How to Transfer Electronic Records to the Indiana Archives

Version 2.0

Indiana Archives and Records Administration
Records and Information Management Division
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Section 1: Transferring Electronic Records to the Indiana Archives

Step 1: Know Which Records You Want to Transfer

The first step in the transfer process is determining whether your records are archival. The Archives accepts records that are scheduled to be transferred on an Oversight Committee on Public Records (OCPR) approved retention schedule. To know which of your records should be transferred to the Archives, begin by familiarizing yourself with the General Retention Schedule for All State Agencies and any OCPR approved retention schedules specific to your agency. If you are unsure about whether your agency has any agency specific retention schedules, please contact rmd@iara.in.gov for assistance.

Once you know which records you want to transfer to the Archives, determine where the records are stored. Some possible locations include but are not limited to:

- OneDrive
- SharePoint
- Network drives
- Email
- Local drives
- Physical media
- Recordkeeping systems
- Cloud storage

If you are transferring records created or managed by an agency head or other senior official, please see Section 2: Recommendations for Transferring Certain Records to the Archives below.

Step 2: Contact the Electronic Records Program

If this is your first time transferring electronic records, or if you have never transferred a particular record series electronically, or if you would like a consultation, please reach out to our Electronic Records Archivists by emailing erecords@iara.in.gov with the following information. If you have transferred records before and do not need a consultation, you can move onto Step 3.

1. A brief description of the records you wish to transfer, including record series numbers if you know them and the date range of the records
2. The system in which the records were created / stored
3. File formats
4. Whether the records contain any sensitive or confidential information
5. How often you would like to submit the records
6. Overall size of transfer – if you need help determining this, please ask

The Electronic Records Archivists will review your email and may contact you with follow-up questions or reach out to set up a phone call. Once all questions are resolved the Electronic Records Archivists will ask you to proceed with Step 3.

PLEASE NOTE: Legacy media such as discs, magnetic tape, old AV formats and floppy disks may require additional review and / or conversion by the agency prior to being approved for accessioning.

Step 3: Gather Your Records

To prepare the records you wish to transfer to the Archives, gather all the records in one location that is accessible to any agency staff who need to access them, and which meets any requirements for sensitive or confidential information. It is fine to make a copy of the records if you wish to also maintain them in-agency, or if they are scheduled to be maintained in-agency as well as transferred to the Archives. This location can be a shared network drive or Cloud storage location. It is generally best to avoid using an external hard drive or USB key to store archival records if possible.

If you have confidential records, whether they are the entire body of records or a subset of the records, please indicate them as such either via their file names or by placing them all in a clearly marked folder.

If you have deliberative materials and have a prior agreement with the Archives to seal these for a period, please indicate their status either via file names or by placing them all in a clearly marked folder.

Step 4: Fill Out Required Paperwork

1. State Form 57413: State Archives Electronic Records Transmittal and Receipt.

Work with your agency's Records Coordinator to fill out State Form 57413 before transferring any records to the Archives. Please see the [Agency Records Coordinators](#) page to locate your agency's Records Coordinator. Your agency Records Coordinator will need to sign this form before any action can take place.

Follow the instructions on State Form 57413 and fill out all fields. If you have confidential records, please be sure to provide all relevant Indiana Code citations. If you have records with personal information in them, please be sure to indicate all personal information categories on the form. Recording this information will help us better serve you and better understand the needs of your records. If you have confidential records, an Electronic Records Archivist may ask you for additional information for our internal documentation.

2. Inventory of files to be transferred

If you are transferring files directly from your agency to IARA you will need to attach an inventory to State Form 57413. If you are doing a direct IOT to IARA file transfer you do not need to attach an inventory. There are a couple ways to do this in a directory on a Windows 10 machine. Please note that not all users will have access to use command line tools; these are suggested options. If you have questions about how to create a file list, please email erecords@iara.in.gov.

Use the Command Line

1. Navigate to your folder.
2. Open the Command Prompt by clicking into the address bar of Windows/ File Explorer, typing "cmd" and pressing Enter. This will open a Command Prompt window directly with the file path already input.
3. Run the "PrintDir" command. To get a list of all folders and files inside your specified directory, copy and paste the following: dir /s /n /o:n > dirprint.txt
4. Press "enter" to run the command. This may take a moment, but you will know the file has completed when the blinking cursor appears again.
5. A new document titled "dirprint.txt" will appear inside the folder. Please note that the directory print itself will include "dirprint.txt" as one of the listed files.

Use Powershell

1. Navigate to your folder.
2. Open PowerShell by left-clicking once on the folder in the navigation pane of your File Explorer window (the left-hand side), then holding "Shift" and right-clicking. An option to "Open PowerShell window here" will appear. Click this and a PowerShell window will open directly with the file path already input.

3. Run the "Print Directory" command. To get a full list of files within a directory, copy and paste the following:
   Get-ChildItem -Recurse -File > dirprint.txt
4. Press "enter" to run the command. This may take a moment, but you will know the file has completed when the blinking cursor appears again.
5. A new document titled "dirprint.txt" will appear inside the folder. Please note that the directory print itself will include "dirprint.txt" as one of the listed files.

If you are using a non-Windows 10 operating system, or if your files are in a recordkeeping system, you will need to follow "print directory" directions for your operating system or recordkeeping system.

Step 5: Send the Records to the Archives

Once your State Form 57413 and list of files have been received and approved by the Electronic Records Archivists, they will reach out to arrange the details of the file transfer. Files can be sent to the Archives in several ways, including the following delivery methods:

- Network transfer
- File share/sync
- SFTP
- Secure email
- Removable media (e.g. portable hard drive)
- Cloud services (e.g. SharePoint or Teams)
- Direct IOT to IARA transfer (for Outlook mailboxes and OneDrives only – see Section 2)

For network, file share, and SFTP transfers the Electronic Records Archivists can either pick up files from the sender or grant the sender access to a drop location. Cloud services may require the sender to grant access to the Electronic Records Archivists. For specifics on sending files, see Section 3: File Transfer Instructions.

Please note that confidential information should NEVER be submitted via unsecured email.

If you are encrypting or using password-protection on the records you are transferring, you will need to provide the Electronic Records Archivists with login credentials or other information needed to access and download the files. If this information is not included, the transfer may need to be redone.

Depending on the amount of data being sent, we recommend the following delivery methods:

- <.2 GB – Secure email transfer
- .2-49 GB – Any delivery method except email
- 50-99 GB – Network transfer, file share/sync, or external drive. SFTP may be used in some instances.
- 100 GB or more – External hard drive (some exceptions may be made)
- Transfers of over 500 GB may require special considerations (see below).

Submissions of 50 GB or more can take place via SFTP or sync with IOT's approval and potential involvement, though they may require additional organization and preparation on the agency's part prior to transfer. Large file transfers can take an extremely long time and hinder bandwidth, which is why we encourage other delivery methods based on data size. If you need to submit more than 500 GB of data at once, please email erecords@iara.in.gov to discuss appropriate arrangements.

Section 2: Tips for Transferring Certain Records to the Archives

Records Created by an Agency Head or Other Senior Official

Records in this category will often fall under record series GRADM-3 on the State General Retention Schedule, but it is a good idea to check your agency-specific schedule as well as other series on the General Retention Schedule for All State Agencies.

The first step is to select a responsible point person. This person will typically be your agency's Chief of Staff, legal counsel, or Human Resources Director (HRD), or the administrative assistant of the agency head or senior official. Ideally, this person should have a working familiarity with records and information management so that they can work with IOT and any internal IT staff your agency has, be able to read and understand a retention schedule (IARA can also help with this), and be trusted to keep confidential or sensitive records private.

The most commonly transferred senior official records include mailboxes and OneDrives.

There are two options to transferring these records to the Archives:

1. The agency initiates and oversees the transfer by working with IOT.
2. The agency gives IARA permission (by filling out State Form 57413) to work directly with IOT to transfer files.

Option 1
This method requires the agency point person to be designated an Agency Authorizer by IOT. To designate someone as an Agency Authorizer, email the IOT Security Team at **#IOT Security Operations**. This will enable the point person to request a copy of the electronic records of your outgoing agency head which have been saved to the State's system.

Option 2
Email a copy of State Form 57413 with "IOT Transfer" checked to erecords@iara.in.gov. In your email indicate whether you need IOT to provide a copy of OneDrive, a mailbox, or both. The Electronic Records Archivists will then work directly with IOT to transfer the records to the Archives, and will alert you when the transfer is complete.

Common Storage Locations for Agency Head or Senior Official Records

Here are some tips to keep in mind about specific record storage locations when it comes to agency head or senior official records.

Calendar

If Outlook Calendar was heavily used to maintain a schedule of events linked to attachments such as agenda, speeches, and notes you will want to be sure to capture all of this information. It is a best practice to save attachments elsewhere, as Outlook Calendar is not considered a document repository. If possible, save attachments to a shared server or Cloud based storage location. However, if this is not possible or has not been done, you will need to download a copy of all relevant attachments. You may also want to download a copy of the calendar itself if it acts as a record of the person's day to day work and you feel it may be of archival value. If you need assistance downloading a copy of the calendar, please reach out to erecords@iara.in.gov.

OneDrive

Your Interim agency head, the new agency head, or an executive assistant may already have access to

the former agency head's electronic records. Alternatively, whoever is listed as the manager for the former agency head in PeopleSoft should also have access and can grant access to new people. Or your Agency Authorizer can request access from IOT.

Once you have access to the former agency head's OneDrive, you can copy all files and folders to another person for review, selection, and organization as needed. It is best to copy the contents as opposed to moving them, and to place the contents in a location which meets confidentiality, security, and access requirements. Once you have reviewed the OneDrive, you can email erecords@iara.in.gov to transfer a copy to the Archives.

Alternatively, you can use Option 2 above to do a direct IOT to IARA transfer of records in OneDrive.

SharePoint

Determine which SharePoint sites contain records that need to be transferred to the Archives and grant your point person access. If you are not sure if your agency head used SharePoint, contact your SharePoint agency administrator (IOT generally requires two people in this role) to see if they know of any sites the agency head created or used.

Agency server space

Not all folders are necessarily accessible to all staff, so ensure that any server locations with relevant records are accessible to your point person. This may require a request to the IOT Helpdesk asking for access to a specific server location.

Email

There are two options for retaining a mailbox:

1. You can request a copy of the mailbox be transferred to you or someone else in your agency. IOT will retain this copy in accordance with their email retention policy for three years after the person's departure from their role.
2. You can request a PST file of the mailbox be sent to you or someone else in your agency. You can then save this PST file to a storage location and use it as needed. This is the best option if you think you will need a copy of the mailbox for longer than 3 years and if you plan to transfer a copy to the Archives.

To transfer the mailbox to the Archives, first reach out to erecords@iara.in.gov. An Electronic Records Archivist may ask you questions to determine if the mailbox has archival value. If it does, they will walk you through next steps to begin the transfer process. A direct IOT to IARA transfer can be performed for mailboxes if you do not wish to be involved in the actual transfer process. Once the State Form 57413 is submitted, an Electronic Records Archivist can work directly with IOT to manage the transfer. They will let you know once it is complete.

If you wish to pre-weed the mailbox you may do so. This just means removing all non-records and duplicates from the mailbox. If you prefer that the Electronic Records Archivists weed the mailbox after it has been transferred, this is also an option.

GRADM-10 Records

The Indiana Archives and Records Administration (IARA) collects COVID-19 pandemic response records under series [GRADM-10: Documentation of Indiana's Responses to States of Emergency and Other Events of an Historic Nature](#).

GRADM-10	DOCUMENTATION OF INDIANA'S RESPONSES TO STATES OF EMERGENCY AND OTHER EVENTS OF AN HISTORIC NATURE Records of Indiana agency responses to states of emergency and other noteworthy statewide or nationwide events of an historic nature. If not otherwise notified, agencies may consult with the Indiana Archives if they believe an applicable event is occurring or has occurred. Response records document agency functions, actions, policies, procedures, and messaging during and after the event, and are not otherwise covered by GRADM-9 or an existing agency-specific emergency response series. Records may include, but are not limited to: administrative documents, electronic communications, records of assistance to or collaboration with other government entities, not-for-profit/volunteer groups, businesses, or citizens, general files, and summaries or histories written at a later date. Disclosure may be affected by IC 5-14-3-4(b)(6) and (19).	TRANSFER a COPY to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, one (1) year after creation or publication. Manage original records under their applicable agency or General Retention Record Series.

GRADM-10 was developed in response to the COVID-19 pandemic and is meant to capture records of the State's response to official states of emergency for posterity and future generations. This guidance will assist you in collecting and transferring records that fit this description to the Indiana Archives. If you have questions about whether certain records qualify as GRADM-10, please email arc@iara.in.gov.

What to look for

Please note that the list below is not comprehensive but is meant to act as a starting point. If your agency or division generated emergency-related items that fall under GRADM-10 but are not listed, include them when gathering records.

- Decisions, minutes, and related documentation of committees, advisory boards, and other public meetings.
- Operational policies developed in response to the emergency such as: telework, social distancing, Personal Protective Equipment (PPE), reopening plans, etc.
- Communications and training developed around newly implemented policies and procedures.
- Press releases and other public messaging, including social media.
- Internal and external publications.
- Photographs and agency web content.
- Timelines, maps, and other aggregate data.
- Reports and related review and analysis documentation.
- Agency pandemic response and planning documents, including after-action reports or similar.
- Cross-agency or collaborative efforts with other entities, groups, or individuals in response to the emergency.
- Records of agency efforts in the community (e.g., fundraisers, participation in local marches/events, etc.)

Where to look

Please note that this list is not comprehensive but is meant to act as a starting point. Records may be in any format – paper, electronic, microfilm, etc. If your agency or division has commonly used locations that are not listed, please include them when gathering records.

- Physical storage locations (filing cabinets, etc.)
- Shared network drives
- Microsoft Teams chat and conversations
- Stand-alone SharePoint sites (separate from Teams)

- Outlook
- Social media accounts
- Public-facing websites
- Agency internal website

Who to connect with

- Agency Heads - for policies, procedures, agency communications, and high-level decision-making records.

- Executive or Leadership Teams and staff – for policies, procedures, division communications, and other relevant decision-making records.

- Communications staff - for newsletters, blogs, agency announcements, and similar content.

It may a good idea to contact your agency IT department to explain your plan and ensure all electronic record storage locations containing GRADM-10 materials are identified and included. You may also wish to work with the Indiana Office of Technology if they act as a service provider to your agency.

When to begin

It is best to gather a comprehensive set of GRADM-10 records and transfer them all at once, but you can begin gathering them at any time.

- If your agency is no longer generating significant amounts of GRADM-10 records, you can begin planning your transfer to the Indiana Archives.

- If your agency is still generating significant amounts of GRADM-10 records, please wait to transfer until a later date.

- If you are unsure whether your agency is finished generating GRADM-10 records, begin collecting by following the steps below but wait to transfer until you are confident that you have as complete a set as possible.

Section 3: Conducting a Review of Your Agency's Electronic Records

If you are planning to review your agency's electronic records in preparation for transfer to the Indiana Archives, this list of tips can help. It is based on Records and Information Management best practices and is a tool to help you plan out a strategy. Questions about how to conduct a review of records? Get in touch: erecords@iara.in.gov.

Please note that not every records review will require every task below and these tasks may need to be performed in a different order than they are listed below.

☐ **Identify retention schedules.** Familiarize yourself with the General Retention Schedule and your agency's retention schedule.

☐ **Know your agency's Records Coordinator.** Records Coordinators act as a conduit to IARA for transfer and destruction of records (electronic and paper) and reviewing your agency's retention schedule.

☐ **Know where records are kept.** Make a list of all locations where records are kept. This can include server and Cloud storage as well as physical storage of electronic media like hard drives.

☐ **Know how much you have.** Make a note of the file count, folder count, and size. To find this information, right click on the folder or file and select *Properties* from the drop down menu. To determine the size of multiple folders or files, select all, right click, and select *Properties* from the drop down menu.

☐ **Determine dates.** It is a best practice to rely on human-created timestamps such as a date in a file name or a date in the document itself, opposed to the properties created by your operating system. Metadata created by an electronic recordkeeping system is more reliable and can generally be trusted.

☐ **Weed/Curate.** This is the process of separating anything that is not a record, is not a record your agency is responsible for, or is a temporary record, from anything that is a permanent record and/or needs to be transferred to the Archives.

☐ **Create a key.** Spell out any acronyms used in file or folder names in a key. The Archives will use this to retrieve items later if necessary. The list can be an Excel spreadsheet, Word Doc, or any other commonly used application.

☐ **Identify confidential materials.** Take appropriate steps to ensure confidential or sensitive records are secure. Keep in mind that you may not have access to, or be cleared to access, certain confidential or sensitive records, such as personnel or legal files. These types of records may require a reviewer other than yourself.

☐ **Identify obsolete media.** Floppy disks, zip drives, VHS tapes, and similarly older storage mediums are considered obsolete media. If you have these items and are not sure of the contents, IARA may be able to help. Please contact erecords@iara.in.gov with the specific media type.

☐ **Engage in responsible destruction.** Always destroy records in accordance with relevant retention schedule(s). When possible, avoid retaining records longer than retention schedules indicate. Remember, in a legal discovery request if your agency is in possession of the record you may be compelled to produce it, even if it should have been destroyed.

☐ **Develop policies.** To help avoid needing to do another major records review in the future, create an internal records management policy. This can include how records are managed, file naming conventions, and file format specifications. IARA is happy to provide feedback on any policies you develop: erecords@iara.in.gov.