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 – Postponed with Pandemic
- Weekly Email Blasts – Mondays, email “subscribe me!” to cty@iara.in.gov.
- Monthly Microsoft Teams Chat, last Wed of the month at 11 a.m.
- 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?

- Paper
- Film and microforms
- Website
- Email
- Data in a database
- Born-digital records

- Scanned/Digitized images
- Audio files
- Social Media
- Metadata and Indexes

<table>
<thead>
<tr>
<th>Record</th>
<th>Copy of Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Record</td>
<td>Duplicate</td>
</tr>
</tbody>
</table>

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

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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

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Retention Period and Disposition Instructions
Office Specific: County Auditor (AU)

County Auditor Retention Schedule (AU)

<table>
<thead>
<tr>
<th>RECORD SERIES</th>
<th>TITLE/DESCRIPTION</th>
<th>RETENTION PERIOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>AU 10-1</td>
<td>Form PR-1 – Township Poor Relief Ledger</td>
<td>PERMANENT. May microfilm according to 50 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.</td>
</tr>
<tr>
<td></td>
<td>Form PR-2 – Township Poor Bond Redemption Ledger</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form PR-3 – Ledger – Sale of Poor Bonds</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 24A – Ledger of Appropriations and Disbursements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 24B – Fund Ledger and Ledger of Receipts</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 24C – Detailed Ledger of Disbursements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 56 – Venue Book</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 95 – Register of Tax Sales to County</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 37 – Register of School Funds</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 112 – Register of Redemption Bonds</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 53 – Bond Register</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 102 – Register of Trust Funds</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 315 – General Ledger Sheet</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 316 – General Journal</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 358 – Ledger of Receipts, Disbursements and Balances</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Form 359 – Ledger of Appropriations, Encumbrances, Disbursements and Balances</td>
<td></td>
</tr>
<tr>
<td>AU 10-2</td>
<td>Form 127-CER – Register of Certificate of Error</td>
<td>DESTROY after ten (10) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsatisfied claims</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)
  • 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, Request for Exception or “PR-1”

https://www.in.gov/iara/2783.htm

*Verify you are using the most updated forms*

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 6/5/20)

Please contact IARA at the above address if you have any questions while filling out this form.

INSTRUCTIONS - 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 obtain interval prior to initiating a request to transfer.
3. Fill out one (1) copy with 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, 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 FOR ORIGINATING AGENCY" and send to the contact person at the originating agency, once:
- The local historical society or IARA has requested that records be transferred to them,
- OR
- Sixty (60) 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

Name of government agency

Date (month, day, year)

Address of government agency (number and street, city, state, and ZIP code)

Name of contact person

Telephone number

E-mail address

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
- 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
Thank You!

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