

Indiana Archives and Records Administration State Agency Records Management Handbook

Indiana Archives and Records Administration
Records and Information Management Division
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The State Agency Records Manager Handbook is designed to help state government agencies in Indiana properly and legally care for the public records in their custody.

Note: Questions about the *confidentiality* of records, or about public records requests under the Indiana Access to Public Records Act (APRA), should be directed to the office of the Indiana Public Access Counselor at pac@opac.in.gov or (800) 228-6013 / (317) 234-0906.

This Handbook replaces the *State Agency Records Coordinator Handbook*. Please discard copies of that publication and use the Records Manager Handbook instead.

February 2025 Update: *State Form 16 replaced with newest version. State Form 57700 and State Form 57611 added. State Form 47167 deactivated and removed from handbook. Transfers to the Archives from Records Center storage, Disposing of Records at the Records Center and Destroying Records Yourself information updated.*

About the Indiana Archives and Records Administration

Divisions and Services

Records and Information Management Division:

- Develops, maintains, and provides access to state and county/local records retention schedules
- Advises state and county/local offices on records management and electronic records archiving

State Records Center:

- Provides temporary storage and document circulation for inactive state records
- Offers confidential pickup and destruction services for eligible state agency records
- Maintains master file of state agency records destruction notifications

Indiana Archives:

- Permanently collects legally and historically valuable Indiana government records
- Provides public access to those records that are not confidential by law
- Maintains secure storage of microfilm

Conservation Laboratory:

- Restores and repairs legally and historically valuable records
- Serves as a resource for disaster preparedness and emergency planning
- Advises agencies on proper records preservation methods

State Imaging and Microfilm Laboratory:

- Performs preservation microfilming of critical records
- Converts critical microfilm records to digital formats for better access
- Preserves digital records by writing files to microfilm as a secure back-up file to content management systems

Contact Information

Administrative Office

- 402 West Washington Street, W472, Indianapolis, IN 46204

Records and Information Management Division

- County/Local Records Management: cty@iara.in.gov
- Electronic Records Management: erecords@iara.in.gov
- State Records Management: rmd@iara.in.gov

Indiana Archives

- 6440 E. 30th Street, Indianapolis, IN 46201
- 317-591-5222
- archives@iara.in.gov

Indiana Archives

- 6440 E. 30th Street, Indianapolis, IN 46201
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Imaging and Microfilm Laboratory

- 100 N. Senate Avenue, N055, Indianapolis, IN 46204
- 317-232-3381

Agency Name Change

The former Indiana Commission on Public Records was officially renamed to the Indiana Archives and Records Administration by Indiana Senate Enrolled Act 528, effective July 1, 2015. All references to "Commission on Public Records" or "ICPR" in existing records retention schedules or agency policies now apply to the Indiana Archives and Records Administration/IARA.

1. INTRODUCTION TO THE RECORDS MANAGER HANDBOOK

1.1 Definition and Purpose

The Indiana Archives and Records Administration's (IARA) State Agency Records Manager Handbook is designed to help state government agencies in Indiana properly and legally care for the public records in their custody.

Public records are at the heart of public service. The Indiana Code, in 5-14-3-1, makes this clear when it states:

A fundamental philosophy of the American constitutional form of representative government is that government is the servant of the people and not their master. Accordingly, it is the public policy of the state that all persons are entitled to full and complete information regarding the affairs of government and the official acts of those who represent them as public officials and employees.

Public records, in this context, doesn't mean that all records are open to the public to view. It refers to records created in the course of government business, which belong to the public. There are three reasons every Indiana state agency needs an effective records management program:

1. to perform its legal mandates and responsibilities,
2. to minimize the costs of record storage, and
3. to assure public access to the documentary evidence of government.

Questions about the confidentiality of records, or about Indiana Access to Public Records Act (APRA) requests, should be directed to the office of the Indiana Public Access Counselor at pac@opac.in.gov or (800) 228-6013 / (317) 234-0906.

1.2 The Three Partners in State Records Management

Making your agency's records management program function effectively depends on three groups working together.

The Indiana Archives and Records Administration (IARA)

- Preserves state government records of permanent legal and historical value in the Indiana Archives
- Works with state agencies to develop, maintain, and apply retention schedules
- Advises agencies on best practices for arranging, preserving, and transferring records
- Provides storage, retrieval, and destruction services for inactive paper records at the State Records Center
- Images and microfilms records for space-saving, backup, and preservation at the State Imaging and Microfilm Lab

The Oversight Committee on Public Records (OCPR)

- Represents the interests of both state government and the public during discussion/action on major records issues
- Holds a monthly, open-to-the-public, meeting
- Reviews and approves the creation or update of Indiana government records retention schedules
- Reviews and approves special disposition requests for records not covered by a records retention schedule

Agency Records Coordinators and Records Managers

Records Coordinators and records managers follow retention requirements and work with IARA. This Handbook provides guidelines to support that work.

- A **Records Coordinator** is the person officially assigned by the head of your agency in accordance with Indiana Code 5-15-5.1-10 to be the central contact point between your agency and IARA, sign off on transfer and destruction of records, work with IARA to update your agency records retention schedules, share information and education on records management with fellow employees, and help to answer records management questions. You can find a list and contact information for all Records Coordinators on the IARA website (iara.in.gov) under *Services For Government*.
- A **records manager** is any employee of a state government agency who is responsible for what happens to records created and received by their agency. If it sounds like we're saying that every employee is a records manager, it's because that's exactly right! Everybody who works for a public agency works with public records, is responsible for what happens to them, and needs to know how to correctly and legally take care of them.

2. AGENCY RECORDS COORDINATOR QUALIFICATIONS AND RESPONSIBILITIES

2.1 Qualifications

An Agency Records Coordinator is assigned by the agency's Appointing Authority (agency head) or their designee in accordance with Indiana Code 5-15-5.1-10 by sending a completed State Form 42035 to the IARA Records and Information Division. Successful Records Coordinators have the following skills and attributes.

- Long-term familiarity with the business of the agency
- Background or some level of familiarity with being a records manager
- Project management aptitude
- Attention to detail and ability to follow written procedures
- Time to work on records keeping in addition to regular tasks
- Able to provide a record inventory and comfortably fill out records transfer and disposition forms
- Strong communication skills
- Willingness to learn

2.2 Responsibilities

Records Coordinators have 6 core responsibilities

1. **Complete and keep up with training provided by IARA.** You can find information about both in-person and online training courses on IARA's Workshops and Training page, under *Services For Government* on the IARA website.
2. **Be the person that staff in your agency can go to when they have questions.** Use what you've learned from this Handbook and the resources on the IARA website to figure out who at IARA can best help you and how to describe the help you need.
3. **Work with IARA on updates to agency retention schedules** by acting as a contact point between your agency and IARA and tracking progress on your agency's side. If you've passed it on to a division for review and you haven't heard back from them in a while, send a follow up. If you've sent a final draft to your agency head for signature and they're having trouble signing it electronically, assist them. When IARA sends you a finalized new retention schedule, make sure you keep a copy and pass it on to staff in the affected division(s). In other words, just like the job title says, you are the coordinator!
4. **Review and sign off on State Form 16: Records Destruction Notification.**
In addition to those sent out from the Records Center, you might fill out notices for records destroyed by your agency, or you might receive them from agency staff. Before you sign off on anything, always be sure to check the dates of disposition and record(s) dates against the appropriate retention schedule and verify by that the records are eligible.
5. **Review and sign off on records being transferred to the** Records Center or Indiana Archives. Ensure you are familiar enough with reading retention schedules that you can confidently check any transfer form sent to you for signature by verifying that the information is correct, and nothing is missing, before you sign it and pass it on to IARA.
6. **Maintain an agency file of all relevant paperwork**
 - a. Transfer and disposition forms are managed under Record Series GRREC-2, GRREC-3, and GRREC-5 on the General Retention Schedule for All State Agencies.
 - b. Keeping a file of historic, past versions of agency retention schedules may be useful as a reference tool. IARA also maintains copies of past versions of retention schedules under record series 84-50.
 - c. Maintaining a box inventory of records you have transferred to the Records Center can help your agency find records should they need to be retrieved again. Even a basic description of the box contents beyond the record series may come in handy later.

3. RECORDS AND NON-RECORDS

3.1 Public Records

A public record is any piece of recorded information that is created or received by your agency and documents the activities of your agency regardless of the medium it is recorded on and the format in which it is recorded. The medium is the type of container used to store information. This includes, but is not limited to, the Cloud, paper, microfilm, discs, external hard drives, and tapes. The format is the way the information on the medium is arranged. This includes, but is not limited to, text, image, databases, audio recordings.

3.2 Non-Records

A non-record is any piece of recorded information you might have in your agency that does not document the activities of your agency or that is a duplicate of information that is a public record. Non-records are not subject to laws and rules that govern public records.

Some examples of non-records are:

- Reference and training materials used by your agency but not created by it
- Publications that you did not create, even if they're from another government agency
- Advertising material you receive, whether in paper or electronic (e-mail) form
- Personal papers or correspondence of someone in your agency that don't relate to their government job
- A copy of your information in the same format as the original, for instance, photocopies or duplicate electronic files
- A copy of the same information in another format, for instance, microfilm, scanned records, or a paper printout of an electronic record
- Information about your agency that is published by another government agency. For instance, an Audit Report created by the State Board of Accounts – this is a public record, but it's the responsibility of the SBOA to retain it. Your copy can just be kept for reference.

3.3 The Copy of Record

The Copy of Record is whichever version of the information your agency currently uses to fulfill the legal retention requirements for that type of information.

If you have duplicates, whether or not they are in the same format as the original, you'll need to determine which version is the Copy of Record, with all other versions being a duplicate.

If the information is the same, you can decide which version is the Copy of Record. The Copy of Record does not need to be the original. It doesn't even need to remain the same format over the lifetime of the record. For example, if you scan a paper record, you might decide that the scanned copy is now the Copy of Record and destroy the paper originals.

In summary, if the information is an authentic duplicate and the format and medium meet IARA standards then any version of the information can be the Copy of Record. IARA standards include 60 IAC 2 for microfilm, and OCPR Policies 20-01 and 20-02 (Appendix L and M) for electronic records.

3.4 Destroying Non-Records

The following items may be destroyed at any time once they are no longer needed or useful for your agency:

- Duplicates that you have determined are not the Copy of Record
- Non-record materials as described in section 2.2.

You do not need prior permission from IARA, nor do you need to notify anyone afterward.

You don't need to fill out any forms or follow the other destruction procedures for public records described later in the Handbook, because these things are not considered records.

Duplicates of confidential materials are still confidential, though, and must be destroyed in a confidential manner.

4. USING AND UNDERSTANDING RECORDS RETENTION SCHEDULES

4.1 Anatomy of a Records Retention Schedule

Example of a record series:

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
2	72-166	<p>CASE FILES</p> <p>Case investigation files on state contractors and vendors suspected of fraudulent activity during business interactions with government-run medical facilities.</p> <p>Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9). Retention based on IC 34-11-2-6.</p>	TRANSFER to the RECORDS CENTER one (1) year after case closure, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional five (5) years in the RECORDS CENTER.

Once you know what a public record is, you can make some decisions about how to manage yours by using records retention schedules. Retention schedules list and describe:

- the categories of records commonly created by your agency or division
- how long to keep the records in each category
- what happens to those records both during and after that period.

Sometimes abbreviated to "RS", record series are the categories that make up a retention schedule. Each record series describes a group of records that 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 consist of four main data points:

- Item Number
- Record Series Number
- Title/Description
- Retention Period

There are two types of retention schedules:

- Agency-specific retention schedules are created, revised, and deactivated by your agency and IARA.
- The General Schedule for All State Agencies is maintained by IARA.

Both types of schedules can be used to manage your records.

If you come across a record that your Records Coordinator agrees doesn't seem to be covered by a retention schedule, contact IARA's Records Management Division at rmd@iara.in.gov/317-232-3380, so that they can help you identify it, and if necessary, update a relevant retention schedule to include it.

The key to using retention schedules effectively is understanding their contents, format, language, and how to apply all of that to your records. By the end of this section, you'll have that key in your hand.

4.2 Item Number

The item number is the first data point listed on a retention schedule. It acts as a quick reference and a method of organizing record series on the schedule. The item numbers do not necessarily indicate the order in which record series were developed and are not part of the record series itself. They're just a changeable, automatically assigned line number to help you keep track of where you are on the page when you're reading.

4.3 Record Series Number

The record series number is a unique identifier assigned when the record series is added to a retention schedule and approved by the Oversight Committee on Public Records. It's the key piece of identification used when filling out the State Forms required for destroying or transferring records as they can't be approved without it. When consulting with IARA staff, Records Coordinators should always try to provide the record series number to prevent the misidentification of records.

- **Agency-Specific Record Series Numbers:** The first two to four digits of a record series number belonging to one specific state agency show the year when the record series was approved. The next digits, after the dash, indicate their place in the sequence of record series approved by the OCPD that year. For example, "72-166" would identify the 166th series created in the year 1972.
- **General Retention Record Series Numbers:** Record series common to all agencies produce them are collected in a single publication called the General Retention Schedule for All State Agencies. These record series have numbers that indicate that fact, then their subject area, then the order in which new record series were added to that subject area. For example, "GRADM-3" indicates General Retention, Administrative Records, 3rd series created in that category.

4.4 Record Series Title and Description

The Record Series Title is a descriptive name for the record series. Unlike the RS Number, it is not always unique. For example, several different agencies might have a record series called "Case Files" that contains a completely different type of information from another agency's Case Files. Record series titles should, however, be unique within their own retention schedule.

The Record Series Description is a brief synopsis of the type of information covered by the record series, usually located below the title. If the title is very, very self-explanatory, there may be no additional description. It usually mentions:

- government programs the records are part of
- who sends the records to the agency
- why they're created or treated in a certain way
- the different document or data types that may show up in the file.

It may also mention:

- State or Federal forms by their number or title.
- The format or media in which the records are created or stored.
- State, federal or local legal citations that affect confidentiality and access
- Retention citations that explain retention requirements

The Title/Description section is written for a broad audience and IARA tries to avoid wordy legal definitions, internal jargon, and abbreviations. While forms, reports or documents are sometimes mentioned specifically, please be aware that for legibility and usability reasons not all items are always listed. Not all items that fall under a record series need to be mentioned explicitly, as long as the overall description covers the subject matter.

4.5 Retention Period and Disposition Instructions

This section covers the details of what the agency must do with the covered records. Like the Title/Description, the instructions are written as briefly and straightforwardly as possible to enable anyone to understand what they need to do to fulfill legal requirements toward the records.

These instructions may include information on format, lifecycle, and what happens when the retention period is over – otherwise referred to as final disposition.

- Format information may include details about converting records to another format or maintaining records in a specific format. Microfilming records is optional, and thus won't be mentioned in most retention and disposition instructions, but microfilming Critical Records does remain a best practice and is recommended by IARA.
- Lifecycle information may include how long the records need to remain in various locations and/or in your agency's ownership before their final disposition.
- Final disposition information covers what to do with your records when they reach the end of their lifecycle. Instructions may include destruction or transfer to the Indiana Archives. Records with potential historical significance will be scheduled for Indiana Archives transfer, where the Archivists may preserve them exactly as received, or may weed, sample, and evaluate the records to retain only those items with permanent value in the collections.

4.6 Record Series Order

There are three methods that IARA uses to arrange and display retention schedules, and the order of the record series may change based on your view:

1. Retention schedules generated by IARA and sent to your agency Records Coordinator when the newest version of the schedule is approved, group record series together by similar or related functions. This layout is considered the most human readable and easiest to use. If you need a copy of a schedule in this format, and your Records Coordinator doesn't have one or isn't available, just contact IARA's State Records Management section at rmd@iara.in.gov.
2. Retention schedules printed from the retention schedule search in IARA's ResearchIndiana database auto-sort the record series in the order of record series number. These can be useful if you know the number and just need to look up the instructions for it, but not so great if you're trying to figure out what sort of record you've even got.
3. Retention schedules specially printed up for you by IARA staff may sort the record series by title, manually group them by similar retention instructions, or any other useful order that you've requested and we're able to create.

Any of these versions of the same retention schedule are fully legal to use, and every one of them could have the same Item Number assigned to a completely different record series, so it is best to always use the RS Number.

In summary,

- Don't worry about the item numbers on retention schedules; they don't have any unique meaning, and you'll never need to supply that information on a records destruction or transfer form.
- Don't assume there's something wrong with your copy of a retention schedule if the record series are in a different order than you're used to. The one that you think is missing is most likely just on a different page!

5. RECORD SERIES TERMINOLOGY

5.1 Glossary of Terms

While IARA staff try to write as plainly as possible, some of the language used on retention schedules may still be a bit obscure. Other words are familiar enough but may be used in a way that doesn't immediately make sense if you're not used to records management. Here's a brief guide to help clear things up!

AUDIT

Unless another type of audit is specifically mentioned, this refers to the audits performed by the Indiana State Board of Accounts. You'll find these references in the instructions for when to transfer or destroy certain records, and they'll usually list a period of time, then add "...and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges."

This phrase no longer refers to an agency-specific audit. Here's how to verify that you've fulfilled the requirement:

1. Visit the SBOA Audit Report Database (<https://secure.in.gov/apps/sboa/audit-reports/>)
2. In the "SEARCH" text box, type "Federal Single."
3. In the "UNIT TYPE" drop-down box, choose "State."
4. Leave everything else blank.
5. Click the SEARCH button.
6. In the results, click the arrow next to "End Date" to sort by that column.
7. Click the same arrow again to bring the most recent to the top.
8. Find the most recent End Date by looking for the most recent end date for the Statewide Audit.
9. If your records date is ON OR BEFORE that End Date, you're good to go!

You don't have to prove that a specific record or file was examined by the auditors; you just need to prove that it could have been, by verifying that an Audit Report has been published since the time when the last information was added to the record.

CONFIDENTIAL

Depending on the age of the record series you're working with, you may find this stated in a number of different ways.

Older phrasings:

- Confidential
- Partially confidential
- Confidential at the discretion of a public agency

Modern phrasings:

- Access [to these records] may be affected by...
- Disclosure [of these records] may be affected by...

All of these will be followed by a state, federal, or local legal citation. If you look up the cited code you will find an explanation of confidentiality, and if applicable, how long the information must remain that way. Some records are confidential forever; some have a time limit.

For an employee reading the retention schedule, these all mean basically the same thing: these records, or some part of these records, contain information that not everyone is allowed to access. The details on who is allowed to access the records, which parts might be open to everyone, any time limit on confidentiality, and the reasons for it, can be found by reading the full text of the listed legal citation in its source publication. Source publications include but are not limited to Indiana Code and US Code which are available online if you need to look one up.

If you have questions about the confidentiality of a certain type of record, you or your Records Coordinator can contact the office of the Indiana Public Access Counselor for advice and assistance at pac@opac.in.gov.

CRITICAL RECORD

On a select number of record series, you'll find the phrase "THIS IS A CRITICAL RECORD" in the description. This refers to records that are considered critical to the continuity of Indiana government as described in Indiana Code 5-15-5.1-12. Critical records are determined by IARA with input from your agency's stakeholders during the development or revision of a retention schedule. For Critical Records, microfilming is strongly recommended as it remains a long-lived format and industry best practice.

DISPOSITION

Disposition refers to what happens to the records, including any changes of format. Disposition isn't synonymous with "destruction." Rather, destruction is just one type of disposition. The most common other type of disposition is transferring a permanent record to the Indiana Archives.

EVALUATION, SAMPLING or WEEDING

Most record series scheduled for transfer to the Indiana Archives will contain language like "for EVALUATION, SAMPLING and WEEDING pursuant to archival principles."

This just means that the archivists are authorized to review the contents of transferred records and keep only those parts that they determine to have lasting value. Those "archival principles" consist of their own experience and education, best practices in the archival profession, and any processing guides that have already been created for that record type by Indiana Archives staff.

IMAGE

This is another word for scan or digitize and describes the process of copying paper or microfilm records to an electronic format, a process that might occur within your own agency, or can be performed by the State Imaging and Microfilm Lab or another vendor.

You'll see it most often in the phrase, "IMAGE according to IARA standards." These standards can be found in OCPD Policy 20-02. Going forward, imaging language will be used as needed and where it relates to existing agency procedures.

Related phrase:

- **"After verification of electronic records for completeness and legibility."** This is the quality control that your agency must perform once you create or receive your electronic records.

MICROFILM

Copying paper or electronic records to microfilm format. (Some record series instructions may refer to *microfiche*; this is still microfilm. Fiche is just a specific way of printing and cutting the film.)

You'll see it most often in the phrase, "MICROFILM according to 60 IAC 2."

Related phrases:

- **"According to 60 IAC 2."** This is the Indiana Administrative Code that lists the minimum standards for government entity microfilm.
- **"After verification of microfilm for completeness and legibility."** This is the quality control that your agency must perform once you create or receive your microfilm rolls.

OUTDATED OR REPLACED

Some records are only useful while they are the active copy of the information and have no agency or historical value once a new version has been created or received. For records like these, you will likely see retention instructions of "DESTROY when outdated or replaced." This means that once you have the new copy, or the information on your current copy is no longer accurate, it's fine to destroy that one.

TRANSFER

Most often used to mean: You should move the records from their current location – usually within your agency – to the Indiana Archives, or to some other listed repository.

In some rare cases: You may find a phrase like "If XYZ happens, TRANSFER to Record Series PDQ." In that situation, TRANSFER means that because certain criteria (XYZ) have been met, these records should now be considered to fall under a different record series (PDQ), and you should follow the retention instructions for that other series.

5.2 Terms Used in the Record Series/Retention Schedule Search

While you won't find them in a printed retention schedule, these may come up if you're using IARA's online search:

Discontinued series: This is a record series that is deactivated and no longer authorized for use. Either the record type is no longer created, or the records are now covered under a different record series. Discontinued series will not appear on printed retention schedules, but are available in the online search, so that you can research them for historical purposes.

Status note: If present, this note will let you know when a record series was discontinued, why, and which other record series (if any) to use in place of it.

5.3 Differences in Language About Format

Records can be created or received in many formats, and they may also be converted from one format to another. IARA generally tries to rely on format-agnostic language where possible.

If retention instructions are written specifically for a format you're not currently working with, you can use the following best practices.

1. If the retention schedule says IMAGE or MICROFILM, but instead you have paper records that you would like stored at the Records Center, contact the Records and Information Management Division about revising the schedule. Records Center storage must be specifically approved on the applicable retention schedule.
2. If the retention schedule says TRANSFER to RECORDS CENTER, but you have electronic records, just maintain them in your agency until their final disposition date instead and contact the Records and Information Management Division about revising the schedule.
3. If the retention schedule says the final disposition is DESTROY, but you have electronic records, you still need to destroy the records.
4. If the retention schedule says the final disposition is TRANSFER to the INDIANA ARCHIVES, this applies no matter what format you have.
5. Record series whose descriptions state "THIS IS A CRITICAL RECORD" can be transferred to microfilm as a best practice when possible, but microfilming is not a requirement.
6. If the records are not designated as CRITICAL RECORDS on the retention schedule, and the retention schedule says MICROFILM and TRANSFER to the INDIANA ARCHIVES, but you have electronic records, just transfer those instead, on the same time-schedule. If your agency would prefer to IMAGE instead of MICROFILM, see Section 11 of this handbook.

5.4 General and Agency-Specific Schedules

There are two primary types of retention schedules you may find yourself using: General Retention Schedule for All State Agencies and/or an agency-specific retention schedule.

The General Retention Schedule for all State Agencies contains broad and common record series that can apply to all state agencies.

Agency-specific state retention schedules list all the record series that belong to a specific unit of state government: a specific agency, or a specific division of an agency.

For records that could fall under an agency-specific record series AND a series on the General Retention Schedule: use the longer of the two retention periods.

5.5 Where to Find Current Retention Schedules

To get the latest approved version of any state government retention schedule (including the State General Retention Schedule for All State Agencies), see the iara.IN.gov website under *Services For Government/State Retention Schedules*, or contact the State Government Records Management section directly at rmd@iara.in.gov.

6. CREATING AND UPDATING RECORDS RETENTION SCHEDULES

6.1 What if My Record is Not on a Retention Schedule?

Ideally, every record we work with would already be covered by an existing record series, but real life doesn't work that way. Employees create new record types, and sometimes find older records that were never added to a schedule.

If a record is not covered under an existing retention schedule and your agency still creates and/or receives it, you can create a new record series. Work with your agency Records Coordinator and IARA to follow the retention schedule update process outlined in the rest of this section.

If a record is not covered under an existing retention schedule, and your agency no longer creates and/or receives that type of record, then there is no need to add it to a schedule. "Schedule" and "series" both refer to things that are going to happen again, and these records won't.

Instead, if you need to destroy your records, ask IARA to create a PR-2: Request for Records Disposition for your obsolete records, instead of updating your retention schedule with a new record series.

The PR-2 goes through the same drafting and approval process as a retention schedule does and looks almost the same. It just won't receive a Record Series Number, and once approved, it will only cover the exact collection of records described in it.

6.2 Making a Records Inventory

The first step an agency should take when creating or updating a records retention schedule is to inventory its records. A complete and reliable records inventory and analysis is essential to developing an accurate retention schedule. This is not, however, an item-by-item or folder-by-folder listing of a file cabinet. Instead, it's an inventory of the types of records you create or receive. Compare this inventory to your existing retention schedules (including the General Retention Schedule for All State Agencies), and note which records are already described on the schedule, which are not, which may need updates to description or retention instructions, and which are listed on the schedule, but no longer created by the agency.

6.3 The Revision and Drafting Process

In cooperation with the agency, the IARA will analyze the results of your records inventory and work with your agency Records Coordinator to create a new draft. The draft format shows the existing retention schedule with additional markup which indicates if a new series should be added, an existing series should be amended, and if any series should be discontinued. When all parties are satisfied with a schedule as drafted, it is submitted for the approval of the Oversight Committee on Public Records (OCPR).

6.4 The Oversight Committee on Public Records

The Oversight Committee on Public Records (OCPR) meets monthly. Meetings are open to the public and to representatives of any state agency.

The members consist of the Governor or a designee, the Secretary of State or a designee, the Examiner of the State Board of Accounts or a designee, the Director of the State Library, the Director of the Archives and Records Administration (serves as Secretary for Committee), the Commissioner of the Department of Administration or a designee, the Director of the Office of Technology or designee, the Public Access Counselor or a designee, a county clerk or recorder who serves on a county commission of public records, a member of the press or journalistic professional agency, and a member of the public, generally in a records-related profession.

The time and date of the next OCPR meeting are always posted on IARA's website, under *About Us / Oversight Committee on Public Records*, as well as the minutes of the previous months' meetings. Once the agenda for the upcoming meeting has been set, it is also posted there. Meetings are open to the public and, of course, to representatives of any affected public office.

Once the OCPR approves a retention schedule, the Secretary signs it. One copy is then sent to the Records Coordinator, whose job is to distribute copies to the agency director and affected divisions. After the approved schedule is received by the agency, it goes into effect and should be followed.

6.5 Steps of the Retention Schedule Update and Approval Process

1. The process of updating a retention schedule begins either at the request of the agency or when five years have passed since the last review.
2. An IARA Records Analyst sends a draft to Records Coordinator. The draft may contain revisions proposed by IARA or by agency, arranged into a specific draft format, or it may contain no changes and just be a copy of the existing schedule for agency review.
3. Agency staff review draft or existing schedule. This may include the Records Coordinator, legal staff, Information Technology staff, data analytics staff, and other subject matter experts. After reviewing, the agency suggests changes, determines that the existing schedule needs no updates, or approves any proposed changes without further discussion.
4. If further changes are needed, IARA will work with your agency to develop a new draft. If no updates are needed, the IARA Records Analyst marks the schedule as up-to-date and closes the project.
5. If further changes are needed, once a final draft is agreed upon the IARA Records Analyst submits the draft to IARA's Leadership Team for review. If the revision contains changes to fiscal content (revenue or expenditure records), the IARA Records Analyst also submits a copy to the State Board of Accounts (SBOA).
6. IARA's Leadership Team and SBOA return notes or approval to the IARA Records Analyst. If changes are requested by IARA's Leadership Team or SBOA, the draft goes back to the Records Coordinator and Step 2.
7. Once the draft is approved, the IARA Records Analyst e-mails a final draft packet to the Records Coordinator for the agency-head to digitally sign. The packet includes State Forms 39443 and 41139. Barring emergency corrections, no changes should be requested at this point.
8. The Records Coordinator e-mails the digitally signed packet back to the IARA Records Analyst.
9. IARA Records Analyst routes the packet to SBOA for their expert review and signature.
10. The fully signed packet is placed on the agenda for the next available monthly OCPR meeting.
11. The Records Coordinator is notified of the meeting date, time, and location. If an agency staff member needs to attend, the IARA Records Analyst will notify the Records Coordinator at this time.
12. The schedule is added to the agenda for the next OCPR meeting where members will review it and give a final vote. If OCPR requests any changes, and there are no agency staff present, the schedule is tabled until the next meeting and the IARA Records Analyst will follow up with the Records Coordinator. If OCPR requests changes and those changes are approved by agency staff at the meeting, the schedule is approved with amendments. If OCPR requests no changes, the schedule is approved as presented.
13. Once the schedule is approved by OCPR, the IARA Records Analyst will send the Records Coordinator the finalized schedule, signed by IARA's Executive Director. This is your new official schedule.

7. RECORDKEEPING BASICS

7.1 Trustworthy Records

Agencies are responsible for establishing the trustworthiness of their records when called upon to do so in a court of law or while fulfilling an Access to Public Records Act (APRA) request. The trustworthiness of electronic records depends on their:

- Integrity: the content is complete and untampered. Any modifications are documented according to pre-established policies.
- Usability: the content can be located and viewed. Any relevant context should be maintained.
- Reliability: the content is a complete and accurate representation of agency activities.
- Authenticity: the content can be proven to have been created by the originating agency.

An excellent way to establish trustworthy records is to maintain your records for the duration of their lifecycle, ensure they are accessible, keep your records well organized, ensure they are secure, and provide staff with sufficient user education with regards to your agency's recordkeeping needs.

Agencies collecting information on citizens, particularly that of a personal nature, should be aware of the Fair Information Practices Act (FIPA), IC 4-1-6-1, as it defines statutory requirements for documentation. Because of FIPA, the importance of documenting procedures for systems that transmit or store personal information cannot be overemphasized.

7.2 Preservation

Not every storage system will be reliable over the long-term and it is important to plan ahead for electronic records that are scheduled for permanent retention. If your office is responsible for records designated as critical on an Oversight Committee on Public Records retention schedule, please see IARA's Critical Records Guidance for further information.

Microfilm is a tried and trusted preservation format. When maintained correctly it can last up to 500 years. It takes up a smaller storage footprint than paper, is most cost effective as a permanent storage method than electronic records and can be easier to maintain than both paper and electronic records.

Good quality paper is another tried and trusted format for the preservation of records over the long-term. When maintained in a stable environment free of pests and moisture, paper is very stable. While it takes up a larger physical footprint than electronic records, it can also be more cost effective when you factor in the cost of supporting an electronic recordkeeping system.

Records can be maintained permanently or over the long term in an electronic environment. However, it is important to be aware of the costs of maintaining electronic records and to be prepared to migrate to a new system or storage method as needed.

Ultimately, for records that are critical or permanent or both a dual approach tends to be the safest. Maintaining a master copy on microfilm and an access copy in an electronic format can mean having the best of both worlds. The master microfilm serves as a backup in the event anything happens to prevent access to the electronic records, and the access electronic copy is easier to use than microfilm.

7.3 Access

Difficulty in retrieving records is not a legitimate reason to deny access; therefore, records must remain reasonably accessible within the agency throughout the required retention period. Requests for non-confidential records must be treated in the same manner as requests for other public records.

Regarding the public's right to inspect and copy public records or recordings, Indiana Code 5-14-3-3(2)(j) indicates the following:

A public agency that maintains or contracts for the maintenance of public records in an electronic data storage system shall make reasonable efforts to provide to a person making a request a copy of all disclosable data contained in the records on paper, disk, tape, drum, or any other method of electronic retrieval if the medium requested is compatible with the agency's data storage system.

Maintaining accessible records is the responsibility of the creating agency. Prior to transfer of records to the Archives, your agency may be asked to convert or migrate records if they have not been held in an acceptable modern format.

7.4 Organization

Records should be indexed in an organized and consistent manner and reflect the way they will be used and referenced. A good rule of thumb can be to apply successful organizational processes already in use for your agency's paper records. Every effort should be made to file electronic records systematically for convenient retrieval.

Records maintained electronically have the potential advantage of supplying multiple access or index points.

Example: Agency correspondence is indexed in the following manner:

- date sent or received
- name of the sender or recipient
- subject, topic, or purpose

If the correspondence is related to a particular type of record, such as a personnel file, the primary index point will be what is used for that file (the name and/or social security number of the employee).

Standardized filing rules within an agency may serve this purpose. File naming conventions that standardize labels, acronyms, and date formats across an agency can make this easier and additionally support the retrieval of documents through the use of key words and terms. Barcodes or ID numbers can also act as unique identifiers for locating specific records.

Agencies not technologically equipped to maintain electronic records for the full retention period in a readable electronic format should contact the Indiana Office of Technology for advice and assistance.

7.5 Security

In addition to following all information security policies issued by the Indiana Office of Technology, security measures should be taken within agency electronic record systems to protect records from unauthorized alterations or deletions.

7.6 User Education

Agencies are responsible for ensuring that employees become familiar with the legal requirements for creation, maintenance, and disposition of records. Records Coordinators, records managers, and records custodians should emphasize to users that electronic records are public records subject to records retention schedules.

7.7 Electronic Record Keeping

Electronic records are any records created, maintained, altered, or deleted in a digital format. These records are subject to the same record keeping requirements as paper records.

However, the complexities of media (the physical storage objects on which electronic records are stored) and format (the programs, versions, file types, and operating systems that are required to access the records) require agencies to think ahead and incorporate records retention requirements within record keeping systems at the point of design.

Records Coordinators must work with agency IT staff to communicate retention policies for electronic records to their agency's employees and take the steps necessary to ensure compliance.

7.8 Electronic Communications

Because electronic communication is increasingly used to conduct state government business, its volume and ease of creation/deletion present special challenges for records management. Electronic communications include but are not limited to e-mail, texting, chat logs, recordings of video chat, voicemail (recordings and transcripts), blogging, and social media.

It's crucial that agencies develop procedures to ensure that records created or received via electronic communication systems are managed according to approved records retention schedules and record series. All electronic communication conducted on state government computers is owned by the State of Indiana and almost all of it is subject to record retention requirements, just like any other information created and collected by your agency.

One of the most important things to know about electronic communication is that it is only a format, not a record series. An inbox full of e-mails is legally the same as a stack of physical letters on your desk: a collection of records that need to be sorted by content into the various record series that apply to each type of information, and retained for the same period as you would retain a paper letter about the same subject.

That sorting doesn't have to be difficult, however, because most agency electronic communications are going to fall into one of four categories:

- Personal and Transitory messages: Transitory communications include unsolicited advertisements, the recipient's copy of messages sent to a mass audience (such as a professional mailing list or a group chat), and routine office communications that convey information of temporary value, the equivalent of a sticky note or "while you were out" phone message.
- General Files – GRADM-4 on the General Retention Schedule for All State Agencies.
- Policy Files - Appointing Authorities, Deputies, and Division Directors – GRADM-3 on the General Retention Schedule for All State Agencies.
- Program-related records: Records related to the specific programs of your office, which you would classify under the same record series numbers that you use for records in that program that aren't electronic messages.

7.9 Imaged Records

Imaged records are a specific type of digitized record: a paper or other eye-readable physical record is electronically scanned, which creates a picture of it in digital form.

IC 5-15-1-1(a) explicitly allows for the use of an imaging system in the creation and storage of public records:

Any officer, office, court, commission, board, institution, department, agent, or employee of the state may have or cause to have records recorded, copied, or reproduced under this subsection by any optical imaging process that correctly and accurately copies or reproduces, recreates, or forms a medium of copying or reproducing the original record, document, plat, paper, or instrument in writing.

As long as your digitized images meet the qualifications listed in OCPD Policy 20-01 (Appendix L) and the resolution standards set out in OCPD Policy 20-02 (Appendix M), you may use them to meet both the requirements of your records retention schedule, and the Indiana Access to Public Records Act.

This means that you may:

- image any record, regardless of whether imaging is specifically mentioned in the Retention and Disposition instructions.
- image records instead of microfilming them, as long as the images meet the specifications in Policy 20-02.
- destroy originals once you have verified that images are authentic duplicates and meet the specifications in Policy 20-02.

If you need guidance on this matter, please contact Electronic Records staff, at erecords@iara.in.gov.

7.10 Transferring Electronic Records

The Archives will only accept electronic records that are scheduled for permanent retention and can be proven to be trustworthy.

If this is your first electronic records transfer, please contact the IARA Electronic Records program to discuss the following:

- Record series
- Type of system the records were created in
- File format(s) you will be transferring
- Folder and file organization
- Whether or not the records contain any Personally Identifiable Information (PII) or classified information
- Whether or not the records are on physical media (e.g. a hard drive)
- How often will you be submitting electronic records
- Required documentation

Please keep in mind that if your electronic records fall under multiple series that are inextricably interconnected and must be retained as a whole to retain their trustworthiness, you may need to consider reclassifying them or creating new record series. If you believe this to be the case, please contact State Records Management at rmd@iara.in.gov.

If you have previously transferred records, please provide the IARA Electronic Records program (erecords@iara.in.gov) with a fully completed and signed State Form 48883 for each record series you are transferring.

Even if you have transferred electronic records previously, it is helpful to conduct an inventory prior to completing State Form 48883. You will want to determine:

- how many record series you are transferring.
- the date range of the records.
- the file types.
- the total amount of data to be transferred.
- the types of physical media on which records are stored (if applicable).

Please be aware that larger direct network transfers may require Indiana Office of Technology support. If you need to submit more than 500GB at once, please contact Electronic Records to discuss appropriate arrangements.

8. DESTRUCTION OF RECORDS

For an in-depth guide on destroying records, please refer to [A Guide to Responsible Records Destruction for State Agencies and County/Local Offices](#).

8.1 Calculating When Records are Eligible for Disposition

To calculate the date records are eligible for destruction, start with the month and year of the latest records, then add the period specified in the retention schedule, plus one month.

For example, General Correspondence (GRADM-4 on the General Retention Schedule), can be destroyed after three years. If the latest correspondence is from March 2014, then the records may be destroyed in April 2017.

8.2 Destroying Records Yourself

Retention schedules grant agencies the authority to destroy records after the specified period; it's not necessary to obtain permission from the Archives and Records Administration each time scheduled records are due for destruction.

State Form 57700: Record of Destruction is an optional form available to document the destruction of records that you can destroy yourself.

Complete all required entries on the Record of Destruction form, especially those that note the dates of the records and the date they are eligible for destruction. It is extremely important to use the record series title and record series number exactly as they appear on the retention schedule, since it may be necessary to establish at a later date that the records were destroyed legally. The Record of Destruction must be signed and dated by the agency's Records Coordinator.

After completing the form, maintain this form in your agency under Record Series GRREC-2 on the General Retention Schedule for All State Agencies. This form acts as internal documentation for the use of State agencies and does not need to come to the Indiana Archives and Records Administration.

When performing your own records destruction, be aware that your agency may also have additional requirements related to the *manner* of disposal for certain confidential records. These are not listed in the records retention schedule, but instead they are set by internal agency policies, specific contracts, or federal guidelines for your programs.

8.3 Requesting Records Center Destruction for Records Located in Agency

While agencies may destroy their own eligible records, the Records Center also provides a pick-up and destruction service for agencies in the Indianapolis area, if requested. Records Center destruction should not be used for confidential records.

To ask the Records Center for courtesy records destruction of records located in your agency, complete State Form 16: Records Destruction Notification and select "Option 2: Arranged pick up and destruction of records located in your agency" in Section 3: Agency Approval of Destruction. Then send the completed form to the Records Center, and their staff will arrange to pick up the records from the agency.

To avoid confusion, all records picked up for destruction by the Records Center staff must have fully completed box labels, just as if you were preparing them for storage.

8.4 Using the State Approved Quantity Purchase Agreement Vendor

To use the State approved Quantity Purchase Agreement (QPA) vendor, contact Shredding and Storage Unlimited. This vendor is able to shred confidential records. This vendor covers the entire state of Indiana, including any satellite offices in the counties or cities. For more information, please visit the Indiana Department of Administration's procurement website: <https://www.in.gov/idoa/procurement/>.

9. WORKING WITH THE STATE RECORDS CENTER

9.1 Purpose of the State Records Center

To minimize storage costs and to free office space for use by agency staff, the State Records Center provides state agencies with off-site storage for their inactive paper records, when a fully approved retention schedule authorizes the transfer. After the transfer, title and ultimate responsibility for the records remains with the agency that created them.

9.2 Preparing to Transfer Records to the Records Center

Using IARA Records Boxes

Agencies must pack records in cubic-foot-size white IARA Records Boxes. These boxes are designed to accommodate both letter-sized and legal-sized documents. Both new and used Records Center boxes must be ordered directly from the State Records Center using State Form 53485 (for new boxes) or 54744 (for used boxes).

Arranging the Records

All records in a box must be from the same record series.

Letter sized files (8.5" x 11") must be placed in the Records Center box with files facing the labeled end of the box. Legal sized files (8.5" x 14") must be placed in the box facing the right of the labeled end of the box. Do not use hanging file folders in Records Center boxes as they can damage both boxes and records.

When packing documents, space must be left to ensure room to refile or add documents. Records must be arranged neatly and not over-packed, so that the lid fits securely on the box.

Filing the Records

The Records Coordinator should standardize the filing system(s) for the records being sent to the Records Center. If Records Center staff are not able to identify a file, they will not be able to retrieve records on behalf of your agency. Records Coordinators should maintain an inventory of records in each box transferred to the Records Center. Without this information, Records Center staff may not be able to retrieve records for your agency.

Labeling the Boxes

Use a broad-tipped, black, permanent-ink marker or print labels in large, bold, black type, so information will be enduringly legible. For a new box, use the preprinted label on the end of the box, and label one end only. If using a recycled box, cross off the information on the used end, and use the pre-printed label on the other end. If both ends have already been used, cross off one end and use State Form 25186 on the other. **State Form 25186 must be printed on self-adhesive label stock, Avery 5126 or equivalent; boxes with taped-on or glued-on labels will not be accepted.** Pre-printed labels may also be purchased from PEN Products.

9.3 Transferring Records to the Records Center

Submitting State Form 23628: Records Transmittal and Receipt

Agencies must then submit a separate State Form 23628: Records Transmittal and Receipt for each record series being transferred to the Records Center. A large number of boxes may require multiple sheets to list, but this is still considered one form. A new Transmittal form must be used each time you begin listing boxes from a different record series.

List boxes in order by box number, which must be in chronological order by Disposition Date. The "notes" section is optional but may be used to provide a brief description of the contents of each box. Leave the accession number and location columns blank as these will be assigned by the Records Center staff. All other sections must be completed, and the Transmittal form signed by the Records Coordinator before the Records Center will accept the records.

Arranging for Pickup

Once your State Form 23628 is submitted and the form has been verified, Records Center staff will arrange to pick up the records for agencies in the Indianapolis area. After the records have been shelved in the Records Center, a location list is sent to the Records Coordinator noting the shelf location information for each box. It is imperative that the Records Coordinator saves this location listing since it contains information necessary to retrieve records from the Records Center. Without this list, your agency may not be able to retrieve records in a timely fashion.

9.4 Retrieving Records from the Records Center

An agency may request its own records back from the Records Center by completing State Form 24019: Request for Records. State Form 24019s will only be accepted from the agency of ownership, regardless of the confidentiality status of the records requested. The Records Center will never accept reference requests directly from members of the public.

Completing the Request for Records Form

To complete a Request for Records form, copy the record series name, record series number, Records Center box number, and the location from the list sent by the Records Center after transfer. Be sure to fill out the box on the form specifying which file is requested. If the entire box of records is required, write "Entire Box" in this space.

Requests may be e-mailed to the Records Center or sent by interdepartmental or postal mail. If you send a physical form, be sure to retain a copy for yourself so that you can track which records have been requested/received.

Emergency Requests for Records

When an agency has an urgent need for a record, agency staff may hand-carry reference requests to the Records Center. In such a situation, the requestor must present proper state identification and Records Center staff will fill the request as quickly as possible. Please call ahead if possible to allow Records Center staff to best be prepared to help you.

9.5 Returning Materials to the Records Center

When returning records to the Records Center for re-filing, a copy of the original Request for Records (or a note listing the same information) must be attached to the file(s). Without it, the Records Center staff cannot return the file to its original box. If you've lost the identifying information, your only options are to file the record in another box of the same record series or retain the file in your agency until the approved disposition date.

9.6 Disposing of Records at the Records Center

The Records Center destroys records stored there or transfers them to the Indiana Archives when they become eligible according to the applicable records retention schedule. All records destroyed by the Records Center are recycled and confidential records are destroyed in a manner that prevents their reconstruction.

Records Destruction Notification Form from the Records Center

When the destruction date for records arrives, a State Form 16: Records Destruction Notification is sent to the agency's Records Coordinator, who should sign it, then return a copy to the Records Center. Upon receipt of that form the records will be processed according to the approved retention schedule.

If the records should not be destroyed, the Records Coordinator must still fill out State Form 16: Records Destruction Notification. Section 4: Agency Denial of Destruction allows the Records Coordinator to select the reason records may not be destroyed and suggest a future destruction date. The form then should be sent to the Records Center to be re-dated and re-sent to the Records Coordinator for approval when the new date arrives.

If the State Form 16 is not signed by the Records Coordinator and returned within six (6) weeks, the Records Center will proceed with destruction. It is crucial that State Form 16 is reviewed by your Records Coordinator and returned in a timely fashion as a delay could result in serious issues for your agency.

After Destruction

Once the records have been destroyed, a copy of the State Form 16 will be returned to the Records Coordinator, with the date of actual destruction. This copy should be retained according to the General Retention Schedule for All State Agencies under Record Series GRREC-2.

10. WORKING WITH THE INDIANA ARCHIVES

10.1 Purpose of the State Archives

The Indiana Archives is the final repository for all state government records of permanent legal or historical significance. When an agency transfers its records to the Indiana Archives, the title to these records is transferred to the Indiana Archives as well.

The Archives holds records of the legislative, executive, and judicial branches of Indiana government from the Territorial Era (1790s) to the present. Most records held by the Archives are open to review and are available for examination. Records deemed confidential by law are restricted, as are records in great need of conservation that are too fragile to be examined.

10.2 Preparing to Transfer Records to the Indiana Archives

Contact the Archivists

Before sending records, Records Coordinators should contact the Indiana Archives to describe the materials involved, and determine what steps to take for the transfer:

For physical records, contact arc@iara.in.gov or call 317-591-5222 to speak with an archivist.

For electronic records, contact IARA's Electronic Records Program at erecords@iara.in.gov.

The transfer paperwork must be submitted to and approved by the Indiana Archives before any records may be transferred.

Packing Physical Records

- Physical records should be packed in Records Center boxes with lids, unless the record format is too large. Both new and used Records Center boxes can be ordered directly from the State Records Center using State Form 53485 or 54744.
- Reels of microfilm should be placed in individual, carefully labeled acid-free boxes, and packed in Records Center boxes, with the labels on the reel boxes facing up and in the same direction. State Form 52408: Microfilm Transmittal and Receipt - State Agency should be filled out and submitted to the Indiana Archives.
- Each box must be properly labeled with the following information: agency name, division name, record series title, record series number, box number and total number of boxes.
 - For example, if the Indiana Department of Environmental Management transferred thirteen boxes, the proper label for Box Ten would read: **IDEM | Air Pollution | General Files | RS 83-409 | Box 10 of 13.**
- Beyond just labelling the boxes, agencies should make an inventory of the records involved to prevent any confusion over what has been transferred. Each inventory should include a list of the folders or of the microfilm rolls enclosed in a particular box. Also include the name and telephone number of the person making the transfer.
- Records with different record series numbers should be boxed separately.
- Records that could potentially be damaged in transit should be packaged in such a way as to prevent breakage.

10.3 Transferring Records to the State Archives

Transferring Paper Records

After physical records are properly boxed and labeled, the Agency Records Coordinator should fill out State Form 48883: State Archives Records Transmittal and Receipt. A separate form should be filled out for each record series number being transferred.

Transferring Electronic Records

If you have never transferred electronic records to the State Archives, begin by emailing the Electronic Records Program at erecords@iara.in.gov to learn more about the process. Once your electronic records are ready to be transferred, the Agency Records Coordinator should fill out State Form 57413: State Archives Electronic Records Transmittal and Receipt. A separate form should be filled out for each record series number being transferred. If you are transferring confidential records, please indicate this on State Form 57413 in the appropriate section. Electronic Records Program staff may request additional information about these records to help properly care for them at the Archives.

Transfers to the Archives from Records Center storage

Records Center staff will handle the transfer process. A State Form 57611: Records Transfer Notification is sent to the Records Coordinator. The Records Coordinator is given six weeks to respond to State Form 57611. During these six weeks, the Records Coordinator can request that the records be maintained longer in the Records Center if necessary. After approval, or if six weeks go by with no response, the records are transferred to the Archives where they are processed according to the retention schedule.

After Transfer

The Indiana Archives staff will process the records according to the retention schedule. Some records may be thinned or sampled according to archival criteria, while others will be kept in their entirety. Archives staff will provide a copy of the accession report upon request.

Records that are not confidential will be available to the public for viewing. Confidential records will be withheld according to the relevant statute (or a redacted copy will be provided for viewing) unless proof of authorization to view the records is supplied by the patron.

The Indiana Archives full catalog can be searched online at researchindiana.iara.in.gov.

10.4 Access to Records at the Archives

The Indiana Archives retrieves records regularly for reference by the public and by state government personnel. With rare exceptions for certain ceremonial displays, the Archives does not loan items for use outside of its reading room. In most situations, however, staff can make reasonable numbers of reproductions at little or no cost to state agencies. Reproductions of large or voluminous sets of records are billed at cost. There are also charges for reproducing items such as photographs, records from micrographic forms, and architectural drawings. Archives staff can provide a detailed list of these fees and services.

Requests received by agencies from members of the public for records at the Indiana Archives should be referred directly to the Indiana Archives; this will ensure that patrons receive the most prompt and efficient service.

11. WORKING WITH THE STATE IMAGING AND MICROFILM LABORATORY

11.1 The Purpose of the State Imaging and Microfilm Laboratory

The purpose of the State Imaging and Microfilm Laboratory (Lab) is to safely preserve records for long-term storage and make it easy for agencies to access those records. One way the Lab does this is through microfilming, where both paper and digital documents can be converted into film for long term preservation. Microfilm can also be converted to electronic files in order to increase the ease of accessibility for agencies. State Form 56676: Request for Services has the list of services that the Lab offers. If you have a need not listed, please call the Lab to discuss a possible solution.

11.2 Beginning a Project with the Lab

To initiate a project, the Records Coordinator should contact the Lab to discuss their agency needs and fill out a State Form 56676: Request for Services. The Lab will then prepare for the agency an agreement that describes procedures and services specific to the project.

Records must be properly prepared before transfer. All staples, paper clips, and other fasteners must be removed. Physical records should be sent to the lab in cubic-foot records boxes. The files within each box and the records within each file must be placed in the proper sequence in the order they are to be filmed. All files will be microfilmed and/or imaged in the order in which they are found.

Each box should be marked properly on the outside using carton labels. The label should include the agency/division name, the record series number and title, and the number of the box within the group (i.e. "Box 1 of 10"). Each box should also contain a list of its contents. This list will help Lab staff to keep folders in their proper order and in the proper box.

Digital records should be sent to the Lab on an encrypted CD or external hard drive. The files must be placed in the proper sequence in the order in which they are to be filmed. All files will be microfilmed and/or imaged in the order in which they are found. Each CD or external drive should be marked properly and include a physical and digital inventory. These inventories will help Lab staff to keep files in their proper order.

If records cannot be or are not prepared properly, the Lab is willing to process the materials for a fee as indicated on State Form 56676: Request for Services. Contact the Lab to discuss the needs for such records.

11.3 Verification and Standards

Verification Against the Originals

All microfilm of Indiana government records must comply with the requirements of Title 60, Section 2, of the Indiana Administrative Code (IAC), which establishes standards for producing and preserving archival quality microfilm. The full text of Title 60 can be found via the IARA website under *Services for Government/Laws, Rules, and Policies*.

After microfilming records, the Lab will review and test the physical characteristics of the microfilm. Staff will not review the film for content. As per 60 IAC 2, each agency is responsible for verifying its microfilm against the original documents. Accordingly, the Lab will return the original records and a duplicate working microfilm copy to the agency after filming for verification and review, along with a State Form 42775: Certificate of Compliance/Verification.

All digital images of Indiana government records must meet a minimum standard of 300 dpi (dots per inch) on records scheduled for transfer to the Indiana Archives, and 200 dpi on all other records. Imaging performed by the Lab meets these standards, but as with microfilm, the agency is responsible for verifying the digital images against the original documents. After imaging, the Lab will return the original records and new digital images to the agency for verification and review, along with State Form 42775: Certificate of Compliance/Verification.

After receiving the records and the duplicate microfilm and/or digital images, the agency should review them for completeness and legibility. If the film or digital images are not a complete copy of the records or are not legible, the records should be returned to the Lab for re-processing. If the film or digital images are a correct copy, the agency should confirm that by completing and signing the State Form 42775: Certificate of Compliance/Verification that came with the film, and sending that to the Lab. The retention schedule may specify a modification of this standard procedure; in this case, the agency should inform Lab staff of any variation.

Microfilming/Imaging Done by an Agency - Standards and Testing

State agencies that do their own microfilming or use another agency can contact the Lab for information on both filming and processing procedures. To comply with the requirements of 60 IAC 2, several technical standards must be met. The Lab can provide the necessary assistance and/or training.

A complete microfilming program requires the use of a microfilm camera to capture the images and a microfilm processor to develop the film. Before the microfilming process is initiated, calibration tests are necessary to coordinate the camera and the processor. Lab staff can be contacted to ensure that the appropriate tests are conducted.

State agencies that do their own scanning or digital document capture or use another agency should contact the Lab for information on proper procedure. All digital material must comply with Oversight Committee on Public Records policies 20-01 and 20-02 (Appendix L and M).

Processing Agency Microfilm and Images

If an agency wishes the Lab to physically or digitally duplicate microfilm or images created by another agency, the materials can be sent to the Lab for processing. Duplication of IARA-created microfilm does not require this, since IARA has the original negatives.

Each set of materials sent to the Lab for processing or scanning must be properly labeled and contain the agency name, the record series number, the record series title, and where applicable, the name of the starting and ending files of the roll or reel, and the roll or reel number.

Outside Microfilm Vendors

Agencies that choose to contract with a private firm or outside vendor for microfilming original documents must determine, prior to making the contract, whether the microfilm standards in 60 IAC 2 are applicable. Should these standards apply, a copy of 60 IAC 2 and a copy of the relevant record series must be attached to the contract.

11.4 Acceptability of Microfilm and Imaged Records for Record Retention Requirements

Any record may be microfilmed according to the standards outlined in 60 IAC 2 or Indiana Rules of Court Administrative Rule 6, to meet agency storage /access needs. Once the microfilm has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to it, while the original is considered a duplicate and may be destroyed.

Any record may be imaged according to IARA imaging standards (OCPR Policy 20-02, Appendix M) to meet storage/access needs.

- **Permanent/Archival records:** if the relevant record series does not address electronic records directly, consult with IARA's Electronic Records Program for preservation requirements before beginning any imaging project or destroying any original records.
- **Non-permanent records:** once the digital record has been verified for completeness and legibility, it is considered the Copy of Record, with all records retention schedule instructions applying to it, while the original is considered a duplicate and may be destroyed.

11.5 Charges for Services at the State Imaging and Microfilm Laboratory


Micrographics services from the Lab are provided to State agencies at cost. The fees provide funds for the Indiana Archives and Records Administration to purchase replacement supplies for the Lab and support the Indiana Archives. The current rate schedule is available on State Form 56676: Request for Services, which must be filled out in full before the Lab can begin work.

It's the goal of the State Imaging and Microfilm Laboratory to become the specialist for the ever-changing records preservation and accessibility needs of Indiana government. While we understand that distance and budget may affect an agency's ability to use their services, IARA strongly encourages you to contact the Lab to discuss your records situation and requirements before making that decision.

These are only samples and should not be copied for actual use; most of them are not displayed at full size. For the current versions, always visit the [IARA Forms page](#), on the IARA website under Services For Government/IARA Forms.

APPENDIX A: Transmittal of Proposed/Approved Records Retention and Disposition Schedule (SF 39443) and Notification of Record and Notification of Record Series Action (SF 41139)

These forms exist only as internal templates for Archives and Records Administration staff to fill out; your agency will see the completed versions as part of the final draft packet during a records retention schedule update project.


	TRANSMITTAL OF PROPOSED / APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULE State Form 38443 (R8 / 9-21)
Agency _____ Division (If left blank, retention schedule applies to entire agency.) _____ Date sent (mm/dd/yyyy) _____	Issued by: The Indiana Archives and Records Administration Records Management Division 402 West Washington Street, Room W472 Indianapolis, IN 46204 rmd@sara.in.gov

SECTION II	PROPOSED RECORDS RETENTION AND DISPOSITION SCHEDULES
<p>Please have your Appointing Authority (agency head) sign this sheet <u>electronically</u> in the blank provided under Section III, to acknowledge approval of the proposed amendments. Then, return the electronic file to IARA's Records Management Division. You will be sent a copy of the final version of the schedule after it has been approved by the Oversight Committee on Public Records.</p>	

SECTION III	GENERAL INFORMATION
<p>An approved Records Retention and Disposition Schedule grants your agency the authority to transfer or destroy records on a continuing basis. Please consult the Records Coordinator and Records Center handbooks for transfer and destruction information or contact the Indiana Archives or Records Center staff directly for guidance on their specific procedures.</p> <p>Any questions concerning how to interpret the instructions in your approved retention schedule should be directed to the Records Management Division at rmd@sara.in.gov.</p> <p>A retention schedule must be current to be effective. The Records Management Division will contact your Agency Records Coordinator for periodic reviews to ensure that both language and content are up to date. If your agency needs to change the schedule between those review periods, just contact the Records Management Division, and a new update project will be initiated immediately.</p>	

SECTION III	AGENCY APPROVAL
Agency Head e-signature _____	

SECTION IV	APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULES
<p>The Oversight Committee on Public Records, at its meeting held on _____, approved this Records Retention and Disposition Schedule for your agency.</p> <p>The finalized schedule is enclosed. The Records Coordinator should retain the original and forward copies to agency staff as needed.</p> <p>Indiana Archives and Records Administration e-signature of final approval _____</p>	

	NOTIFICATION OF RECORD SERIES ACTION State Form 41130 (04 / 3-19) Indiana Archives and Records Administration Records Management Division	Agency name <hr/> Division name <hr/> Year of most recent OCPR approval <hr/>								
<i>INSTRUCTIONS: Action is being requested on the items below, which appear on the attached retention schedule. All schedule items NOT listed here were previously approved by the OCPR and currently require no action.</i>										
New					Amended		Deactivated		Transferred TO Another Schedule	
Item No.	Schedule	Record Series	Item No.	Action	Record Series	Item No.	Record Series	Record Series	Record Series	Schedule
Name of Records Analyst							Date prepared (month, day, year)			
E-mail address							Telephone number ()			

See section 6.5 Steps of the Retention Schedule Update and Approval Process for additional information.

APPENDIX B: Records Boxes and Labels (SF 46634 and SF 25186)

Agency		Barcode (IARA Use)	
Division			
Records Series Title		Records Series Number	
Inclusive Dates		Arrangement of Files	
From	To	<input type="checkbox"/> Numerical, From: <input type="checkbox"/> Alphabetical, From: <input type="checkbox"/> Chronological, From:	
Carton Number	Notes		
Location Number		Destruction Date (month/year)	

State Form 25186 (06 / 6-16) (Instructions: To be used with State Form 46634)

Agency		Barcode (IARA Use)	
Division			
Records Series Title		Records Series Number	
Inclusive Dates		Arrangement of Files	
From	To	<input type="checkbox"/> Numerical, From: <input type="checkbox"/> Alphabetical, From: <input type="checkbox"/> Chronological, From:	
Carton Number	Notes		
Location Number		Destruction Date (month/year)	

State Form 25186 (06 / 6-16) (Instructions: To be used with State Form 46634)

Records Box Assembly (SF 46634)

Instructions:

1. Open carton into a rectangle with flaps 1, 2, 3, and 4 at top.
2. Fold flap 1 into opening.
3. Fold flaps 2 and 3 into the bottom of flap 4.
4. Fold flap 4 on top of flap 1.
5. Turn carton over.
6. Pull flap 1 up (there is a notch in the flap for this function); pull flaps 2 and 3 up, and push flap 1 back down.
7. Push hand-hold tabs on each end of carton in, and between flaps 2 and 3 and the inside ends of the carton.
8. Fold in flaps 5 and 6.
9. Fold in flaps 7 and 8.
10. Fold lid and place on top of carton.

Records Box Labels (SF 25186)

These are pre-printed on the box, and available to be printed on adhesive label paper as SF 25186.

If using the printed form, you MUST print it on adhesive paper stock (Avery 5126 or a same-size equivalent from another company). Boxes with taped-on or glued-on labels will not be accepted. If you would prefer to buy the labels with the form pre-printed on them, they are also available from the Forms Distribution Center at PEN Products.

All information must be printed with a broad-tipped, black permanent marker or indelible black printer ink in large type.

Instructions:

1. Agency / Division: Self-explanatory.
2. Record Series Title / Record Series Number: from records retention schedule.
3. Inclusive Dates: From month/year of earliest record in box | To month/year of latest record in box.
4. Arrangement of Files: check appropriate box and add arrangement span ("Alphabetical, From: L to N").

- ## APPENDIX C: State Records Center Record Transmittal and Receipt (SF 23628)

See section 9.3 Transferring Records to the Record Center for additional information.

APPENDIX E: State Archives Record Transmittal and Receipt Form (SF 48883)

See section 9 Working with State Records Center and section 9.4 Retrieving Records from the Record Center for additional information.

APPENDIX E: State Archives Record Transmittal and Receipt Form (SF 48883)

See section 7.10 Transferring Electronic Records and 10.3 Transferring Records to the State Archives for additional information.

APPENDIX F: Indiana Archives- Microfilm Transmittal and Receipt (SF 52408)

[illegible]

APPENDIX G: State Imaging/Microfilm Lab- Request for Services (SF 56676), Certification of Compliance/Verification (SF 42775)

Digital Files Specifications (required for scanning services)			
DPI with the following choices: <input type="checkbox"/> 300 <input type="checkbox"/> Other: _____			
<input type="checkbox"/> TIFF		<input type="checkbox"/> PDF	
<input type="checkbox"/> Single Page		<input type="checkbox"/> Multi-Page	
<input type="checkbox"/> Black and White		<input type="checkbox"/> Grayscale	
		<input type="checkbox"/> Color	
3.18 <input type="checkbox"/> File Naming Convention: _____			
		Cost	Quantity
		\$0.05 per image	Total
3.19 <input type="checkbox"/> Optical Character Recognition (OCR)			
Digital Delivery			
3.20 <input type="checkbox"/> CD Case and Label		\$10.00 each	
3.21 <input type="checkbox"/> Portable Hard Drive (provided by client)		\$0.00	
3.22 <input type="checkbox"/> ePDF (no charge)		\$0.00	
Other Services			
3.23 <input type="checkbox"/> Additional Labor (prep, setup, verification)		\$20.00 per hour	
3.24 <input type="checkbox"/> Expedited Project Fee per box or reel		\$50.00 per item	
3.25 <input type="checkbox"/> Hazardous Document Handling (mold, redox, etc.)		\$25.00 per hour	
3.26 <input type="checkbox"/> Indexing, Per Index Item Created		\$0.10 per entry	
ESTIMATED TOTAL COST OF SERVICES			
ACTUAL TOTAL COST OF SERVICE (to be filled out by SIML)			

SECTION 4: REQUESTOR'S FINANCE CONTACT INFORMATION & PAYMENT REMITTANCE		
Name of Requestor's Finance Coordinator		Telephone Number
		Email address (required)
Shipping Address (number and street, city, state, and ZIP code)		
Project Returned Via: <input type="checkbox"/> UPS <input type="checkbox"/> Info Express <input type="checkbox"/> Pick-up <input type="checkbox"/> Delivery <input type="checkbox"/> Other: _____		
Payments Remit to: Indiana Archives and Records Administration ATTN: Finance Division, 402 West Washington Street, Room W476, Indianapolis, IN 46204		

SECTION 5: REQUESTOR'S ACKNOWLEDGEMENT OF SERVICES REQUESTED	
Disclaimer: Upon receipt of this form, your content will be reviewed against the Index set. If discrepancies are found, your project is subject to delay until discrepancies are remediated. Submission of this form does not guarantee project acceptance by the State Imaging and Microfilm Laboratory.	
Signature of Requestor	Date (month, day, year)

SECTION 6: FILM VERIFICATION AND MICROFILM TRANSFER	
<input type="checkbox"/> By checking this box and signing, I agree that SIML will inspect and verify, frame by frame, any roll of film created and authorize the transfer of said microfilm to the State Archives.	
Note: There is a fee of \$20 per hour for SIML staff to verify frame by frame inspection.	
Signature of Requestor	Date (month, day, year)

SECTION 7: IARA STATE IMAGING AND MICROFILM LABORATORY USE ONLY			
Date Received (MM/DD/YYYY)	Project Number	Roll Range	Estimate Number
Date Shipped (MM/DD/YYYY)	Tracking Number	Invoice Number	Total Cost
Deliverables to Requestor			
<input type="checkbox"/> Master Microfilm <input type="checkbox"/> Paper Documents <input type="checkbox"/> Duplicate Film			
Deliverables to Request Center			
<input type="checkbox"/> Shredding <input type="checkbox"/> Other: _____			
Microfilm Transformati Form:		Compliance Verification Form Sent:	
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No	

APPENDIX H: Records Destruction Notification (SF 16)

RECORDS DESTRUCTION NOTIFICATION State Form 16 (R17 / 1-25)		INDIANA ARCHIVES AND RECORDS ADMINISTRATION INDIANA STATE RECORDS CENTER 6400 East 30th Street Indianapolis, IN 46219 Telephone: (317) 561-4328 E-mail: recordscenter@iara.in.gov
INSTRUCTIONS: 1. Review sections 1 and 2 for accuracy. 2. Complete section 3 and return to recordscenter@iara.in.gov . 3. Retain your copy of the completed form under Record Series GRREC-2.		
You have six (6) weeks to respond. If you do not respond within six (6) weeks, the records will be destroyed or shredded.		
SECTION 1: AGENCY INFORMATION		
Name of agency		
Name of division		
Name of Agency Records Coordinator		
SECTION 2: RECORDS INFORMATION		
The following records will be destroyed in accordance with IS 5-15-5.1 and current Oversight Committee on Public Records approved retention and disposition schedule.		
Records series number	Records series title	
Disposition due date (month, day, year)	Total cubic feet of records	Latest date of records (month and year)
Container / box number(s)	Location	Accession number (if applicable)
SECTION 3: AGENCY APPROVAL OF DESTRUCTION		
What type of destruction request is this?		
<input type="checkbox"/> Option 1: Destruction of records located in the Records Center		
<input type="checkbox"/> Option 2: Arranged pick up and destruction of records located in your agency		
<input type="checkbox"/> Option 3: Shredding of records located in the Records Center		
Signature of Agency Records Coordinator		Date of signature (month, day, year)
If you checked Option 3, please provide the following billing information:		
Business unit *	Fund *	Department *
		Program number *
SECTION 4: AGENCY DENIAL OF DESTRUCTION		
Reason records may not be destroyed (check one):		
<input type="checkbox"/> State Audit Pending		
<input type="checkbox"/> Federal Audit Pending		
<input type="checkbox"/> State / Federal Litigation Pending (attach a copy of the court order)		
<input type="checkbox"/> Other: _____		
Requested new destruction date (month, day, year)		
Signature of Agency Records Coordinator		Date of signature (month, day, year)
Printed name of Agency Records Coordinator		

Instructions:

SECTION 1: AGENCY INFORMATION

1. Agency and Division.
2. Agency Records Coordinator's signature and date.
3. Printed name of Records Coordinator.

SECTION 2: RECORDS INFORMATION

1. Record Series Number: From the appropriate records retention schedule.
2. Record Series Title: From the appropriate records retention schedule.
3. Disposition due date (month, day, year): Month and year records became eligible for destruction/disposition.
4. Total cubic feet of records to be disposed of: A standard-size file box is 1 cubic foot.
5. Latest date of records (month and year).
6. Container / box number(s).
7. Location: For records stored at the Records Center, this will be filled out by Records Center staff.
8. Accession Number (if applicable): Only applicable for records stored at the Records Center, in which case this information will be filled out by Records Center staff.

SECTION 3: AGENCY APPROVAL OF DESTRUCTION

1. What type of destruction request is this?: Select one of the following options:
 - a. Option 1: Destruction of records located in the Records Center
 - b. Option 2: Arranged pick up and destruction of records located in your agency
 - c. Option 3: Shredding of records located in the Records Center
2. Signature of Agency Records Coordinator.
3. Date of signature (month, day, year).
4. Business unit | Fund | Department | Program number: If you checked Option 3, please provide billing information.

SECTION 4: AGENCY DENIAL OF DESTRUCTION

1. Reason records may not be destroyed (check one): Select one of the following options:
 - a. State Audit
 - b. State / Federal Litigation Pending (attach a copy of the court order)
 - c. Federal Audit Pending
 - d. Other:
2. Requested new destruction date (month, day, year).
3. Signature of Agency Records Coordinator.
4. Date of signature (month, day, year).
5. Printed name of Agency Records Coordinator.

See section 8.3 Requesting Records Center Destruction for Records Located in Agency and section 9.6 Disposing of Records at the Record Center for additional information.

APPENDIX I: Records Transfer Notification (SF 57611)

RECORDS TRANSFER NOTIFICATION State Form 57611 (12-24)		INDIANA ARCHIVES AND RECORDS ADMINISTRATION INDIANA STATE RECORDS CENTER 6400 East 50th Street Indianapolis, IN 46219 Telephone: (317) 561-4520 E-mail: recordscenter@iara.in.gov	
INSTRUCTIONS: 1. Review Section one (1) and two (2) for accuracy. 2. Complete section three (3) or four (4) and return to arc@iara.in.gov . 3. Retain your copy of the completed form under Record Series GRREC-2 .			
*NOTE: You have six (6) weeks to respond. If you do not respond within six (6) weeks, the records will be transferred to the State Archives.			
SECTION 1: AGENCY INFORMATION			
Name of agency			
Name of division			
Name of Agency Records Coordinator			
SECTION 2: RECORDS INFORMATION			
The following records will be transferred in accordance with IC 5-15-5.1 and current Oversight Committee on Public Records approved retention and disposition schedule. Some retention schedules allow for "evaluation, sampling or weeding" which means that the records might not be kept in their entirety.			
Records series number	Records series title		
Disposition due date (month, day, year)	Total cubic feet of records	Latest date of records (month and year)	
Container / box number(s)	Location	Accession number (if applicable)	
SECTION 3: AGENCY APPROVAL OF TRANSFER			
<input type="checkbox"/> Records are approved for transfer to the State Archives.			
If you have any inventories or box lists regarding the transferred records, please send them to arc@iara.in.gov .			
Signature of Agency Records Coordinator		Date of signature (month, day, year)	
SECTION 4: AGENCY DENIAL OF TRANSFER			
<input type="checkbox"/> Records are denied for transfer to the State Archives.			
Reason records may not be transferred (check one):			
<input type="checkbox"/> State Audit Pending		<input type="checkbox"/> State / Federal Litigation Pending (attach a copy of the court order)	
<input type="checkbox"/> Federal Audit Pending		<input type="checkbox"/> Other: _____	
Requested new disposition date (month, day, year)			
Signature of Agency Records Coordinator		Date of signature (month, day, year)	

Instructions:

SECTION 1: AGENCY INFORMATION

1. Name of agency
2. Name of division
3. Name of Agency Records Coordinator

SECTION 2: RECORDS INFORMATION

1. Record Series Number
2. Record Series Title
3. Disposition due date (month, day, year)
4. Total cubic feet of records
5. Latest date of records (month and year)
6. Container/box number(s)
7. Location
8. Accession number (if applicable)

SECTION 3: AGENCY APPROVAL OF TRANSFER

1. Check box: Records are approved for transfer to the State Archives
2. Signature of Agency Records Coordinator
3. Date of signature (month, day, year)

SECTION 4: AGENCY DENIAL OF TRANSFER

1. Check box: Records are denied for transfer to the State Archives
2. Reason records may not be transferred (check one)
 - a. State Audit Pending
 - b. Federal Audit Pending
 - c. State/Federal Litigation Pending (attach a copy of the court order)
 - d. Other:
3. Requested new disposition date (month, date, year)
4. Signature of Agency Records Coordinator
5. Date of signature (month, day, year)

See Section 10.3 Transferring Records to the State Archives for additional information.

APPENDIX J: Record of Destruction (SF 57700)

RECORD OF DESTRUCTION	
State Form 57700 (3-25) INDIANA ARCHIVES AND RECORDS ADMINISTRATION	
INSTRUCTIONS: 1. Use this form to document destruction of public records as needed. Maintain this form in your agency under Record Series CRREC-2 on the General Retention Schedule for All State Agencies. 2. This form acts as internal documentation for the use of State agencies and does not need to come to the Indiana Archives and Records Administration.	
SECTION A: RECORD INFORMATION	
Record Series Number	Record Series Title
Division (if applicable)	
SECTION B: DESTRUCTION INFORMATION	
Location of the records <input type="checkbox"/> Server <input type="checkbox"/> External media <input type="checkbox"/> Cloud <input type="checkbox"/> Electronic mail system <input type="checkbox"/> Social media platform: _____	<input type="checkbox"/> Electronic record keeping system: _____ <input type="checkbox"/> Database <input type="checkbox"/> Storage facility: _____ <input type="checkbox"/> Storage in agency: _____
Method of destruction <input type="checkbox"/> Deletion* <input type="checkbox"/> Incineration <input type="checkbox"/> Shredding *Includes any backups and primary or secondary recycle bin locations.	<input type="checkbox"/> Pulping <input type="checkbox"/> Vendor: _____ <input type="checkbox"/> Other: _____
Date eligible for destruction	Date of destruction
Is a system log available that separately records this destruction?	If yes, how can the system log be accessed?
Is a destruction certification available?	If yes, how can the destruction certification be accessed?
SECTION C: SIGNATURES	
Records Coordinator signature	Date
Signature of person destroying the records	Date

Instructions:

SECTION A: RECORD INFORMATION

1. Record Series Number
2. Record Series Title
3. Division (if applicable)

SECTION B: DESTRUCTION INFORMATION

1. Location of the Records
2. Method of Destruction
3. Date eligible for destruction
4. Date of destruction
5. Is a system log available that separately records destruction?
6. If yes, How can the system log be accessed?


7. Is a destruction certification available?
8. If yes, how can the destruction certification be accessed?

SECTION C: SIGNATURES

1. Records Coordinator signature
2. Date
3. Signature of person destroying the records
4. Date

See Section 8.2 Destroying Records Yourself for additional information.

APPENDIX K: Notice of Change of Agency Records Coordinator (SF 42305)

 <p>NOTICE OF CHANGE OF AGENCY RECORDS COORDINATOR <small>State Form 42305 (01/14-4-20)</small> Indiana Archives and Records Administration</p>	<p>Return completed form to: rmd@ara.in.gov</p>
<p><small>IMPORTANT NOTICE: Indiana law [IC 5-15-5.1-10] requires that agencies designate an Agency Records Coordinator.</small></p>	
<p>SECTION 1: AGENCY INFORMATION</p>	
<p>Name of state agency _____</p> <p>Address of state agency _____</p>	
<p>SECTION 2: RECORDS COORDINATOR INFORMATION</p>	
<p>Name of new coordinator _____</p>	
<p>Signature of new coordinator _____</p>	<p>Date (month, day, year) _____</p>
<p>Telephone number _____</p>	<p>E-mail address _____</p>
<p>SECTION 3: AGENCY HEAD INFORMATION</p>	
<p>Name of agency head (or designee) _____</p>	
<p>Signature of agency head (or designee) _____</p>	<p>Date (month, day, year) _____</p>
<p>Telephone number _____</p>	<p>E-mail address _____</p>

See Section 2. Agency Records Coordinator Qualifications and Responsibilities for additional information.

APPENDIX L: Indiana Oversight Committee on Public Records Policy 20-01

Electronic Records Retention and Disposition

Applies to: Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives, they must adhere to this policy.

Purpose: To ensure electronic records are retained in a trustworthy, accessible, and appropriate manner.

Effective Date: 1/15/2020; 09/27/2023

Authority: Indiana Code 5-15-1-1 (a) and (b), Indiana Code 5-15-5.1-12, and Indiana Code 5-15-5.1-14.

Definitions:

Retention schedule means a Records Retention and Disposition Schedule approved by the Indiana Oversight Committee on Public Records.

Electronic records are stored in digital format on an information technology device and include both born-digital and digitized records.

Born-digital records are created in electronic format.

Digitized records are electronic copies of physical records and can include images and audiovisual information.

Physical records can be read without the aid of an information technology device and include paper, film, and audio and video tapes.

Policy:

General requirements: Unless separate instructions are specified in the retention schedule, the following requirements apply to all records regardless of format:

- retention period before final disposition.
- confidentiality, access, and disclosure.
- final disposition: destruction or transfer to the Indiana Archives.
- Confidential records must be destroyed according to IC 5-15-5.1-13.

Indiana Archives transfer: Electronic records that are required to be transferred to the Indiana Archives according to their retention schedule must be

- created and maintained according to OCPD 20-02.
- transferred regularly on the timetable specified in the relevant record series.
- transferred in consultation with Electronic Records division staff.

Agency retention: Electronic records that are not required to be transferred to the Indiana Archives according to their retention schedule must be created and maintained by the agency according to OCPD 20-02 for the specified retention period.

Destruction of digitized physical records: Physical records which have been digitized may be destroyed regardless of whether digitization is specified on the relevant retention schedule if

- the terms described in Items 1-3 are met.
- the imaged records are verifiable authentic duplicates as described in OCPD 20-02.
- the terms in the Indiana Archives and Records Administration Electronic Records Guidelines are met.

Destruction of born-digital records: Born-digital records and their storage media may be destroyed if the terms in Item 1 are met.

When its provisions are met, this policy serves as the "written consent of the administration" described in IC 5-15-5.1-14.

APPENDIX M: Indiana Oversight Committee on Public Records Policy 20-02

Electronic Records Technical Standards

Applies to: Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives they must adhere to this policy.

Purpose: To establish consistent standards for the creation and maintenance of public electronic records.

Effective Date: 1/15/2020; revised 09/27/2023.

Authority: Indiana Code 5-15-5.1(a)(4).

Definitions:

Retention schedule means a Records Retention and Disposition Schedule approved by the Indiana Oversight Committee on Public Records.

Electronic records are stored in digital format on an information technology device and include both born-digital and digitized records.

Born-digital records are created in electronic format.

Digitized records are electronic copies of physical records and can include images and audiovisual information.

Physical records can be read without the aid of an information technology device and include paper, film, and audio and video tapes.

Discoverable refers to the findability of electronic records during information requests, including during litigation.

Policy:

Born digital records: Electronic records must remain accessible for the duration of the retention period specified in their retention schedule. Accessible means that all electronic records must be:

- readable

- by current, commonly available hardware and software OR
- converted by the originating agency if the existing software or hardware is no longer current or commonly available.
- stored appropriately
 - in an electronic system accompanied by documentation of release notes, functionality, and backup provisions OR
 - on physical storage media that is descriptively labeled and readable by commonly available hardware and software.
- discoverable
 - within a reasonable period of time and without excessive effort.
 - via original metadata and any metadata that is necessary to understand the content and structure of the record.
- properly maintained by the originating agency which includes
 - migrating when the current storage medium and/or records management system nears the end of its practical lifespan.
 - avoiding proprietary storage systems, records management systems, or file formats.
- retained in accordance with OCPR 20-01.

Digitized records: Records which are digitized must adhere to Item 1 of this policy as well as:

- Indiana Archives and Records Administration Electronic Records Guidelines
- act as authentic duplicates, meaning digital images or data must be verified against original records for completeness and accuracy.

Developed by IARA Records and Information Management Division