

A graphic of the Indiana state flag's stars, consisting of a circle of twelve yellow stars with lines connecting them to a central point.

Indiana Archives

and Records Administration

How IARA Can Help Your Library:
Archives & Records Management

Presentation

- IARA Overview
- Records Management Liaison
- Records Management Overview
- Retention Schedules & Forms
- County Commission of Public Records

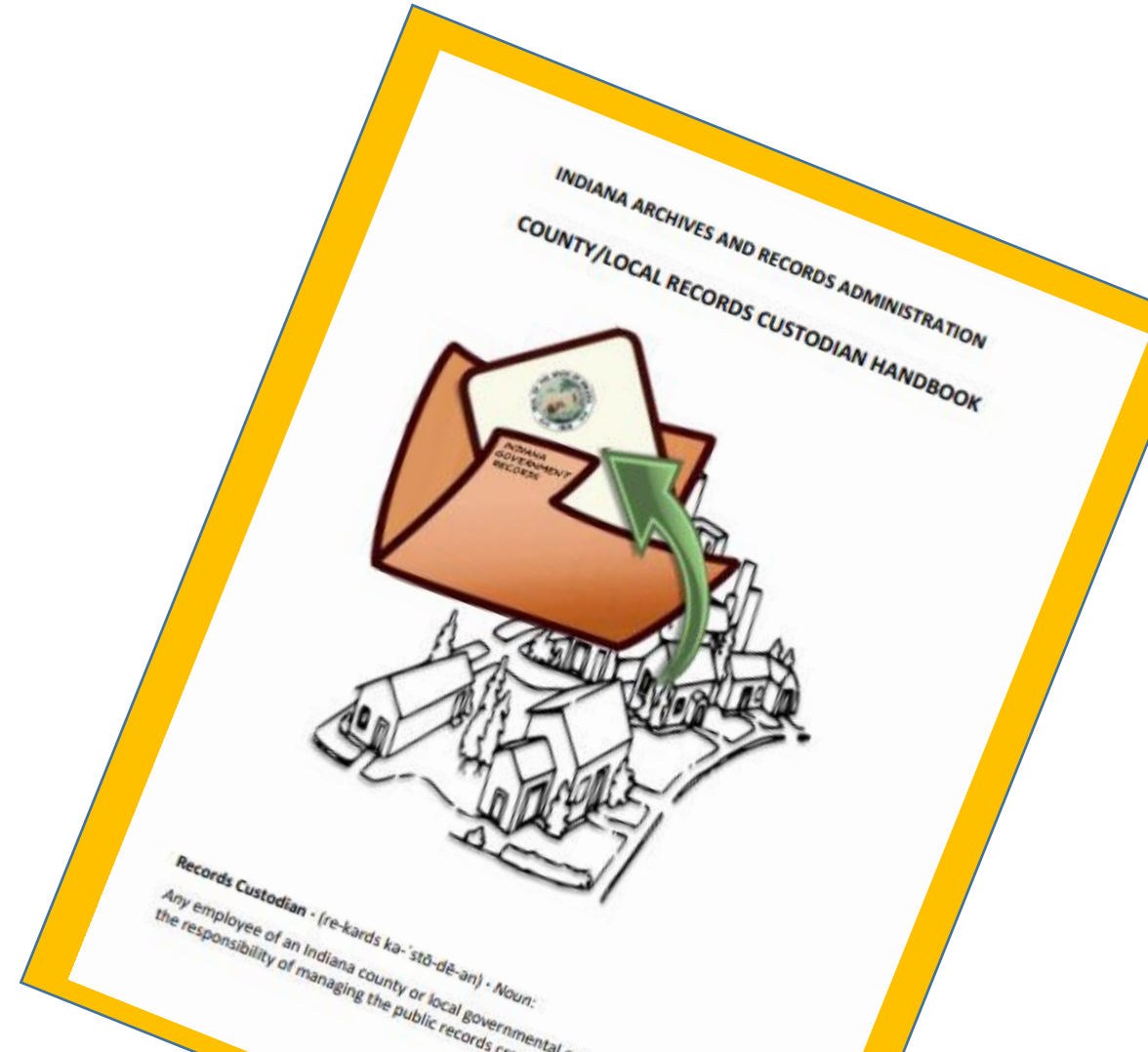
What is IARA?

- 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

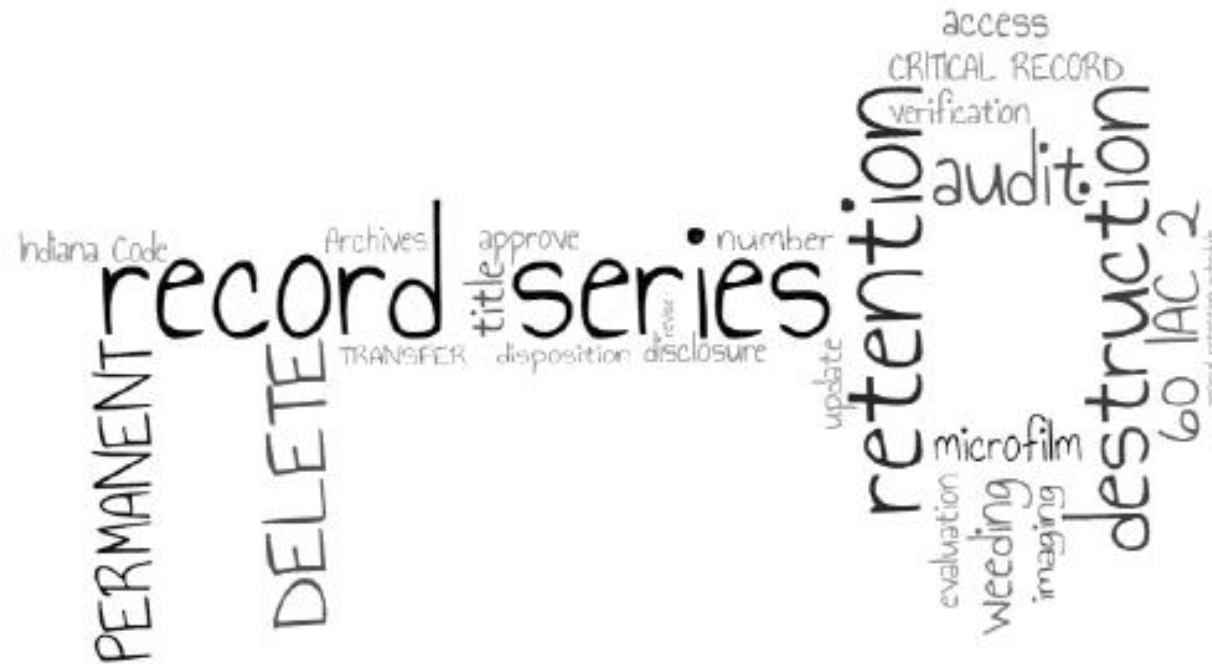


Records Management Liaison



- Hired in June 2020
- County/Local Government Agencies
- State Travel – County Clerks
- Answers Your RM Questions
- Weekly Email Blasts – Mondays, email “subscribe me!” to cty@iara.in.gov.
- Monthly Teams Chat beginning July 28

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?

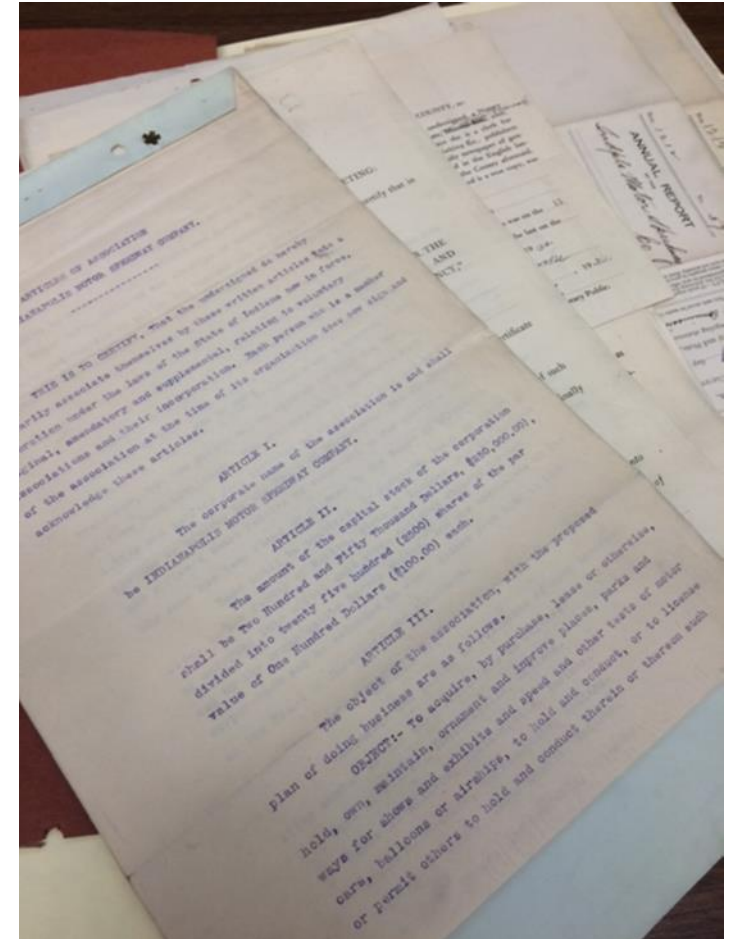
- Paper
 - Film and microforms
 - Website
 - Email
 - Data in a database
 - Born-digital records
- Scanned/Digitized images
 - Audio files
 - Social Media
 - Metadata and Indexes

Record

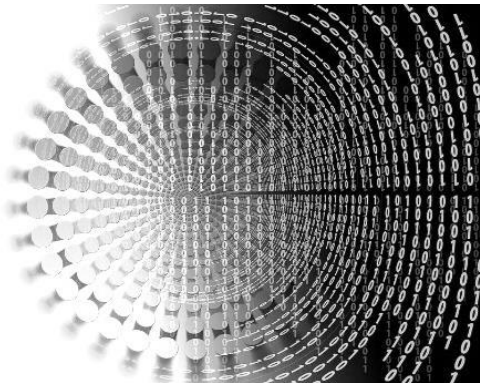
Non-Record

Copy of 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:

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	CL 10-17	BAIL AGENT LICENSE/POWER OF ATTORNEY Retention based on IC 27-10-3.	DESTROY three (3) years after expiration of license.

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

RETENTION PERIOD	
KEY	DESTROY three (3) years after expiration of license.

Retention Period and Disposition Instructions



Office Specific: Public Libraries (LIB)




Public Libraries Retention Schedule (LIB)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION (IARA) – County/Local Records Management

ITEM #	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
1	LIB 10-01	ANNUAL PUBLIC LIBRARY REPORT The originating library's copy of a report submitted annually to the Indiana State Library and preserved in the Indiana Archives under RS 2002-08.	DESTROY after ten (10) years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
2	LIB 10-02	LEDGERS 14.1 Library Form: Form 1, 1A, 1B, and 1C: Library Financial and Appropriation Ledger. 14.2 General Form: Form 369 , General Fixed Asset Account Group Ledger. Capital Assets Ledger.	PERMANENT. See retention schedule instructions for microfilming and transfer options.
3	LIB 10-03	PATRON LIBRARY CARD, RECIPROCAL BORROWING CARD APPLICATION	DESTROY three (3) years after patron account becomes inactive.
4	LIB 10-04	PUBLIC LIBRARY ACCESS CARD (PLAC) & NON-RESIDENT CARD APPLICATION	DESTROY after three (3) years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
5	LIB 10-05	NO-FEE INTERLIBRARY LOAN FILES Applies to interlibrary loans for which a patron or library is not charged and does not collect a fee. Access to these records may be affected by IC 5-14-3-4(a)(16)(A).	DESTROY 30 days after return of materials.
6	LIB 20-01	FEE-BASED INTERLIBRARY LOAN FILES - COLLECTED Applies to interlibrary loans for which this library collects a fee. Access to these records may be affected by IC 5-14-3-4(a)(16)(A). Retention based on IC 34-11-2-6.	DESTROY after six (6) years and after receipt of STATE BOARD of ACCOUNTS Audit Report and satisfaction of unsettled charges.
7	LIB 20-02	FEE-BASED INTERLIBRARY LOAN FILES - PAID OUT	DESTROY after ten (10) years and after receipt of STATE BOARD of ACCOUNTS Audit Report and

County/Local General Retention Schedule (GEN)

 County/Local General Retention Schedule (GEN) INDIANA ARCHIVES AND RECORDS ADMINISTRATION – County Records Management			
ITEM #	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
ADMINISTRATIVE			
1	GEN 10-01	MINUTES Official minutes of any county/local agency, board, commission, or of any division. Includes agendas and other supporting documents presented at the meeting. THIS IS A CRITICAL RECORD. Retention based on IC 5-15-5.1-5(a) (9), and IC 5-15-5.1-12.	PERMANENT and CRITICAL. MICROFILM according to 60 IAC 2 standards. TRANSFER original microfilm roll to the INDIANA ARCHIVES after verification for completeness and legibility. MAINTAIN duplicate microfilm roll permanently in office of origin. DESTROY hard copies after verification of INDIANA ARCHIVES transfer.
2	GEN 10-02	COUNTY/LOCAL AGENCY, BOARD OR COMMISSION MEETING RECORDINGS For offices, boards or commissions that record their meetings in audiovisual or electronic formats for the purpose of transcribing the minutes, and use the recordings to complete the minutes of the meetings.	DELETE recording or DESTROY storage media after relevant minutes are transcribed and approved.
3	GEN 10-03	POLICY FILES - OFFICE HOLDERS, DEPUTIES, AND DIVISION DIRECTORS These office files document substantive actions of administrative agency appointing authorities, deputy directors, and division directors. These records constitute the official record of an agency's performance of its functions and the formation of policy and program initiatives. This series may include various types of records such as correspondence, memos, and reports concerning agency policy and procedures, organization, program development and	PERMANENT. See Retention Schedule Instructions for microfilming and transfer options.

- 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**
 - 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 DESTRUCTIONS 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 (R8 / 6-20)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION COUNTY / LOCAL RECORDS MANAGEMENT

402 West Washington Street, Room W472

Indianapolis, Indiana 46204

Telephone: 317 232-3380

E-mail: cty@iara.in.gov

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 confirm interest prior to initiating a request to transfer.
3. **File 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 dictated 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:
- a. The local historical entity or IARA has requested that records be transferred to them; OR
 - b. 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 (virtual or in person)
- Must have quorum (4) to hold meeting (designees)
- Open to the public
- Secretary is either the County Clerk or Recorder
- Chairperson elected from Commission members
- Helps keep their county records managed efficiently!

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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