Indiana Archives
and Records Administration

How to Manage Your Public Records
Recorders Conference - April 2025

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Records Management Liaison

Amy Christiansen

- **I help county/local govt offices manage their records**

- Presentations & education on records & information management

- Traveling! Contact me if you'd like an in-person visit to your county

- Email bulletin about mid-month then a Microsoft Teams Chat on the last Wed of the month at 11 a.m. **If interested, email "subscribe me!" to <u>cty@iara.in.gov</u>**

- Revise and create retention schedules

- Answer your RIM questions!

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The importance of having a good Records Management Program

Taking care of government records and retaining them under the requirements set out by the state of Indiana and federal laws, using records retention schedules developed for you by IARA.

Your 3 Partners :

Indiana Archives & Records Administration (IARA)

County Commission of Public Records (CCPR)

YOU as the Records Custodian!

#1 Legal Responsibility
To perform your legal mandates and responsibilities.

#2 Physical Costs
To minimize the costs of records storage.

#3 Public Accessibility
To assure public access to the documentary evidence of government.

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IC 5-15-6-8 & Felony

A public official or other person who recklessly, knowingly, or intentionally destroys or damages any public record commits a Level 6 felony unless:

(1) the commission shall have given its approval in writing that the public records may be destroyed;

(2) the commission shall have entered its approval for destruction of the public records on its own minutes; or

(3) authority for destruction of the records is granted by an approved retention schedule established under this chapter.
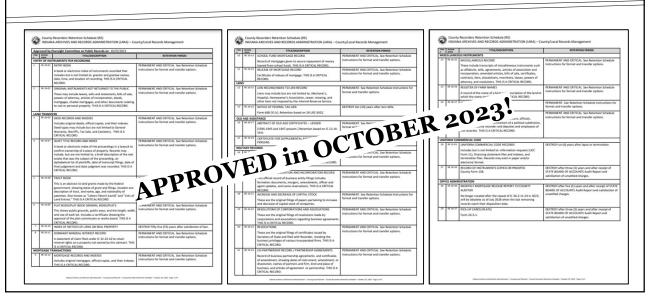
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Retention Schedules

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

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 need to be done with it.

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Office-Specific: County Recorders (RE)

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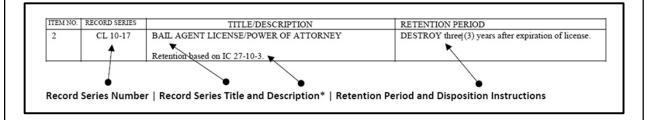# County/Local General Retention Schedule (GEN)

APPROVED in September 2024!

- 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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Record Series

Record Series includes a **Number #, Title & Description**, and **Retention & Disposition** instructions

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

Record Series Number | Record Series Title and Description* | Retention Period and Disposition Instructions

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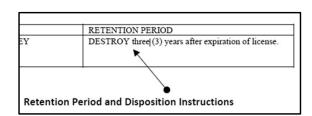
Retention Periods

Retention period instructions may include:

1. Information on how long the records need to remain
2. What finally happens to your records after their retention period is over

Examples:
PERMANENT, PERMANENT
& CRITICAL,
DESTROY/DELETE, RETAIN, etc.

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

Retention Period and Disposition Instructions

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When it says, "DESTROY" or NON-PERMANENT records

If a record series says "DESTROY" on the retention period, these are non-permanent records, and they may be kept in ANY format or media.

- One format may be better than another for **easy access**; one medium may be better than another at **preserving** records for a long time.

- The order of importance is the other way around: **how long you are required to keep a record should be one of the first things you consider when you're choosing the best media and formats to balance your access and preservation requirements**.

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PERMANENT records

Records marked PERMANENT:

Only one Copy of Record is required to exist,

IARA recommends that copy be physical (paper or microfilm)

unless the original format makes it impossible to create a physical copy.

You can digitize *in addition* to microfilming or keeping the paper,

but it is *not* a best practice to only keep a digital copy of permanent records.

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Critical Records

- **Critical Records** are defined in IC 5-15-5.1 as records that are necessary to:

    o Resume or continue governmental operations;
    o Reestablish the legal and financial responsibilities of government in Indiana; or
    o Protect and fulfill governmental obligations to the citizens of Indiana.

- The **Critical Records Program** provides support through guidance and policies developed to assist state and local governments in making defensible and sustainable decisions about how they create, maintain, access, and preserve their records designated as CRITICAL on an Oversight Committee on Public Records approved retention schedule.

- If you have questions, reach out to cty@iara.in.gov. See the Critical Records Program webpage for more information.

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How to Manage Critical Records

Government entities can make the decision to retain Critical Records in an electronic-only format *without* a paper or microfilm copy when:
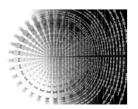
     1. they are confident that their records repository meets the criteria of a Trustworthy, Accessible, Reliable Digital Information System (TARDIS) and

     2. the records do *not* meet two or more of the criteria listed in IC 5-15-5.1-1(d).

If Critical Records *do* meet two or more of the criteria listed in IC 5-15-5.1-1(d), *IARA strongly recommends you consider maintaining at least one copy on microfilm or paper.*

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Electronic Records

- SAME record keeping requirements as paper records, doesn't matter the media and format, **it's about the content or type of information.**

- Handbook, pages 23-26, OCPR Policies 20-01 and 20-02, <u>Electronic Records Guidelines</u>, <u>Retaining Email Records – Quick Reference</u>, Recommended Capabilities for Electronic Recordkeeping Systems

- To find ER publications/policies, check IARA's Website: iara.in.gov

- **2 Electronic Records Archivists:**
  Anna Lucas and **Kalita Lopez!**
  Contact them at erecords@iara.in.gov

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REMEMBER...

When trying to locate the correct record series for a record...

First, always look at your *office-specific* retention schedule
(County Recorders (RE))

Second, look at the *GEN* retention schedule

Third, if you can't find your records on the retention schedule(s),
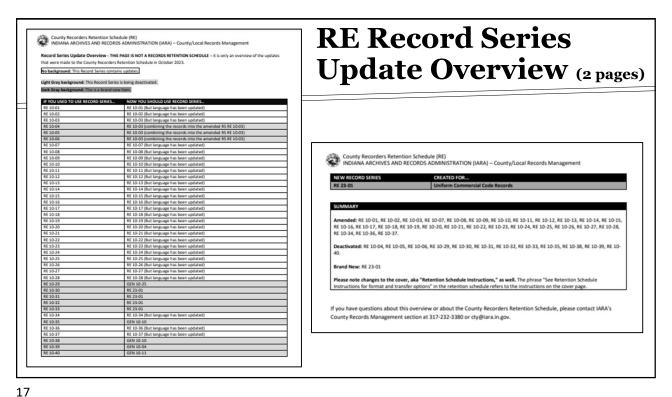reach out to *IARA* (me) for help!

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County Recorders (RE)
Retention Schedule
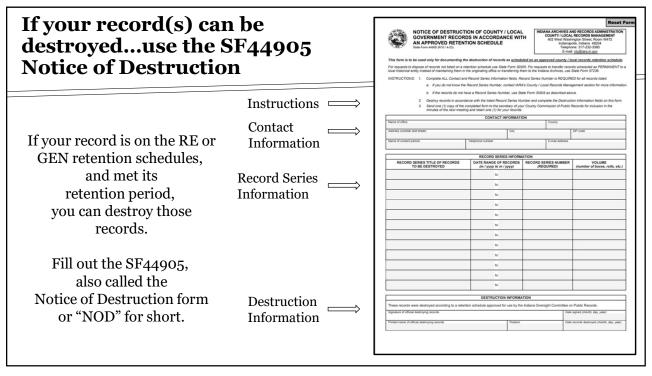
The retention schedule is **3 pages** now (used to be 5)

1 brand new record series

12 deactivated record series
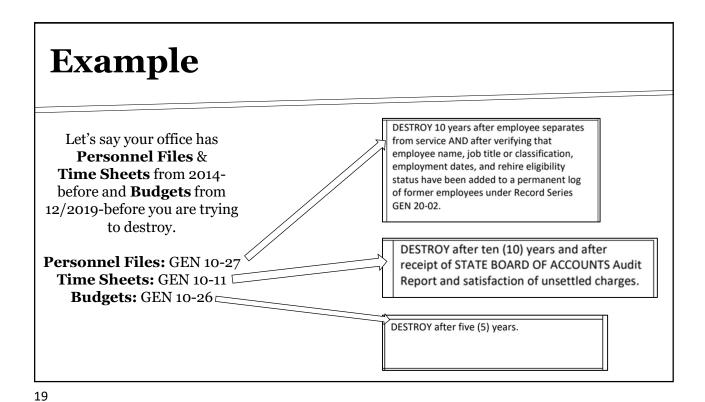
28 amended record series (retention or language)

10 sections:

Entry for Instruments for Recording, Land Transfers, Mortgage Transactions, Liens, Old Age

Assistance, Military Records, Business Associations, Miscellaneous Instruments, Uniform

Commercial Code, Office Administration

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RE Record Series Update Overview (2 pages)

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If your record(s) can be destroyed...use the SF44905 Notice of Destruction

If your record is on the RE or GEN retention schedules, and met its retention period, you can destroy those records.

Fill out the SF44905, also called the Notice of Destruction form or "NOD" for short.

Instructions ⟹

Contact Information ⟹

Record Series Information ⟹

Destruction Information ⟹

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Example

Let's say your office has **Personnel Files** & **Time Sheets** from 2014-before and **Budgets** from 12/2019-before you are trying to destroy.

Personnel Files: GEN 10-27
Time Sheets: GEN 10-11
Budgets: GEN 10-26

DESTROY 10 years after employee separates from service AND after verifying that employee name, job title or classification, employment dates, and rehire eligibility status have been added to a permanent log of former employees under Record Series GEN 20-02.

DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

DESTROY after five (5) years.

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Contact Information

CONTACT INFORMATION			
Name of office		County	
Address *(number and street)*	City		ZIP code
Name of contact person	Telephone number	E-mail address	

CONTACT INFORMATION			
Name of office		County	
Random Office Name		Random	
Address *(number and street)*	City		ZIP code
123 Main St	Random		12345
Name of contact person	Telephone number	E-mail address	
Amy Random	(123) 456-7890	amy@random.com	

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Record Series Information

RECORD SERIES INFORMATION			
RECORD SERIES TITLE OF RECORDS TO BE DESTROYED	DATE RANGE OF RECORDS (m / yyyy to m / yyyy)	RECORD SERIES NUMBER (REQUIRED)	VOLUME (number of boxes, rolls, etc.)
Personnel Files	01/2000 to 12/2014	GEN 10-27	1 box
Time Sheets	01/2000 to 12/2014	GEN 10-11	5 boxes
Budgets	01/2000 to 12/2019	GEN 10-26	3 folders
	to		
	to		
	to		
	to		
	to		
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	to		
	to		
	to		

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Review the 2 Sections

You as the records custodian are responsible for checking that the **Contact** and **Record Series Information** are **correct,** Including that the record series retention period matches the dates you list on the NOD form.

IARA is available to review your NOD form or answer any questions you have when filling out the NOD form.

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Destroy the records!

Once the NOD form is verified as correct by your office or IARA, then you can destroy the record *immediately* or *schedule** destruction for a certain date in the future.

If scheduling, you will have to wait to complete and send in the NOD form until the records are destroyed, see Destruction Information section.

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Methods of Destruction (paper)

The proper way to destroy records would be through **shredding or incineration**.

Do not sell or give public records away.

*Public records must either be destroyed in an **authorized location such as government property or by a vendor** that specializes in the destruction of records.* Public records cannot be destroyed in an unauthorized location, such as your home or a similar location.

For methods of destruction for **electronic** records or **severely damaged** records, contact IARA's Records & Information Management division.

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Destruction Information

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Completed NOD Form

Keep a copy in your files according to GEN 20-01 permanently

Send a copy to the Secretary of your County Commission of Public Records (CCPR) which could be YOU!

Tutorial on the NOD Changes!

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What is the County Commission of Public Records (CCPR)?

Every county in Indiana has a CCPR that meets at least once per year, is made up of (7) office holders, and they are one of your partners in records management. The CCPR gathers NOD forms for their meeting minutes, approves/denies PR-1A or PR-1B forms, and helps guide county offices on records retention and IARA updates.

***You as Recorders are apart of the CCPR! ***

Want to know more about the CCPR? Check out the <u>Webpage</u> or Watch the <u>Webinar</u>!

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Where can I access the information from this presentation?

IARA's website: <u>https://www.in.gov/iara/</u>

<u>County/Local Records Custodian Handbook</u>

Subscribe to the monthly email bulletin or attend monthly Teams chats by emailing "subscribe me!" to <u>cty@iara.in.gov</u>

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Indiana Archives
and Records Administration

Thank You!

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cty@iara.in.gov
(812) 929-3882 (please leave a VM)

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