County Treasurers Conference 2022

Presentation

- IARA and Records Management
- Records Management Liaison
- Records Management Overview
- Retention Schedules & Record Series
- Permanent & Critical Records
- State Forms 44905 & 30505
- 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 sections
- Records Retention Schedules
- Online Training Modules
- Publications & Policies
  - County/Local Records Custodian Handbook
  - Electronic Records Policies 20-01 and 20-02
- Records & Forms Coordinators
- Answer Your RM Questions
Records Management Liaison

- County/Local Agencies
- Traveling to Counties – starting March 2022!
- Monthly Email Blasts – “subscribe me!” to cty@iara.in.gov
- Monthly RM Microsoft Teams Chat, last Wed of the month at 11 a.m.
- Presentations and Education
- Revising and creating retention schedules
- 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?

**Record**

Any piece of recorded information that is **created or received by your office** AND **documents the activities of your office**.

**Examples**

- Sending an email to a co-worker about the topic of an upcoming meeting.
- A brochure created by your office.

**Non-Record**

Any piece of recorded information that is created or received by your office that does **NOT** document the activities of your office.

**Examples**

- Sending an email asking a co-worker to lunch.
- A brochure from a private organization.

Electronic Records

- SAME record keeping requirements as paper records
- OCPR Policies 20-01 and 20-02
- IARA’s **Electronic Records Guidelines** ([https://www.in.gov/iara/services-for-government/electronic-records-program/](https://www.in.gov/iara/services-for-government/electronic-records-program/))
- Contact erecords@iara.in.gov with questions or the Deputy Director of Records Management, Meaghan Fukunaga, mfukunaga@iara.in.gov
- Handbook, pages 22-26
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

• 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.

5 Retention Schedules:
  • State & Agency Specific (2)
  • County/Local General & Office Specific (2)
    • Judicial Retention Schedule (1)
  (managed by Indiana Judiciary – court records, Tom Jones, tomjones@courts.in.gov)
Office-specific: County & Local Retention Schedules

County Officers

- County/Local General Retention Schedule (GEN)
- Assessing Official (AS) (Revised 10/2020, Includes
- Assessor's Data (AD))
- Non-Judicial County Clerk (CL)
- County Recorder (RE)
- County Treasurer (TR)
- County Coroner (CO)

Cities, Towns & Special Districts

- County/Local General Retention Schedule (GEN)
- Cities and Towns (CT)
- Special Districts (SD)
- Assessing Official (AS)
- Township Trustees (TT)
- Zoning, Planning, Development, and Enforcement (LAND)

Other Local Retention Schedules

- County/Local General Retention Schedule (GEN) (Revised 7/2020, Includes Updates Guide.)
- Public Libraries (LB) (Revised 10/2020, Includes Updates Guide.)
- Educational Institutions (FEDA/FDS/EDC) (Public and charter schools)
- Public-Private Agreement Operators (PPA)
- Public Safety Agencies (PSA) (Law enforcement)

Additional Retention Information

- Year to Year Disposition Chart
- Judicial Records Retention Schedule (Not published or managed by IARA.)

How do you know if your agency has an office-specific retention schedule? *ASK ME!*

Office-specific: County Treasurers

**UPDATED!**

As of February 2022

Includes updated cover sheet and an updates overview

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<table>
<thead>
<tr>
<th>ITEM</th>
<th>TITLE/DESCRIPTION</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>PROPERTY TAX DUPLICATE</td>
<td>PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.</td>
</tr>
<tr>
<td></td>
<td>Records may include but are not limited to Form 9 (Tax Duplicate), Form 63 (Ditch Duplicate), Form 63M (Ditch Duplicate for Maintenance Assessments), and Deficient Tax Duplicate (through 1876, now obsolete), or their substitutes.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>DELINQUENT PROPERTY TAX JUDGMENTS</td>
<td>PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.</td>
</tr>
<tr>
<td></td>
<td>Records may include but are not limited to Form 747 (Treasurer’s Record of Deficient Personal Property Tax and Judgment Docket) or its substitutes.</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>PROPERTY TAX SALE RECORDS</td>
<td>PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.</td>
</tr>
<tr>
<td></td>
<td>Records may include but are not limited to Form 137 (Tax Sale Record) or its substitutes.</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>PROPERTY TAX RETURN, DEMAND, NOTICE, AND PAYMENT RECORDS</td>
<td>DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.</td>
</tr>
<tr>
<td></td>
<td>Records may include but are not limited to Form 18 (Real Estate Tax Statement/Receipt), Form 18D (Conservancy District Tax Statement/Receipt), Form 18P (Personal Property Tax Statement/Receipt), Form 18T (Personal Property Tax Judgment/Receipt), Form 63A Drainage Maintenance Tax Statement/Receipt, Form 115 (Mobile Home Tax Statement/Receipt), Form 137B (Statement of Costs Paid on Tax Sale Property), Form 143 (County Treasurers Record of Demands for Payment of Deficient Personal Property Tax, Leases on and Sales of Assessed Property).</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.

All retention schedules can be found on the IARA website
https://www.in.gov/iara/divisions/records-management/countylocal-records-management/countylocal-retention-schedules/

What is in a retention schedule?

A retention schedule is a list of record series.

Each record series describes a broad group of records that have the same physical form, are arranged under a single filing system, are related to a particular subject, document a particular transaction, serve the same function, or are produced by the same activity – and so form an identifiable type.

A retention schedule is a collection of record series in much the same way that a dictionary is a collection of definitions, except that a record series both defines a type of record, and tells you what needs to be done with it.
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 Retention based on IC 27-10-3</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

Retirement 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
PERMANENT or PERMANENT & CRITICAL records

• Any records marked PERMANENT must either remain in the original format or be microfilmed. You can digitize in addition to microfilming or keeping the paper, but you can't only keep a digital copy.

• Any records marked PERMANENT AND CRITICAL must, at some point, be microfilmed. You can digitize in addition to filming, but you can't not film (or stop filming) in favor of digitizing.

NON-PERMANENT records

• Any records NOT marked PERMANENT may be kept in ANY format or media you choose.

• One format may be better than another for easy access; one medium may be better than another at preserving records for a long time. Those things do matter to recordkeeping – they just don't affect the rules about how long to keep records, who has the right to see them, or what happens to them when they leave your office.

• The order of importance is the other way around: how long you are required to keep a record should be one of the first things you consider when you're choosing the best media and formats to balance your access and preservation requirements.
Remember...

When trying to locate the correct record series for a record...

First, always look at your *office-specific* retention schedule (if you have one)

Second, look at the *GEN* retention schedule

Third, reach out to *IARA* for help!

Commonly Used State Forms

What can I do with records that can be disposed of?

- **SF44905 Notice of Destruction or “NOD”**

What can I do with records that can be transferred or aren’t on a schedule to be disposed of?

- **SF30505 Request for Exemption... or “PR-1”**

  - [https://www.in.gov/iara/2783.htm](https://www.in.gov/iara/2783.htm)
Updated: Notice of Destruction form

Hot off the press!

As of June 20th, the Notice of Destruction form was recently updated!

Below are the newest instructions on how to complete an NOD.

Please be aware of these changes!

Notice of Destruction
SF 44905

Instructions
Contact Information
Record Series Information
Destruction Information
SF44905: Instructions

New instructions!

This form is to be used only for documenting the destruction of records as scheduled on an approved county/local records retention schedule.

For: a) requests to dispose of records not listed on a retention schedule, or b) requests to transfer records scheduled as PERMANENT to a local historical entity instead of maintaining them in the originating office or transferring them to the Indiana Archives, use State Form 30505, Request for Exception to County/Local Retention Schedule or Permission to Dispose of Unscheduled County/Local Public Records (PR-1).

INSTRUCTIONS:
1. Complete ALL Contact and Record Series Information fields. Record Series Number is REQUIRED for all records listed.
   a. If you do not know the Record Series Number, contact IARA’s County/Local Records Management section for more information.
   b. If the records do not have a Record Series Number, use State Form 30505 as described above.
2. Destroy records in accordance with the listed Record Series Number and complete the Destruction Information fields on this form.
3. Send one (1) copy of the completed form to the secretary of your County Commission of Public Records for inclusion in the minutes of the next meeting and retain one (1) for your records.

SF 44905: Contact Information

<table>
<thead>
<tr>
<th>CONTACT INFORMATION</th>
<th>County</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of office</td>
<td></td>
</tr>
<tr>
<td>Address (number and street)</td>
<td>City</td>
</tr>
<tr>
<td>Name of contact person</td>
<td>Telephone number</td>
</tr>
</tbody>
</table>

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<thead>
<tr>
<th>CONTACT INFORMATION</th>
<th>County</th>
</tr>
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<tbody>
<tr>
<td>Name of office</td>
<td></td>
</tr>
<tr>
<td>Randomville Office</td>
<td>Random</td>
</tr>
<tr>
<td>Address (number and street)</td>
<td>City</td>
</tr>
<tr>
<td>123 Main St</td>
<td>Random</td>
</tr>
<tr>
<td>Name of contact person</td>
<td>Telephone number</td>
</tr>
<tr>
<td>Amy Random</td>
<td>(123) 456-7890</td>
</tr>
</tbody>
</table>
## SF 44905: Record Series Information

### Record Series Information Table

<table>
<thead>
<tr>
<th>RECORD SERIES TITLE OF RECORDS TO BE DESTROYED</th>
<th>DATE RANGE OF RECORDS (mm/yyyy to mm/yyyy)</th>
<th>RECORD SERIES NUMBER (REQUIRED)</th>
<th>VOLUME (number of boxes, rolls, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expired Bail Agent License</td>
<td>2000 to 2010</td>
<td>CL 10-17</td>
<td>5 boxes</td>
</tr>
</tbody>
</table>

### Destroy the records

Once you fill out the **Contact** and **Record Series Information**, YOU as the records custodian are responsible for checking that the record series retention period matches the dates listed on the form.

**CL 10-17 -> 3-year retention -> 2000-2010 -> Correct! Can destroy.**

**CL 10-17 -> 3-year retention -> 2022 -> Incorrect! Can’t destroy yet.**

Once that information is verified, then you can destroy the record immediately. *There is no longer a 30-day waiting period.*

IARA is available to check your NOD form or answer any questions you have when filling out the form.
SF 44905: Destruction Information

<table>
<thead>
<tr>
<th>DESTRUCTION INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>These records were destroyed according to a retention schedule approved for use by the Indiana Oversight Committee on Public Records.</td>
</tr>
<tr>
<td>Signature of official destroying records</td>
</tr>
<tr>
<td>Printed name of official destroying records</td>
</tr>
</tbody>
</table>

| Amy Christiansen | Clerk-Treasurer | 04/18/2022 |

SF 44905: Destruction Information

<table>
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</table>

| Amy Christiansen | Clerk-Treasurer | 04/18/2022 |
SF 44905: Completed NOD Form

Signed and then sent to the Secretary of the County Commission of Public Records

Keep a copy in your files according to GEN 20-01 permanently

Don’t know who your County Secretary is?

ASK ME!

Request for Permission to Destroy or Transfer Certain Public Records – PR-1, SF 30505
How to Use a PR-1/SF30505 Form
Guidelines

A guide to when and how to use the Request For Exception to County/Local Retention Schedule or Permission to Dispose of Nonscheduled County/Local Public Records form.

https://www.in.gov/iara/files/countylocal-howto-pr1.pdf

Published February 2022!

County Commission of Public Records Meetings

- Approves PR-1 forms, receive completed NODs to include in minutes
- Meets at least once a year
- Must have quorum to hold meeting
- Open to the public
- Secretary is always either the County Clerk or Recorder
- Chairperson elected from Commission members
- Helps keep their county records managed efficiently!
- See Handbook, pages 27-30 for more info
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.

Thank You!

achristiansen@iara.in.gov
cty@iara.in.gov
(812) 929-3882