicate. If any of the information is confidential, you DO need to make sure it remains confidential before, during, and after the destruction process.
- Physical records converted to a digital format may be destroyed after verification of the electronic records for completeness and legibility, IF the agency is confident that you have followed all applicable IARA policies and guidelines for creating and maintaining electronic records.
- HOWEVER, it is a best practice to use a physical format paper or microfilm as the Copy of Record for permanent or Critical records.

Guidelines and Policies for Converting Physical Records to Digital

- OCPR Policy 20-01: Electronic Records Retention and Disposition
 - Ensures electronic public records are retained in a trustworthy, accessible, and reliable manner.
- OCPR Policy 20-02: Electronic Records Technical Standards
 - Establishes consistent standards for the creation and maintenance of electronic public records.
- IARA Electronic Records Guidelines
 - A basic guide to managing your electronic records, including guidelines for digitization.
- <u>Critical Records Guidance</u>
 - A basic guide to what Critical Records are, and how to manage any created by your agency.
- Electronic Recordkeeping System Guidance
 - Guidance to help you make defensible decisions about electronic recordkeeping systems.
- <u>Vendor Qualifications</u>
 - Recommended qualifications to look for in a vendor for digitization or other conversion projects.

Publications

State Agency Records Manager Handbook

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

Topics covered:

- About IARA
- Records vs Non-Records
- Retention Schedules
- State Records Center
- Indiana Archives
- Disposition and Destruction
- Caring for Electronic Records
- Microfilming & Imaging
- Agency Records Coordinator Criteria & Duties

Publications

A Guide to Responsible Records Destruction for State Agencies and County/Local Offices

The destruction guide explains basic records and information management requirements surrounding public records destruction, government employee responsibilities, and how to appropriately destroy public records.

- Destruction Responsibilities
- State Forms
- Calculating Eligibility of Records for Destruction
- Method of Destruction
- Converted Formats

Additional records management guidance, training, and best practices can be found on IARA's website: <u>https://www.in.gov/iara</u>.

Question & Answer



Raise your virtual hand to ask your question or type it in the text chat!

Where can I access the information from this webinar?

- IDOA Procurement: Document Destruction Services QPA
- IARA's <u>Destroying Records</u> page
- <u>RIM Workshops and Training</u>
- Request to join our monthly email bulletins or attend monthly Teams chats by emailing <u>rmd@iara.in.gov</u>.



When will the webinar recording be available?

By early May if not sooner.

The webinar will be posted to IARA's website (in.gov/iara) on these pages:

- Services for Government > <u>Workshops & Training</u>
- Services for Government > <u>Destroying Records</u>



Please keep a lookout for an email survey in the next week or so!

IARA is trying to improve services and provide better assistance to state agencies in managing their records. Please help us by providing feedback in the survey so we can better serve you!

Your Records & Information Management Team!

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Kalita López Electronic Records Archivist klopez@iara.in.gov



Amy C., Kalita, Anna, Madison, and Amy R.

Your State Records Center Team!



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Justin Jerolmon Records Analyst jjerolmon@iara.in.gov

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Thank You!