County Recorders’ Annual Conference 2021

Presentation

• IARA Overview
• Records Management Liaison
• Records Management Overview
• Retention Schedules & Forms
• County Commission of Public Records
What is IARA?

- Records Management
  - State Government
  - County/Local Government
- State Records Center
- Indiana State Archives
- Electronic Records Program
- Conservation Lab
- Imaging and Microfilm Services Lab
- Forms Management Division
- OCPR

IARA’s Records Management

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

• Hired in June 2020
• County/Local Agencies
• State Travel – Weekly Emails
• County Clerks
• Answers Your RM Questions

What is Records Management?

“The professional field dedicated to information that rises to the level of importance that requires ongoing maintenance, whether it be for evidentiary or specific business purposes.”
- ARMA

“The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities in the form of records.”
- IU Libraries
What is a Government Record?

- Also known as a Public Record*

“Any writing, paper, report, study, map, photograph, card, tape recording, or other material that is created, received, retained, maintained, used or filed by a public agency and which is generated on paper, paper substitutes, photographic media, chemically based media, electronically stored data, or any other material, regardless of form or characteristics.”

Government Records

What Does That Include?

- Paper
- Film and microforms
- Website
- Email
- Data in a database
- Born-digital records
- Scanned/Digitized images
- Audio files
- Social Media
- Metadata and Indexes
What is Records Retention?

- How is the length of retention determined?
  - Generally, Records Management staff work with county/local offices utilizing established retention schedules to identify:
    - The Administrative and Fiscal value
    - Legal value
    - Public Demand and Interest, and
    - Historical value of the information

- Paper, Film, Electronic
  - Retention is based upon content – NOT storage media/format

Retention Schedules

IARA creates records retention schedules to make it as easy as possible for you, listing and describing
- the categories of records commonly created by your office
- how long to keep the records in each category
- what happens to those records both during and after that time period.

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

Record Series: RS #, RS Title & Description, Retention & Disposition instructions

5 Retention Schedules:
- State - Agency Specific
- County/Local - Office Specific
- Judicial Retention Schedule (managed by Indiana Judiciary)
Office Specific: County Recorder (RE)

County Recorder Retention Schedule (RE)
Indiana Archives and Records Administration — County Records Management

<table>
<thead>
<tr>
<th>Date</th>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/24/2019</td>
<td>Office Administrator</td>
<td>Executive Director</td>
</tr>
<tr>
<td>07/24/2019</td>
<td>County Recorder</td>
<td>Chief Executive Officer</td>
</tr>
</tbody>
</table>

Instructions:
1. Officials should first reference this office-specific retention schedule. If the form/record series you're looking for is not listed, refer to the County/Local General Retention Schedule (GEN).
2. Nongovernment records listed on this retention schedule may be destroyed, in accordance with the form's instructions, thirty (30) days after completion and submission of a Notice of Destruction, Form 48903. The notice must be sent to the secretary of the county commission of public records as determined by I.C. 5-1-4-10 county clerk or record and to the Indiana Archives and Records Administration, 402 West Washington Street 4437, Indianapolis, IN 46204.
3. All permanent records or records not listed on these approved retention schedules can be destroyed or transferred only by completing a Request for Destruction of Records or Transfer of Records (Form 48931), and the obtaining approval of the County Commission of Public Records and written approval from the Indiana Archives and Records Administration.
4. Destruction of all records must be deleted pursuant to an applicable legal hold.

GUIDELINES:
Permanent records may be maintained either in original form or on microfilm that meets standards outlined in IC 6-5-2-1 or Administrative Rule 1 (Court Records).
Microfilm records are deposited, or transferred, according to the retention period outlined for that record.
Security/original rolls of microfilm must be stored in a secure location. Duplicate rolls may be used in office.
Electronic records and computer printouts that include data from more than one (1) year must be retained for the longest retention period for all involved forms.

County/Local General Retention Schedule (GEN)

- This Retention Schedule is divided into five (5) categories:
  1. Administrative
  2. Accounting and Finance
  3. Personnel
  4. Publications and Reports
  5. Audio, Video and General Media

- GEN schedule is applicable to all offices in addition to their office specific Retention Schedule.
County & Local Retention Schedules

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

Other Local Schedules

- City/Town/District Retention Schedules
  - Cities And Towns (CT)
  - Special Districts (SD)
  - Township Trustee (TT)

- Other Local Retention Schedules
  - Public Libraries (LIB)
  - Educational Institutions (EDA/EDS/EDC) (Public & Charter Schools)

- Additional Retention Information
  - Year-to-Year Destruction Schedule
  - Judicial Records Retention Schedule (Not published or managed by IARA)
Commonly Used State Forms

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

Notice of Destruction – SF 44905

- ALL SF 44905 NOTICE OF DESTRUCTION MUST CONTAIN RECORD SERIES INFORMATION.

- The record series number is the number on the Retention schedule (left hand column) under which the record is listed

- Example: Gen 10-10, Basic Accounting Records - Revenue
**County Commission of Public Records Meetings**

- Meets at least once a year
- Must have quorum to hold meeting
- Open to the public
- Secretary is either the County Clerk or Recorder
- Chairperson elected from Commission members
- Helps keep their county records managed efficiently!
IC 5-15-6 – Local Public Records Commissions (Membership)

IC 5-15-6-1 (b) The county commission shall consist, ex officio, of:
(1) the judge of the circuit court or the judge's designee;
(2) the president of the board of county commissioners or the president's designee;
(3) the county auditor or the auditor's designee;
(4) the clerk of the circuit court or the clerk's designee;
(5) the county recorder or the recorder's designee;
(6) the superintendent of schools of the school district in which the county seat is located or the superintendent's designee; and
(7) either: (A) the city controller of the county seat city or the city controller's designee; or (B) if there is no city controller as described in clause (A), then the clerk-treasurer of the county seat city or town.

Secretary/Chairperson

IC 5-15-6-1:
The commission shall provide to the administration (IARA) the names and contact information for the chairperson and secretary not later than thirty (30) days after the date of the determination.
County/Local Records Custodian Handbook & Online Training

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

- Online Tutorial: Records Management for Indiana County and Local Government
- https://www.in.gov/iara/course-website-countylocalrecordsmanagement.htm

Indiana Archives and Records Administration

Thank You!

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