2021 Annual Clerks Conference

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
- Oversight Committee on Public Records (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
- Answer Your RM Questions
Records Management Liaison

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

What is Records Management?

Taking care of government records and retaining them under the requirements set out by the state of Indiana and federal laws, using records retention schedules developed for you by IARA.
What is a Record and What’s Not?

<table>
<thead>
<tr>
<th>Record</th>
<th>Copy of Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paper</td>
<td>Scanned/Digitized images</td>
</tr>
<tr>
<td>Film and microforms</td>
<td>Audio files</td>
</tr>
<tr>
<td>Website</td>
<td>Social Media</td>
</tr>
<tr>
<td>Email</td>
<td>Metadata and indexes</td>
</tr>
<tr>
<td>Data in a database</td>
<td></td>
</tr>
<tr>
<td>Born-digital records</td>
<td></td>
</tr>
</tbody>
</table>

Non-Record           Duplicate

Electronic Records

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

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

Record Series includes a Number #, Title & Description, and Retention & Disposition instructions

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

Using the same record series from our earlier example, CL 10-17, here’s how it looks when it’s all laid out:

<table>
<thead>
<tr>
<th>ITEM NO</th>
<th>RECORD SERIES</th>
<th>TITLE/DESCRIPTION</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>CL 10-17</td>
<td>BAIL AGENT LICENSE/POWER OF ATTORNEY</td>
<td>DESTROY three(3) years after expiration of license.</td>
</tr>
</tbody>
</table>

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

Retention Periods

Retention period instructions may include:
1. Format conversion instructions
2. Information on how long the records need to remain
3. What finally happens to your records after their retention period is over

Examples:
PERMANENT, TRANSFER,
DESTROY/DELETE, RETAIN, RECORD, FILE
Office Specific: Non-Judicial County Clerks (CL)

Non-Judicial County Clerk Retention Schedule (CL)

<table>
<thead>
<tr>
<th>RECORD SERIES</th>
<th>TITLE/DESCRIPTION</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>CL 10-1</td>
<td>RETAIL DISTRESS SALE APPLICATION &amp; LICENSE</td>
<td>DESTROY after five (5) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unexpected charges. FILE Application and inventory together as a unique record in a Separate File System.</td>
</tr>
<tr>
<td></td>
<td>Licensing of Retail Distress Sales – includes original inventory, Application for Going Out of Business, Renewal and Fire Sale License. [IC 25-18-5-7]</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Copy of license also retained by Auditor.</td>
<td></td>
</tr>
<tr>
<td>CL 10-2</td>
<td>RETAIL DISTRESS SALE COPY OF INVENTORY</td>
<td>DESTROY after one (1) calendar year. FILE Application and inventory together as a unique record in a Separate File System.</td>
</tr>
<tr>
<td></td>
<td>Form 1-A Form 1-W Form 1-P</td>
<td></td>
</tr>
<tr>
<td></td>
<td>[IC 25-18-3-7]</td>
<td></td>
</tr>
<tr>
<td>CL 10-3</td>
<td>RETAIL DISTRESS SALES BOOK</td>
<td>TRANSFER to the Indiana State Archives for EVALUATION, WEEDING and SAMPLING three (3) years after completion of book. File application and inventory together as a unique record in a separate file system.</td>
</tr>
<tr>
<td></td>
<td>Licensing of Retail Distress Sales</td>
<td></td>
</tr>
<tr>
<td></td>
<td>[IC 25-18-5-7]</td>
<td></td>
</tr>
<tr>
<td>CL 10-6</td>
<td>OATHS/CERTIFICATES OF PUBLIC OFFICALS</td>
<td>TRANSFER to the Indiana State Archives for EVALUATION, WEEDING and SAMPLING one (1) year after completion of term (if public official has not retained this record and if on file as a public record).</td>
</tr>
<tr>
<td></td>
<td>Certificate of Appointment and Election, SF 31228 and SF 31229</td>
<td></td>
</tr>
<tr>
<td></td>
<td>SF 47003(96)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>[IC 5-6-1-160j] (Original)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Examples include:</td>
<td></td>
</tr>
</tbody>
</table>

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)
  • County Recorder (RE)
  • 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 or “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 # on the Retention schedule (left hand column) under which the record is listed

• Example: Gen 10-10, Basic Accounting Records - Revenue
Request for Permission to Destroy or Transfer Certain Public Records – PR-1, SF 30505

REQUEST FOR EXCEPTION TO COUNTY / LOCAL RETENTION SCHEDULE OR PERMISSION TO DISPOSE OF NON-SCHEDULED COUNTY / LOCAL PUBLIC RECORDS (PR-1)

State Form 30505 (Rev. 6-20)

INFORMATION - Originating Agency:
1. This form is for permission to destroy or transfer the ONLY copy of public records. No permission is required to microfilm paper records or to destroy originals after microfilming. As long as one (1) copy of the information is maintained in paper or microfilm format, all other copies may be destroyed at any time.
2. Fill out all information on the first page of this form. Contact the Indiana Archives or local historical entity to extend interval prior to initiating a request to transfer.
3. Fill out (1) copy for your County Commission of Public Records, and retain one (1) copy for your own records.
4. Upon receipt of an approved copy from your County Commission of Public Records, follow the instructions detailed on the second page of this form and retain a copy for your records. (Your original copy of the request may be destroyed on receipt of the approved version.)

INSTRUCTIONS - County Commission of Public Records:
Step 1. Upon approval of this request by the County Commission, the Secretary must preserve one (1) copy as part of the minutes of the County Commission, send one (1) copy to the county historical society or equivalent local historical entity if such exists, and send one (1) copy to IARA at the above address, and retain one (1) copy for Step 2.
Step 2. Fill out the section labeled "FINAL NOTIFICATION TO ORIGINATING AGENCY" and send to the contact person at the originating agency, once:

a. The local historical entity or IARA has requested that records be transferred to them, OR
b. Thirty (30) days have passed with no contact from the historical entity / IARA, and records may be disposed of subject to any limitations listed on page 2.

TO BE COMPLETED BY THE ORIGINATING AGENCY OR OFFICE

<table>
<thead>
<tr>
<th>Name of government agency</th>
<th>Date (month, day, year)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address of government agency (number and street, city, state, and ZIP code)</td>
<td></td>
</tr>
<tr>
<td>Name of contact person</td>
<td>Telephone number</td>
</tr>
</tbody>
</table>

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.

County/Local Records Custodian Handbook & Online Training

- [https://www.in.gov/iara/2359.htm](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](https://www.in.gov/iara/course-website-countylocalrecordsmanagement.htm)
Thank You!

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