



County Recordors' Annual Conference 2021

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Presentation

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

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What is IARA?

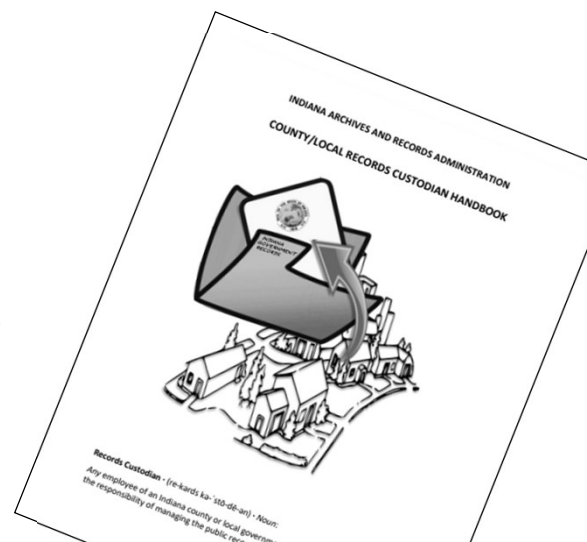
- Records Management
 - State Government
 - County/Local Government
- State Records Center
- Indiana State Archives
- Electronic Records Program
- Conservation Lab
- Imaging and Microfilm Services Lab
- Forms Management Division
- OCPR



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IARA's Records Management

- State and County/Local
- Records Retention Schedules
- Online Training Modules
- Publications & Policies
 - County/Local Records Custodian Handbook
 - Policy 20-01 and 20-02
- Records & Forms Coordinators
- Answers Your RM Questions



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Records Management Liaison



- Hired in June 2020
- County/Local Agencies
- State Travel – Weekly Emails
- County Clerks
- Answers Your RM Questions

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What is Records Management?

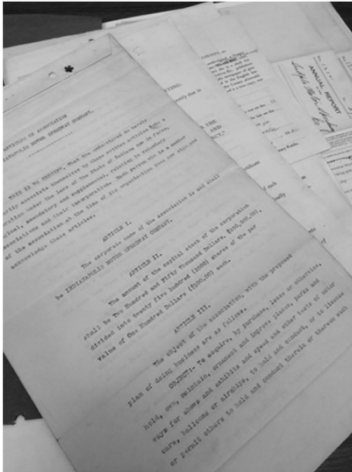
“The professional field dedicated to information that rises to the level of importance that requires ongoing maintenance, whether it be for evidentiary or specific business purposes.”
- ARMA



“The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities in the form of records.”
- IU Libraries

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What is a Government Record?



- Also known as a Public Record*

“Any writing, paper, report, study, map, photograph, card, tape recording, or other material that is created, received, retained, maintained, used or filed by a public agency and which is generated on paper, paper substitutes, photographic media, chemically based media, electronically stored data, or any other material, regardless of form or characteristics.”

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Government Records

What Does That Include?

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



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What is Records Retention?

- How is the length of retention determined?
 - Generally, Records Management staff work with county/local offices utilizing established retention schedules to identify:
 - The Administrative and Fiscal value
 - Legal value
 - Public Demand and Interest, and
 - Historical value of the information
- Paper, Film, Electronic
 - Retention is based upon content – NOT storage media/format

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Retention Schedules

IARA creates **records retention schedules** to make it as easy as possible for you, listing and describing

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

The key to using retention schedules effectively is an understanding of their contents, format, language, and how to apply all of that to your records.

Record Series: RS #, RS Title & Description, Retention & Disposition instructions

5 Retention Schedules:

- State - Agency Specific
- County/Local - Office Specific
- Judicial Retention Schedule (managed by Indiana Judiciary)

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Office Specific: County Recorder (RE)

County Recorder Retention Schedule (RE) Indiana Archives and Records Administration – County Records Management	
DATE APPROVED BY THE OVERSIGHT COMMITTEE ON PUBLIC RECORDS: 07/24/2019	DIRECTOR, INDIANA ARCHIVES AND RECORDS ADMINISTRATION S. Chandler SIGNATURE Lightly Digitally signed by S. Chandler Lightly Date: 2019.07.24 13:55:52 -0400
<p>Instructions:</p> <ol style="list-style-type: none"> 1. Officials should first reference this office-specific retention schedule. If the form/record series you're looking for is not listed, refer to the County/Local General Retention Schedule (GEN). 2. Nonpermanent records listed on this retention schedule may be destroyed, in accordance with the form's instructions, thirty (30) days after completion and submission of a Notice of Destruction, State Form 44905. The notice must be sent to the secretary of the county commission of public records as determined by IC 5-15-6-1(c) (county clerk or recorder) and to the Indiana Archives and Records Administration, city@iara.IN.gov, 402 West Washington Street W472, Indianapolis, IN 46204. 3. All permanent records or records not listed on these approved retention schedules can be destroyed or transferred only by completing a Request for Permission to Destroy or Transfer Certain Public Records (PR-1, State Form 30505), and by obtaining approval of the County Commission of Public Records and written approval from the Indiana Archives and Records Administration. 4. Destruction of all records must be delayed pursuant to an applicable legal hold. <p>GUIDELINES:</p> <p>Permanent records may be maintained either in the original format or on microfilm that meets standards outlined in 60 IAC 2 or Administrative Rule 6 (Court Records).</p> <p>Microfilmed records may be deposited or transferred according to the retention period outlined for that record.</p> <p>Security/original rolls of microfilm must be stored offsite in a secure location. Duplicate rolls may be used in office.</p> <p>Electronic records and computer printouts that include data from more than one (1) form must be retained for the longest retention period for all included forms.</p>	

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County/Local General Retention Schedule (GEN)

- This Retention Schedule is divided into five (5) categories:
 1. Administrative
 2. Accounting and Finance
 3. Personnel
 4. Publications and Reports
 5. Audio, Video and General Media
- GEN schedule is applicable to *all* offices in addition to their office specific Retention Schedule.

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County & Local Retention Schedules

- **Office Specific Schedules:**
 - Assessing Official (AS)
 - County Auditor (AU)
 - Non-Judicial County Clerk (CL)
 - County Coroner (CO)
 - County Treasurer (TR)
 - Zoning, Planning , Development, Enforcement (LAND)
 - Public-Private Agreement Operators (PPA)
 - Public Safety Agencies (PSA)
 - The local retention schedules are available via:
<https://www.in.gov/iara/2739.htm>.

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Other Local Schedules

- **City/Town/District Retention Schedules**
 - Cities And Towns (CT)
 - Special Districts (SD)
 - Township Trustee (TT)
- **Other Local Retention Schedules**
 - Public Libraries (LIB)
 - Educational Institutions (EDA/EDS/EDC) (Public & Charter Schools)
- **Additional Retention Information**
 - Year-to-Year Destruction Schedule
 - Judicial Records Retention Schedule (Not published or managed by IARA)

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Commonly Used State Forms

- **SF44905 Notice of Destruction or “NOD”**
- **SF30505 PR-1**
- **<https://www.in.gov/iara/2783.htm>**

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Notice of Destruction – SF 44905

- **ALL SF 44905 NOTICE OF DESTRUCTION MUST CONTAIN RECORD SERIES INFORMATION.**
- The record series number is the number on the Retention schedule (left hand column) under which the record is listed
- Example: **Gen 10-10**, Basic Accounting Records - Revenue

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Request for Permission to Destroy or Transfer Certain Public Records – PR-1, SF 30505



REQUEST FOR EXCEPTION TO COUNTY / LOCAL RETENTION SCHEDULE OR PERMISSION TO DISPOSE OF NON-SCHEDULED COUNTY / LOCAL PUBLIC RECORDS (PR-1)
 State Form 30505 (R8 / 6-20)

**INDIANA ARCHIVES AND RECORDS ADMINISTRATION
 COUNTY / LOCAL RECORDS MANAGEMENT**
 402 West Washington Street, Room W472
 Indianapolis, Indiana 46204
 Telephone: 317 232-3380
 E-mail: cty@iara.in.gov

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

INSTRUCTIONS – Originating Agency:

1. This form is for permission to destroy or transfer the ONLY copy of public records. No permission is required to microfilm paper records or to destroy originals after microfilming. As long as one (1) copy of the information is maintained in paper or microfilm format, all other copies may be destroyed at any time.
2. Fill out all information on the first page of this form. Contact the Indiana Archives or local historical entity to confirm interest prior to initiating a request to transfer.
3. File one (1) copy with your County Commission of Public Records, and retain one (1) copy for your own records.
4. Upon receipt of an approved copy from your County Commission of Public Records, follow the instructions dictated on the second page of this form and retain a copy for your records. (Your original copy of the request may be destroyed on receipt of the approved version.)

INSTRUCTIONS – County Commission of Public Records:

- Step 1. Upon approval of this request by the County Commission, the Secretary must preserve one (1) copy as part of the minutes of the County Commission, send one (1) copy to the county historical society or equivalent local historical entity if such exists, send one (1) copy to IARA at the above address, and retain one (1) copy for Step 2.
- Step 2. Fill out the section labeled "FINAL NOTIFICATION FOR ORIGINATING AGENCY" and send to the contact person at the originating agency, once:
 - a. The local historical entity or IARA has requested that records be transferred to them, OR
 - b. Sixty (60) days have passed with no contact from the historical entity / IARA, and records may be disposed of subject to any limitations listed on page 2.

TO BE COMPLETED BY THE ORIGINATING AGENCY OR OFFICE.		
Name of government agency	Date (month, day, year)	
Address of government agency (number and street, city, state, and ZIP code)		
Name of contact person	Telephone number	E-mail address

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County Commission of Public Records Meetings

- Meets at least once a year
- Must have quorum to hold meeting
- Open to the public
- Secretary is either the County Clerk or Recorder
- Chairperson elected from Commission members
- Helps keep their county records managed efficiently!

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IC 5-15-6 – Local Public Records Commissions (Membership)

IC 5-15-6-1 (b) The county commission shall consist, ex officio, of:

- (1) the judge of the circuit court or the judge's designee;
- (2) the president of the board of county commissioners or the president's designee;
- (3) the county auditor or the auditor's designee;
- (4) the clerk of the circuit court or the clerk's designee;
- (5) the county recorder or the recorder's designee;
- (6) the superintendent of schools of the school district in which the county seat is located or the superintendent's designee; and
- (7) either: (A) the city controller of the county seat city or the city controller's designee; or (B) if there is no city controller as described in clause (A), then the clerk-treasurer of the county seat city or town.

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Secretary/Chairperson

IC 5-15-6-1 :

The commission shall provide to the administration (IARA) the names and contact information for the chairperson and secretary not later than thirty (30) days after the date of the determination.

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County/Local Records Custodian Handbook & Online Training

- <https://www.in.gov/iara/2359.htm>
- A guide to every aspect of managing county/local government records.
- Replaces (but contains much more than) the Guide to Preservation and Destruction of Local Public Records and Instructions for Holding a County Commission Meeting.
- Online Tutorial: Records Management for Indiana County and Local Government
- <https://www.in.gov/iara/course-website-countylocalrecordsmanagement.htm>

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Thank You!

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