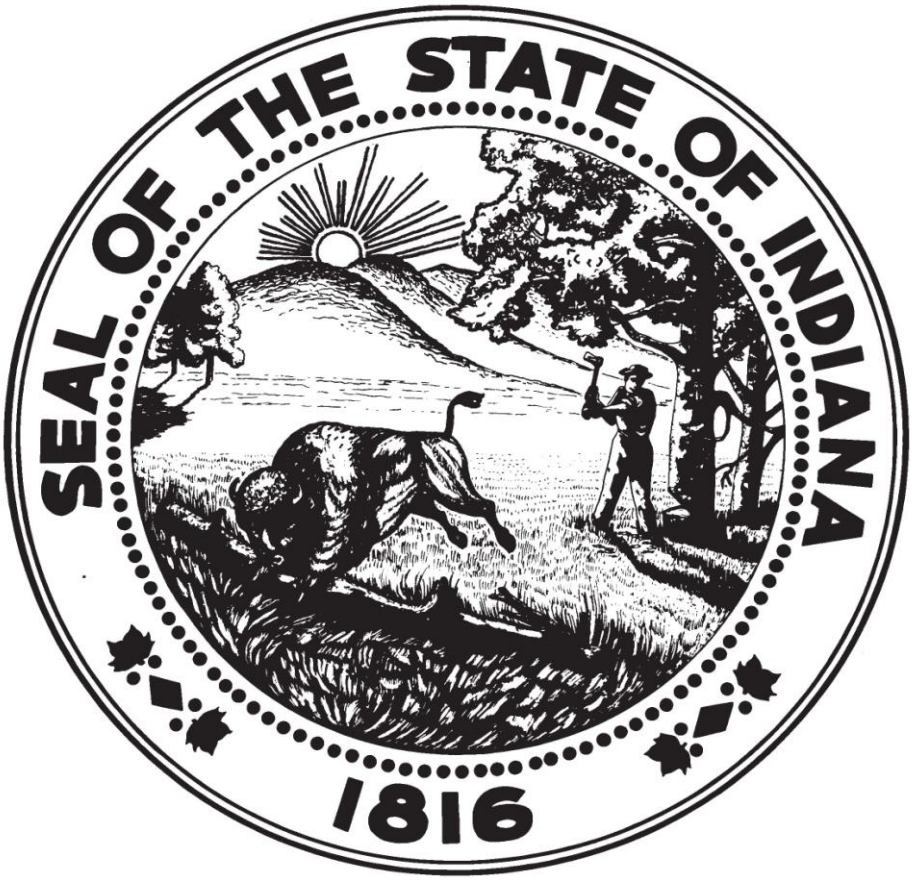
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

RECORDS COORDINATOR'S HANDBOOK



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About The Indiana Archives and Records Administration

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.

Records Management Facts

- There are approximately 260 records and forms coordinators working in Indiana State agencies.
- A one-cubic-foot records box typically contains 2500 letter-size pages and occupies 1.6 cubic feet of floor space.
- A State government employee produces an average of 2.5 cubic feet of records per year.
- The production of paper records doubles about every four years.
- The cost to retain a cubic foot of records in office files averages between $12.00 and $14.00 a year.
- Microfilming reduces 90 cubic feet of records to one cubic foot.
- Optical disks can store the images of up to 1.8 million letter-sized pages in one cubic foot. Paper records containing the same number of pages would require about 1500 cubic feet of space.

The Records Management Division:

- Prepares retention schedules
- Maintains master file and database records for each record series and each retention schedule
- Approves all requisitions for record storage equipment
- Provides access to the retention schedules database through the Internet and State Intranet
- Educates state government employees on information and records management principles and practices through records coordinators workshops

The Forms Management Division:

- Assigns a master number (State Form Number) to all state forms
- Maintains a master file folder and database record for each state form
- Writes printing specifications for state forms
- Reviews newly printed state forms to ensure compliance with specifications
- Assists in the design of electronic forms
- Designs and typesets state forms

The State Records Center:

- Provides temporary storage for inactive records
- Provides reference and retrieval services
- Maintains master file of records destruction notifications
- Arranges for the destruction of records

The State Archives:

- Permanently stores legally and historically valuable records
- Provides public access to records
- Reproduces records in a wide variety of formats (e.g., microfilm, electronic, etc.)
- Maintains the confidentiality of records deemed confidential by law
- Provides secure storage for microfilm negatives

The State Imaging and Microfilm Laboratory:

- Microfilms records
- Processes and duplicates 16mm and 35mm microfilm
- Jacket-loads 16mm microfilm

The 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 storage methods

CONTACT INFORMATION

http://www.IN.gov/iara

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100 North Senate Avenue
Indianapolis IN 46204

Voice: 317-232-3381
Fax: 317-233-0908

7 a.m. to 3:30 p.m.

INDIANA STATE ARCHIVES
6440 E. 30th Street

Indianapolis IN 46241

Voice: 317-591-5222
Fax: 317-591-5324

Hours: 8 a.m. to 4:30 p.m.

STATE RECORDS CENTER
6400 East 30th Street
Indianapolis IN 46241

Voice: 317-591-5326
Fax: 317-591-5328

Hours: 7 a.m. to 3:30 p.m.
(closed for lunch 11:30 a.m. to 12:30 p.m.)

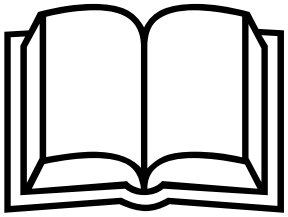
PUBLICATIONS

The Indiana Archives and Records Administration has created a variety of publications that detail proper records and information management practices. These publications are available in hard copy through the Records Management division and in an electronic format through the Archives and Records Administration's website. The titles are listed below.

- *COM: An Electronic Record Cost-Saving Solution*
- *E-Mail Retention Policy and Guidelines for Agencies on Developing an Agency-Specific E-Mail Retention Policy*
- *Guidelines for Indiana State Records, Nonrecords, and Personal Papers*
- *A Guide to Proper Records Destruction*
- *Imaging and Public Records: Basic Questions and Answers for Government Officials*
- *Indiana's Public Records: the Legal Framework of Records and Information Management in State Government*
- *Managing Your Records: A Guide for Appointing Authorities, Deputies, and Division Managers*
- *Files Management Handbook*
- *Records Coordinator's Handbook*
- *Working with the State Records Center: A Guide for State Records Coordinators and Other Agency Staff*

These items are also available online:

http://www.in.gov/iara/2770.htm



1. INTRODUCTION TO THE RECORDS COORDINATOR'S HANDBOOK

1.1 Definition and Purpose

There are three reasons every agency in Indiana state government 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. Together, these services ensure that an efficient, democratic form of government will function properly. Public records are at the heart of this. The Indiana Code, in 5–14–3–1, makes this point 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.

The General Assembly, in IC 5–14–3–2 emphasizes the significance of public records with an all-inclusive definition of what a public record is:

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

With that definition, the General Assembly essentially forbids any state agency or state employee to determine individually what is or is not a record: anything, on any medium and created for any governmental purpose, falls under the control of public records law. Note that the term "public," in this context, does not have the sense of "open to the public," but rather, serves to distinguish between "personal," as in an employee's personal papers, and "public," as in records created in the course of state government business and so belonging to the public.

These and other sections of Indiana's public records acts make clear that agencies have a particular obligation to develop a comprehensive records-management program. To fulfill that role successfully, agency records coordinators need to understand how the Indiana Archives and Records Administration can help achieve their goals.

1.2 The Archives and Records Administration's Role in Records Management

Indiana Code 5–15–5.1 vests the records management function of state government in the Archives and Records Administration. This act authorizes the Administration to:

- establish a statewide records-management program
- establish and operate a statewide archival program
- prepare, develop, and implement record-retention schedules
- establish and operate a state records center
- operate a central micrographics and imaging laboratory
- establish and operate a conservation laboratory

The Administration's role in records management is especially critical as it draws up the retention schedules that determine and sanction the disposition of Indiana's public records. Virtually all state agencies are subject to this oversight, with notable exceptions determined by statute, such as certain records of the State Police (IC 5–15–5.1–5 [a] [4]). For other agencies, the destruction of records is not lawful without the sanction of an official retention schedule. The issue is summarized in IC 5–15–5.1–14:

> A public official or agency may not mutilate, destroy, sell, loan, or otherwise dispose of any government record, except under a records retention schedule or with the written consent of the commission [i.e. the former Commission on Public Records, now the Indiana Archives and Records Administration].

2. RECORDS MANAGEMENT: DEFINITIONS AND PURPOSE

2.1 Identifying a Record Series

Records management begins with identifying a record series. A record series consists of records that have the same physical form, are arranged under a single filing system, are related to a particular subject, document a particular transaction, or are produced by the same activity—and so form an identifiable group. These series are formally described in a records retention schedule. A records retention schedule specifically defines a record series and sets rules for its disposition.

Properly developed retention schedules ensure compliance with state statutory requirements and existing government regulations. In cooperation with an agency, the Records Management Division of the Archives and Records Administration will analyze records and draft schedules for their retention. When the agency is satisfied with the schedules as drafted, they are submitted for the approval of the Oversight Committee on Public Records (OCPR).

Since federal and state laws, regulations, and/or procedures governing records change frequently, agencies need to update, maintain, and implement records retention schedules systematically. Accordingly, particular care has been taken to design this handbook to make clear how agencies can develop new policies and procedures.

2.2 Making a Records Inventory

The first step an agency should take in records management 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 is a description of the functions, uses, and physical appearance of a record series.

2.2 a Records Inventory and Analysis Worksheet

To complete an inventory, agencies may use a Records Inventory and Analysis Worksheet provided by the records analyst working with their coordinator, or describe groups of records more informally to the analyst, depending on mutual convenience.

2.3 Developing a Retention Schedule

Once a record series is identified and inventoried, an agency can begin to develop the appropriate retention schedule. With the agency's assistance and approval, a Records Management analyst will work with the records coordinator to draft a proposed retention schedule.

To get the latest approved version of a retention schedule, be sure to contact the Records Management Division directly (317-232-3380) , or visit the Retention Schedule Database at http://www.in.gov/iara/2768.htm. (Please note that per Senate Enrolled Act 528 and the Oversight Committee on Public Records meeting of 5/20/2015, 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.)

Following are the four basic categories of information that comprise a retention schedule:

1. **Item Number**
   The item number of the record series included in the schedule. The item number is used for ease of reference, especially before a record-series number is assigned.

2. **Record-Series Number**
   The record-series number is a unique identifier assigned after the schedule has been approved by the Oversight Committee on Public Records. The first two digits of the number show the year when the record series was approved. The next digits, after the dash, indicate the schedule's place in the sequence of schedules approved by the OCPR that year. Each year starts with 001. For example, "90–113" would identify the 113th series approved in the year 1990. When consulting with Archives and Records Administration staff, records coordinators should always use the record-series number to prevent the mis-identification of records.

3. **Record-Series Title and Description**
   The record-series title is a concise, descriptive name for the series. Examples of record-series titles are: "Agency Contract Files," "Agency Disaster Plans," and "Program Case Files." (Titles and descriptions are developed from items 6 and 7 on the Records Inventory and Analysis Worksheet.)

4. **Retention Period**
   Category four describes the disposition of the record series, noting when it can be transferred from the agency or destroyed, as well as any special requirements, such as an audit that should be completed before final disposition of the records. If the retention schedule requires storage at the Records Center, the term, in years, is noted. If the schedule requires transfer to the State Archives, the point in time of the transfer is noted. If the schedule requires microfilming, the point in time of the filming is noted.

After the schedule is formally approved, the Records Management Division will keep on record an official copy of the schedule and a signature form with the signature of the Secretary of the Oversight Committee on Public Records indicating the date of the Committee's approval.

2.4 Agency Approval of a Draft Schedule

A draft schedule is sent to the agency records coordinator for review and analysis within the agency. When the agency and the Archives and Records Administration are satisfied with the draft, it is reprinted and sent to the records coordinator along with a Record Retention/Disposition Schedule Information form (SF 39443—see Appendix A). The coordinator should then ask the agency director to review and sign the Record Retention/Disposition Schedule Information form. Once approved, the signed form and draft schedule should be returned to the Records Management analyst.

2.5 OCPR Approval of a Retention Schedule

The retention schedule approval procedure begins with reviews of the proposed schedule by the designee of the State Examiner of the State Board of Accounts, by the director of the Indiana Historical Bureau, and by the State Archivist. After these reviews have been completed, the entire Oversight Committee considers the schedule at a regular meeting. The Oversight Committee consists of the following:

- Governor or a designee
- Secretary of State or a designee
- Examiner of the State Board of Accounts or a designee
- Director of the State Library
- Director of the Historical Bureau
- Director of the Archives and Records Administration
- Commissioner of the Department of Administration or a designee
- Director of the Office of Technology or designee
- Public Access Counselor or designee
- member of the public who is a journalist or is a member of an association related to journalism
- member of the public

The Oversight Committee usually meets the third Wednesday of every month. The meetings are open to the public and, of course, to representatives of any state agency.

When it considers a schedule, the Oversight Committee can take one of four actions:

1. approve the schedule as submitted
2. amend the schedule and approve the amended version
3. reject the schedule
4. table the schedule for further action at a later time

The Records Management division will notify agency records coordinators of any decisions made by the Oversight Committee.

When the OCPR approves a schedule, the Secretary signs it. One copy is then sent to the records coordinator, who is expected to make copies as needed and distribute to the agency director and affected divisions. After the approved schedule is received by the agency, it goes into effect and should be followed. If starting from scratch, the entire process generally requires two to three months to complete.

2.6 Amending a Retention Schedule

A retention schedule may be amended as often as an agency feels necessary. The following changes are defined as amendments:

1. changing the retention period of a single record series
2. combining two or more record series
3. dividing one record series into two or more record series
4. adding one or more record series

Records coordinators should consult a Records Management analyst when any changes are anticipated. To amend a series, the records coordinator must follow the procedures for drafting a schedule, starting with notes on any changes to the applicable fields on the current approved retention schedule. When finished, the coordinator will forward the notes to the Records Management analysts; the proposed amendments will be included into a new draft and will then go before the Oversight Committee for approval.

2.7 Fast-Track System

To expedite the revision of retention schedules, the Archives and Records Administration has a "fast-track" system for records management tasks, wherein the OCPR delegates authority to the Administration to approve basic or minimal changes in record descriptions and dispositions. This change in procedure was made in response to suggestions by our customers. Its purpose is to improve the speed and efficiency of the system.

Changes in record retention schedules involving the following criteria would qualify for the fast track:

1. The simple clarification of schedules—e.g., adding or subtracting details without affecting the substance of the description or the disposition
2. The deletion of schedules
3. The transfer of responsibility for a series from one division of an agency, or from one agency, to another, as this does not affect the schedule itself
4. The scheduling of new series without any permanent, critical, legal, archival, or audit value—when scheduling records with only a

temporary, administrative value, the Archives and Records Administration will recognize the agency's priorities

Changes in record retention schedules defined by the following criteria would prevent the revisions qualifying for the fast track approval process:

1. the records have permanent legal or historical significance
2. the records are critical to the functions of state government and the agency
3. the records contain significant personal information [see the Fair Information Practices Act (IC 4–1–6–1) for details]
4. the revision means the immediate destruction of records
5. the records are necessary for State Board of Accounts audits
6. the records generate questions by CPR internal reviewers

The delegation of authority for fast-track scheduling still requires formal OCPR review and approval. In instances where the OCPR raises objections, the schedule would be revised as approved by the OCPR.

2.8 Deleting a Record Series

The following changes are considered deletions:

1. reclassifying a record series under the General Retention Schedule
2. eliminating a record-series without replacing it

To initiate a deletion, a records coordinator should contact the Administration's records management division to explain the reasons for the change.

3. THE STATE RECORDS CENTER

3.1 Definitions and Purpose

In order to minimize storage costs and to free office space for use by agency staff, the State Records Center of the Archives and Records Administration provides state agencies with off-site storage for their inactive records. The Records Center only accepts 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, but Records Center staff will retrieve and forward records upon request, as well as arrange for their final disposition. To prevent the loss or incorrect disposal of records and to expedite their retrieval, records coordinators should understand and follow standardized Records Center procedures.

3.2 Transferring Agency Records to the Records Center

3.2 a Use of Records Center Boxes

Agencies must pack records in standard white KRAFT Records Center boxes (15″ x 12″ x 10″; SF 46634—see Appendix H). These boxes are designed to accommodate both letter-sized and legal-sized documents; they are the only type of boxes that the specially designed shelves at the Records Center can hold. Standard Records Center boxes are available directly from the Records Center; they may also have recycled boxes available.

3.2 b Arranging Records in Records Center Boxes

To expedite retrieval and refiling, agencies must arrange their records in a standard format. Letter sized files (8.5″ x 11″ in size) must be placed in the records center box with files facing the labeled end of the box. Legal sized files (8.5″ x 14″ in size) 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; they can damage both boxes and records. When packing documents, space must be left to ensure room to refile or add documents within a box. *All records in a box must be of the same Record Series.*

3.2 c Marking the Files

The records coordinator should standardize the filing system(s) for the records being sent to the Records Center, and ascertain that each file is marked either with the file name, if an alphabetical system is used, with the file number, if a numerical system is used, or, with both the file name and number, if an alphanumeric system is used. The contents of the file and the files themselves must be placed in proper sequence. Different filing systems should not be mixed within folders or within boxes. If the Records Center staff is not able to identify a file, they will not be able to retrieve records. If there is no readily apparent order to documents in a box, personnel from the agency of origin will have to reorganize them.

3.2 d Labeling the Boxes

Each box must have a proper label. For a new box, use the preprinted label on the end of the box, and label one end only. If using a recycled box, a self-adhesive box label should be affixed. These labels (SF 25186—see Appendix C) are available from the Forms Distribution Center at PEN Products.

- Use a broad-tipped, black, permanent-ink marker to complete the label so that the information will remain enduringly legible
- The record-series number and record-series title should be entered in the spaces provided
- Calculate the destruction date from the retention schedule and the record dates and enter the destruction date in the space provided (see below)
- Do not number the boxes until the destruction dates have been calculated for all boxes within each Record Series being sent, and they have been arranged in chronological order by that date
- The location space should be left blank for use by the Records Center staff

To calculate the date when records will be eligible for destruction or transfer to the State Archives (depending upon the approved disposition), start with the date of the most recent records and 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 (3) years. Therefore, if the latest correspondence is dated December 1997, then the records may be destroyed in January 2001. If a retention is given in *fiscal years*, start counting from the end of the appropriate *fiscal year* -- i.e. if the records date to November 1990 and the retention is ten *fiscal years*, start counting from June 30th, 1991, and add the extra month, for a disposal date of 7/2001.

Arrange the boxes in chronological order by destruction date, within each Record Series being transferred, <u>then</u> assign carton numbers to them.

3.2 e Records Transmittal and Receipt Form

Agencies must submit a Records Transmittal and Receipt form (SF 23628—see Appendix D) with each record series transferred to the Records Center. These are available from the Forms Distribution Center at PEN Products, or on the Forms.IN.gov online forms catalog. The Records Center will accept only the most recent revision of the form.

Information on the transmittal form must be typed or printed from a computer; it may not be handwritten. <u>Include only one record-series number per page.</u>

Since the box label contains essentially the same information as the transmittal form, the label should be used to complete the transmittal. It is not necessary to repeat the record-series title and record-series number on each line of the form. If records being transferred include more than one year, they may be listed on the same form only

if listed chronologically and numbered in sequence-- that is, the boxes should be arranged in chronological order by record destruction date, then numbered, and listed in numerical order on the SF 23628. The dates should be noted precisely. Use the "notes" section to describe the contents of the box. Leave the accession number column and the location column blank; these are for the use by the Records Center only. All other sections must be completed and the form signed by the records coordinator before the Records Center will accept the records.

3.2 f Record Transfer and Pickup

Send the completed Transmittal form to the Records Center. The staff there will arrange to pick up the records for agencies in the Indianapolis area. At the time of pickup, the form will be signed by a Records Center staff member and the goldenrod copy left behind as a receipt. After the records have been shelved in the Records Center, the canary copy of the form is sent to the records coordinator noting the Records Center shelf location information for the records. It is imperative that the canary copy be saved, since it contains information necessary to retrieve records at the Records Center; further, it can serve as a crucial step in any audit trail.

3.3 Retrieving Materials From the Records Center

An agency may retrieve its records from the Records Center by completing a Request for Records form (SF 24019—see Appendix E). Be sure to use the most recent revision of the form; copies are available at the Forms Distribution Center at PEN Products. Only one file or one box may be requested per form.

The Records Center will retrieve only records that belong to the agency making the request. Requests for any other agency's records will be rejected and returned. In order to maintain the security of the records in its care, the Records Center will not accept reference requests directly from members of the public, nor will it accept telephone requests for records, even from the agency with title to those records.

To complete a Request for Records form, copy the record-series name, record-series number, Records Center box number, and the location of the desired record from the agency's canary copy of the Transmittal form (SF 23628—see Appendix D). Be sure to fill out the box on the form specifying which file is requested; if the entire box of records is required, please write "Entire Box" in this space; do not leave it blank. If possible, also note the Accession Number, somewhere in the blank space on the form.

A request for records may be sent to the Records Center through the state's interdepartmental mail system, or faxed to 317-591-5328. (Large numbers of requests should be mailed; please save faxing for urgent situations.) Please remove the top white copy of the Request before sending it to the Records Center. The white copy of the form allows the agency records coordinator to keep track of the records requested.

3.4 Emergency Requests for Records

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

3.5 Returning Materials to the Records Center

When returning records to the Records Center for re-filing, the yellow copy of the Request for Records must be attached to the file(s). Without it, the Records Center staff cannot return the file to its original box.

3.6 Destroying Records at the Records Center

The Records Center provides destruction services for state agencies. All records destroyed by the Records Center are recycled. Confidential records are destroyed in a manner that prevents their reconstruction.

When the destruction date for records arrives, a Records Destruction Notification form (SF 16—see Appendix F) is sent to the agency's records coordinator. The records coordinator should then provide final authorization for destruction of the records, or transfer to the State Archives, depending upon the approved disposition, by signing the notification form and returning it to the Records Center.

If, in the agency's view, the records should not be destroyed, the Records Coordinator should fill out the SF 47167 that was included with the SF 16, stating the reasons why and suggesting a possible future destruction date. The Records Coordinator should return that form, and all copies of the unsigned SF16, to the Records Center. The SF 16 will then be re-filed, and re-sent to the Records Coordinator for approval on the new date. In some unusual situations, the State Archives may also seek exception to a request for destruction if it desires to obtain the records for its historical collections.

When the records have been destroyed or transferred to the State Archives, depending on the approved disposition, the canary copy of the SF16 will be returned to the Records Coordinator, with the date of actual destruction/transfer noted. This copy should be retained according to the General Retention Schedule, Record Series GRREC-2.

4. THE STATE ARCHIVES

4.1 Definitions and Purpose

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

Currently, the State Archives holds over 51,500 cubic feet of hard copy records and 2,300 cubic feet of microform records. These include 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.

When the time comes to transfer records to the State Archives, compliance with proper records management procedures is very important, as it ensures the prompt retrieval of records for the originating agency, researchers, other agencies of government, public interest groups, scholars, students, or family historians.

4.2 Transferring Records to the State Archives

Before sending records to the State Archives, records coordinators should contact the State Archives to describe the materials involved, and determine what steps to take for the transfer.

Ordinarily, records sent to the State Archives must be packed in boxes with lids. The Archives usually accepts only paper records, which includes photographs, books, architectural drawings, blueprints, etc.; or records on microform, such as microfilm and microfiche. Records on other media, such as magnetic tapes or computer diskettes, are dealt with on a case by case basis. Procedures for transferring these records should be arranged on an individual basis with the State Archives staff.

Reels of microfilm should also be packed in boxes with lids. Each reel must be in an individual acid-free box and each box must be labeled properly. The reel boxes should be placed in boxes with the labels facing up and in the same direction. A Microfilm Transmittal and Receipt - State Agency (SF 52408, see Appendix J) should be filled out and submitted to the State Archives; please contact the State Archives for additional instructions before sending it, or transferring any microfilm.

Each box transferred to the State Archives must be properly labeled on the front (or on paper permanently attached to the box) as follows:

- agency name
- agency division
- 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 to the State Archives, the proper label for box ten would read:

IDEM
Air Pollution
General Files
RS: 83–409
Box 10 of 13

Beyond just labeling these boxes, agencies should make an inventory of the records involved in order to prevent any confusion over what has been sent to the State Archives. Each inventory should include a list of the folders or of the microfilm rolls enclosed in a particular box. As well, please include the name and telephone number of the person making the transfer.

Records with various record series numbers should be boxed separately according to like numbers.

After the records are properly boxed and labeled, the Agency Records Coordinator should fill out State Form 48883 (Appendix I), State Archives Record Transmittal And Receipt Form. A separate State Form 48883 should be used for each record series number.

After transfer, the State Archives staff will process the records according to the retention schedule and prepare an accession register detailing them. The accession register notes the records location, the box number(s), how many cubic feet of records were retained, the date of the records, and the transfer documentation. Also, if applicable, the criteria for any evaluation, weeding and sampling will be stated. Your copy of the accession register and the accompanying documentation serves as your receipt for those records and is essential when following an audit trail. The State Archives sends a copy of the accession register to the records coordinator of the agency of origin.

NOTE: If records are transferred from the Records Center to the State Archives, a State Form 16, Records Destruction Notification, is used in place of SF 48883. If there is a State Form 16 attached to your copy of an accession register, it indicates that the records were transferred to the State Archives by Records Center staff. Based on the retention schedule for the records, the Archives *may* keep only a sample of the records (some records are saved, while the bulk of the records are destroyed). The cubic feet of records destroyed will be indicated in the Accession Notes field of the Accession Register.

4.3 Access to Records at the Archives

The State Archives retrieves records regularly for reference by the public and by state government personnel. However, to minimize damage or accidental destruction to these records, the State Archives does not loan items for use outside of its reading room. In most situations, however, the Archives staff can make reasonable numbers of photocopies at little or no cost to state agencies. Photocopies 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. The State Archives can provide a detailed list of these fees and services.

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

5. MICROFILMING RECORDS

5.1 Definitions and Purpose

At present, national standards authorize only two storage media for permanent preservation of written history: paper and microfilm. Microfilming is a means of preserving records in a stable medium and minimizing the cost of records storage. Microfilming represents an option that all agencies should consider for records series that generate large quantities of documents.

Records may be microfilmed by the State Imaging and Microfilm Laboratory, or by the agencies themselves. Microfilm must comply with the requirements of Title 60, Section 2, of the Indiana Administrative Code (60 IAC 2 - located on page 44 of this handbook). This section establishes standards for producing and preserving archival quality microfilm.

5.2 Transferring Records to the State Imaging and Microfilm Laboratory

To initiate a microfilming project, the agency's records coordinator should contact the State Imaging and Microfilm Laboratory to discuss the agency's needs. The laboratory will then prepare for the agency an agreement that states the procedures used by the lab and describes its services. The State Imaging and Microfilm Laboratory operates in compliance with 60 IAC 2.

Records must be properly prepared before transfer to the State Imaging and Microfilm Laboratory. All staples, paper clips, or other kinds of fasteners must be removed from records. All items smaller than 3" x 5" must be individually taped onto a standard 8.5" x 11" sheet of white paper, and all the edges of the smaller item must be taped down so that the sheets will move through the microfilming cameras' document feeders without tearing. Use only transparent tape.

Records should be sent to the lab in standard, one-cubic-foot record storage boxes. The records within each box must be placed in the proper sequence in the order to be filmed. All pages in each file folder must be arranged in the order that they are to be filmed. All files will be microfilmed in the order in which they are found. The laboratory staff is not in a position to determine how the records should be arranged.

Each box should be marked properly on the outside using carton labels. The label should include the agency name, the record-series number and title, and the number of the box within the group (i.e., "1 of 10," "2 of 10," etc.). Each box should contain a list of its contents. This list will help the MIS staff to keep folders in their proper order and in the proper box.

If a retention schedule requires loading the film in jackets, contact the State Imaging and Microfilm Laboratory for information on how to obtain micro jackets. The first jacket for each file must be labeled, using the white, top border on the dull side of the jacket. An indelible typewriter ribbon should be used to write the label; otherwise, the label could be erased. A rubber band should be placed around the jackets, and the jackets inserted in the record box, either on top of the folders or at the front. The jackets must be arranged in the same order as the files.

NOTE: DUE TO THE LIMITED SPACE AVAILABLE FOR RECORDS STORAGE, PLEASE CALL THE STATE IMAGING AND MICROFILM LABORATORY FOR AVAILABILITY OF SHELF SPACE BEFORE SENDING RECORDS.

5.3 Verification of Microfilm Against the Original Documents

After microfilming records, the State Imaging and Microfilm Laboratory 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 laboratory will return the original records and a duplicate working microfilm copy to the agency after filming for verification and review.

The retention schedule may specify a modification of this standard procedure; in this case, the agency should inform the laboratory staff of any variations. After receiving the records and the duplicate microfilm, the agency should review the microfilm for completeness and legibility. If the film is not a complete copy of the records or if the microfilm is not legible, the records should be returned to the lab for refilming.

5.4 Microfilming Done by an Agency

5.4 a Standards and Testing

State agencies that do their own microfilming should contact the State Imaging and Microfilm Laboratory for information on both filming and processing procedures. To comply with the requirements of 60 IAC 2, several technical standards must be met. The laboratory 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. The laboratory staff should be contacted to ensure that the appropriate tests are conducted.

5.4 b Processing Agency Film

Each roll of microfilm sent to the State Imaging and Microfilm Laboratory for processing must be properly labeled. If a manufacturer's label is provided with the microfilm, it may be used. If no label is provided by the film manufacturer, use the Identification of Microfilm form (SF 36031—see Appendix G). All labels must contain the agency name, the record-series number, the record-series title, the name of the starting and ending files of the roll or reel, and the roll or reel number.

Reels of microfilm can be either hand-delivered or mailed to the lab. If an agency is located within the Indiana Government Center complex, hand delivery should be used to ensure the safe and prompt arrival of the film. If received before 9.00 a.m., the

film will be processed, duplicated, and made ready for pick-up within twenty-four (24) hours. A Report of density and resolution will be available on the Record of Statistics and Supplies, SF 43966. Each report should be inspected by the client agency on return of the film so those problems can be identified immediately and corrected.

5.5 Microfilming Done by Outside Vendors

It is strongly suggested that agencies use the State Imaging and Microfilm Laboratory for all of their microfilming needs. The agency should consult directly with the lab before contacting any outside vendor, and any agency that requires COM (computer output microfilm) services MUST contact the supervisor of the State Imaging and Microfilm Laboratory for further information. An agency that does choose to contract with a private firm or outside vendor for microfilming original documents must determine, prior to making the contract, whether or not the microfilm standards in 60 IAC 2 are applicable. Should these standards apply, a copy of 60 IAC 2 and a copy of the retention schedule for that record-series group must be attached to the microfilming requisition and contract.

5.6 Charges for Microfilming

Micrographic services are provided to agencies at cost. The fees provide funds for the Archives and Records Administration to purchase replacement supplies for the State Imaging and Microfilm Laboratory and support the State Archives. The State Board of Accounts has approved SF 43682 to serve as the billing statement. The current rate schedule is available from the lab.

6. DESTRUCTION OF RECORDS

6.1 Destruction Options

When a retention schedule indicates that the records it governs are due to be destroyed, an agency has two options: it can either destroy the records in-house, or contact the Records Center, which destroys records as a service to all state agencies. The preferred method of destruction for most records is recycling. According to IC 5–15–5.1–13, however, confidential records must be destroyed in such a manner that they cannot be "read, interpreted, or reconstructed." The Records Center can destroy both ordinary and confidential records in the approved manner.

Whether agencies decide to destroy records in-house or at the Records Center, extreme caution should be exercised as destroyed records cannot be recovered. Please make sure that the criteria specified in the retention schedule are met before initiating the process.

NOTE: IF RECORDS COORDINATORS HAVE ANY QUESTIONS ABOUT DESTROYING RECORDS, THEY SHOULD CALL THE RECORDS CENTER STAFF at 317-591-5326 FOR ASSISTANCE.

6.2 Calculating When Records are Eligible for Destruction

To calculate the date records are eligible for destruction, start with the date of the latest records and add the period specified in the retention schedule. For example, General Correspondence (GRADM–4 on the General Retention Schedule), can be destroyed after three (3) years. If the latest correspondence is 31 December 1987, then the records may be destroyed on 1 January 1991. (See section 3.2d of this handbook, on page 13, for more details.)

6.3 Records Destruction Notification form (SF 16)

To initiate the destruction of records, complete a Records Destruction Notification form (SF 16—see Appendix F). These forms are available from the Forms Distribution Center at PEN Products, or on the Forms.IN.gov Catalog. Retention schedules grant agencies the authority to destroy certain records after a specified period. It is not necessary to obtain permission from the Archives and Records Administration each time scheduled records are due for destruction. It *is* necessary to notify the Administration that the records were destroyed in order to be able to satisfy any later request for an audit trail.

Complete all required entries on the Records Destruction Notification form, especially those that note the dates of the records and the precise date they were destroyed. 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 Destruction Notification must be signed and dated by the agency's records coordinator.

After completing the form, retain a photocopy for your records, then send the form itself to the Records Center for review and processing. If you have already destroyed the records, the Records Center will file the notification; if the records are to be destroyed by the Records Center staff, you will receive another copy of the notification once this has been accomplished.

6.4 Destruction of Records by the Records Center

To ask the Records Center to destroy records, complete the Records Destruction Notification form as instructed above. Check the box labeled "Request for Courtesy Destruction" and send the completed form to the Records Center. The Records Center staff will arrange to pick up the records from the agency.

To prepare records for destruction by the Records Center, place these records in properly labeled, one-cubic-foot boxes. Unless instructed otherwise, it is not necessary to segregate colored paper, file folders, or other material from files before loading records into boxes.

To avoid confusion, all records picked up for destruction by the Records Center staff must have proper box labels (SF 25186—see Appendix C). Enter the record-series number and record-series title on the label exactly as they appear on the retention schedule. Use the retention schedule and the dates of the records to calculate the destruction date for the box.

7. ELECTRONIC RECORDS

7.1 Electronic Record Keeping

Electronic records are any records created, maintained, altered, or deleted in a digitized format. These records are subject to the same record keeping requirements as are paper records. The ability of electronic records to be easily edited requires system designers to incorporate records retention requirements within the system at the time of design. Proper records retention and disposition must include full and accurate documentation of the system (hardware and software); functions supported by the system; how the information is collected, used, accessed, and maintained on each of the systems mediums; and the procedural controls employed to preserve the integrity of the system's data. Full, accurate, and current documentation of both the system and the data must be maintained until the information system is discontinued or discarded. The following questions are designed to assist the records manager, records coordinator, and systems designer when developing an electronic record keeping system:

1. How long are the records to be retained? If the records are to be maintained for more than 10 years, would transfer to another medium, such as computer output microfiche (COM, see 7.3), be a less expensive alternative?
2. Will secondary information, such as reports, be created from the data, and how will these be maintained?
3. Can old records be converted easily with new upgrades in software without loss of data?
4. How will access to the records be maintained?
5. Are the records confidential?
6. How will the system be secured?
7. What is the system back-up and/or disaster plan?
8. Who will maintain documentation of the system?

Incorporating records retention requirements in the design phase of the system will save the records coordinator and systems manager time and expense. BEFORE IMPLEMENTING ANY ELECTRONIC RECORDS PROGRAM, CONSULT WITH A ARCHIVES AND RECORDS ADMINISTRATION ELECTRONIC RECORDS ANALYST.

7.1a Electronic mail

Electronic mail, or e-mail, is an information transfer system which uses computers to send and receive messages. For many state agencies, e-mail is used as an effective form of communication-in some instances replacing telephone calls and printed memos. Because e-mail is frequently used to conduct state government business, it is crucial that records managers develop policies and procedures that ensure records created or received on e-mail systems are managed according to Indiana's public records laws. All e-mail conducted on state government computers is owned by the State of Indiana and is a public record.

The General Assembly essentially precludes any state agency or state employee from determining individually what is or is not a record: anything, on any medium and created for any governmental purpose, falls under public records law. Consequently, all e-mail messages are public records and are subject to record retention requirements. For the purpose of satisfying public records laws, e-mail is defined as not only the messages sent and received by e-mail systems, but all transmission and receipt data as well.

ELECTRONIC MAIL (E-MAIL) IS NOT A RECORD SERIES FOR RETENTION SCHEDULING PURPOSES. RATHER, THE RETENTION OF E-MAIL MUST BE BASED ON CONTENT, NOT MEDIA TYPE. E-MAIL SHOULD BE RETAINED FOR THE SAME DURATION AS OTHER RECORDS OF SIMILAR CONTENT INCLUDED IN A GIVEN RECORD SERIES ON AN APPROVED RETENTION SCHEDULE.

Responsibilities:
All agencies are responsible for developing guidelines and procedures to manage e-mail messages as part of their overall record-keeping systems. Agencies must maintain their e-mail in a manner that complies with approved retention schedules and the records management practices already established for other media as required by law. If a record series cannot be identified, a record series should be developed and included on the agency's approved retention schedule. All agencies should communicate this policy to their employees and should take the steps necessary to ensure employee compliance with this policy. See the Archives and Records Administration E-Mail Retention Policy and Guidelines For Agencies on Developing an Agency-Specific E-Mail Retention Policy, available on the Administration's website (http://www.in.gov/iara/policyemailandguidelines.pdf) or in hard copy by request, for more information.

7.1b Documentation requirements for electronic records

Periodically, agencies may be responsible for establishing the validity and accuracy of their electronic records in court. The legal admissibility of these records depends largely upon the quality of the documentation available for the system in use and the care and preservation of the electronic records produced. In addition, agencies collecting information on citizens, particularly that of a personal nature, should be aware of the Fair Information Practices Act (FIPA), IC4-1-6-1, as it defines statutory requirements for documentation. Note that personal information is defined as:

> any information that describes, locates, or indexes anything about an individual or that affords a basis for inferring personal characteristics about an individual, including, but not limited to, his education, financial transactions, medical history, criminal or employment records, finger and voice prints, photographs, or his presence, registration, or membership in an organization or activity or admission to an institution. "Personal," in this instance, is not the same as "confidential." Much of the information that falls under this rule remains accessible to the public. The intent of the law, however, is to minimize the potential for abuse of such information, confidential or not, by establishing certain guidelines for the collection, verification, and dissemination of these records.

Because of the Fair Information Management Practices Act, the importance of documenting procedures for systems transmitting personal information cannot be overemphasized. For any record keeping system, however, thorough documentation will reduce confusion, and serve to establish the reliability and authenticity of records created.

Documentation files should do the following: identify system hardware and software; formalize file naming conventions; perform back up and security procedures; identify the sources and uses of information and their confidential or non-confidential status; and outline quality control procedures and storage requirements. Documentation should also cover employee training procedures and the verification of employee attendance at training sessions.

7.1c Preservation

Several issues should be addressed when developing an electronic records preservation program. Different agencies have a wide range of system capabilities and characteristics. To determine the most accurate, complete, and practical method of managing records, agencies need to develop procedures that fit their specific situations. Understanding the capabilities of a system is a prerequisite to determining how the records will be identified, organized, and stored. An agency's local area network (LAN)

administrator is usually the best person to answer questions regarding software, and he or she can often suggest possible options for retention.

7.1d Access

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

Every effort should be made to file electronic records systematically for convenient retrieval. Standardized filing rules within an agency may serve this purpose. Electronic files should be indexed in an organized and consistent pattern, and reflect the way the files will be used and referenced. For example, correspondence is often indexed in the following manner:

date sent or received
name of the sender or recipient
subject 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). Records maintained electronically have the potential advantage of supplying multiple access or index points.

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

7.1e Security

Security measures should be taken to protect electronic records from unauthorized alterations or deletions. All electronic records should be retained in read-only files. Procedures for maintaining electronic records systems should be coordinated with the destruction of records so that no copies are maintained after the close of the retention period.

7.1f Destruction

All electronic records must be disposed of in a manner that ensures protection of any sensitive, proprietary, or confidential information. Magnetic recording media previously used for electronic records containing sensitive, proprietary, or confidential information is not to be reused if the previously recorded information might be compromised in any way by reuse.

7.1g Education

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

7.2 Computer Output Microfilm

The acronym *COM,* meaning *computer output microfilm,* is a process for copying and printing data onto microfilm from electronic media found on personal, mini, or mainframe computers. COM consists of 1) a high-speed recorder that transfers digital data onto microfilm using laser technology, and 2) a processor that develops the microfilm once exposed to a light source.

The camera generated master negative microfilm is a silver halide silver gelatin, meeting the permanency requirements of ANSI/NAPM IT9.1-1996. Microforms are "wet" processed in accordance with ANSI/NAPM IT 9.1-1996 and in accordance with processing procedures in ANSI/AIIM MS196 and ANSI/AIIM MS23-1998.

The State Imaging and Microfilm Laboratory provides outsourcing of COM services via specifically-approved vendors whose standards and practices meet with the professional approval of the Archives and Records Administration staff. Agencies wishing to arrange for COM services should contact the State Imaging and Microfilm Laboratory.

7.2a BENEFITS OF COM

COM offers many improvements over current records management practices. These improvements include:

Less paper storage
One of the primary objectives of providing COM is to decrease paper use as allowed by P.L. 40 (1979), Section 16, which authorizes recording, copying, and reproducing records by photostatic, photographic, or micrographic process to reduce storage space. A one-cubic-foot box of paper records holds an average of only 2500 pages. One microfiche card holds 230 documents (or images), and a one-cubic-foot records storage box holds 6,000 microfiche cards—a minimum of 1,380,000 pages. To store that many paper documents, 552 one-cubic-foot records storage boxes would be needed!

Cost savings
Using COM to store or distribute information is more economical than most electronic media, and is even less expensive than paper. The cost of printing a standard 8″x11″ page from a centralized printer is approximately three cents per sheet, versus only 0.0033 cents per sheet for COM microfiche. Other cost savings can be realized through the decrease in office and warehouse space needed to store paper documents.

Improved quality
The newest COM technology provides superior image quality for improved user productivity. Such features as enhanced titling, enlarged file breaks, and bar coding make access and filing easier. Improved quality also means reader and printer copies that are legible.

Improved service
The use of COM services outsourced by the State Imaging and Microfilm Laboratory helps reduce the risk of lost tapes and slow turn-around times from individually-contracted vendors, thereby offering agencies quick access to high-quality microfilm images. Initial transfer of information from the agency to the lab is also simple and quick: database (ASCII or EBCIDIC) or image (tiff group 4) files may be sent directly from your agency's computers to the State Imaging and Microfilm Laboratory ftp site for transfer to fiche. Contact the laboratory for specific file-type requirements and ftp address.

Electronic records retention and archiving
With the proliferation of electronic records, and with few rules governing the purchase and use of imaging systems, it is vitally important that state agencies have the means to archive records from a variety of electronic sources. Using COM, electronic records can be moved from diverse, incompatible electronic storage systems to a "universal" reader. This sophisticated records management tool can ensure proper retention of archival records by decreasing any unauthorized destruction of records and increasing public access.

At present, national standards authorize only two storage media for permanent preservation of written history: paper and microfilm. Of these two media, computer generated microfilm is the most rapid and efficient for capturing important records created in electronic formats.

7.3 Imaging

Public Law 79, 1995, amending 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.

However, IC 5-15-1-1(b) holds that state agencies may not destroy original records without the approval of the Archives and Records Administration. Accordingly, to

ensure approval, agencies seeking to employ an imaging system should involve the Administration in the design phase of that system.

7.3a Use of Administrative Rule 13

The Archives and Records Administration's role is to determine that a proposed system does indeed meet the requirements of public records law, and that it will satisfy the various technical standards to guarantee authenticity and preservation of electronic records. In the absence of legislative guidelines at this time, the state uses the standards outlined in "Administrative Rule 13: Optical Disk Imaging Standards" (*Indiana Rules of Court*). Though these rules generally apply only to agencies under the guardianship of the court system, Administrative Rule 13 is the standard to which any court would turn if electronic records produced by an imaging system would come into question.

Administrative Rule 13 standards focus on documentation, legibility, and permanency of a system. The latter two establish certain technical specifications that guarantee the long term viability of records for use. The first is important because it echoes the general concerns often voiced about electronic records: that authenticity will be determined largely by the evaluation of the human aspects of the system.

Rule 13(c) calls for documentation. A formal written documentation file shall be created and retained for the life of the information stored on the optical disk based upon an approved records retention schedule documenting the following: that every stage of the digital imaging process is covered by a written and recorded procedure including:

1. authority to implement digital imaging technology
   A. any weeding policy of documents to determine what documents from any file will be imaged, and
   B. any contracts with agents of record custodians who will perform the actual optical imaging process;
2. the imaging process employed to assure accuracy
3. verification of the image on a CRT screen against the original for completeness and legibility
4. definition of the indexing system employed with storage in multiple places on the optical disk for security and integrity
5. the identity of persons who supervised the optical imaging procedures who are capable of giving evidence of these procedures
6. certification of compliance with this documentation procedure to the Division of State Court Administration

In lieu of the last rule above, state agencies should gain the approval of the Archives and Records Administration, and follow the procedures outlined in Chapter 10 of the former Information Technology Oversight Commission's Blue Book 3.7, Electronic Data Interchange (EDI).

7.3b Electronic Data Interchange

State governments have employed EDI to collect personal property taxes; to solicit bids from contractors and vendors; to provide birth certificates to the public; and to register vehicles. The applications of EDI are virtually limitless.

While EDI holds the potential for making government more efficient, less costly, and more accessible, it also carries serious security risks that should be considered before implementation. If sound security measures are not in place, government could lose not only the benefits of EDI, but also its own credibility, and the public's confidence. Furthermore, the legal ramifications of not providing adequate security can be serious and costly.

The free and open nature of the Internet and similar networks makes EDI particularly vulnerable to security violations. "Hackers" have found many techniques to invade and disrupt government programs and databases, which include the following:

1. illegally accessing confidential information on U S citizens
2. intercepting E-mail messages between the state and the outside world
3. modifying and manipulating state data
4. stealing passwords
5. introducing computer viruses on state networks
6. embedding "Trojan horses" in programs causing the program to do what the hacker requests it to do

To minimize security risks and to avoid unnecessary law suits, administrators should ensure that either their agency or an outside contractor provides the following:

1. a sound security policy
2. moneys specifically allocated for the continued upkeep of a security system, including funding set aside for unforeseeable security breaches
3. electronic firewalls
4. authentication and access controls
5. encryption of confidential data exchanged via the Internet

Meeting these conditions will lessen security problems. Current advances in public key cryptography promise to solve many of the security problems plaguing EDI today.

Agencies interested in or considering EDI should note that the Indiana Office of Technology and the Archives and Records Administration both have some oversight in the process.

7.4 Scanning Short Term Records and Destroying the Paper Versions

With a view towards reducing unnecessary storage of short-term paper records, it is the policy of the Archives and Records Administration that:

Any non-court records whose retention schedule states the records may be destroyed after a retention of **ten (10) years or less**, whether listed on the General Retention Schedule for all state agencies or on an agency-specific records retention schedule, may be converted from paper to electronic format, and the paper may be destroyed after verification of the electronic records for accuracy and legibility, provided;

1) the imaging system has been approved by the Archives and Records Administration before the conversion process begins,
2) it meets the Archives and Records Administration standards for quality, migration, readability, and backup availability,
3) the agency can guarantee the records will be accessible for the life of the retention period,
4) an indexing system will be in place to allow for rapid recovery of electronic records, and
5) during the initial 12 months of the imaging program commencing, the original paper records will be retained to guarantee recovery should the system fail and should a failure occur, they shall be retained until the end of twelve months or until the problem is resolved, whichever is greater.

GENERAL RETENTION SCHEDULE

Exceptions: Exceptions to general records series may be granted by the Oversight Committee on Public Records only after submission of sufficient justification by the agency.

Electronic records: for general records that are created or submitted electronically, agencies may delete instead of destroy, and omit any Records Center storage listed. However, records scheduled to be transferred to the State Archives must still be submitted as scheduled. Also, please see Archives and Records Administration Policy 06-01 (Section 7.4 of this handbook) for information on scanning/imaging of records with a retention period of 10 years or less.

This schedule is accurate as of the publication date of this handbook - the most recent General Retention Schedule information can be found online (http://www.in.gov/iara/2767.htm) or by contacting the Archives and Records Administration (317-232-3380) for an updated schedule.

ADMINISTRATIVE RECORDS			
1	GRADM-1	MINUTES Official minutes of any state agency, board, commission, or of any division. THIS IS A CRITICAL RECORD. Retention based on IC 5-15-5.1-5(a) (9), and IC 5-15-5.1-12.	TRANSFER to the STATE ARCHIVES five (5) years after the end of the calendar year of the meeting. The STATE ARCHIVES should MICROFILM according to 60 IAC 2 as soon as possible after receipt. TRANSFER original negative to the STATE ARCHIVES vault for permanent archival retention, as well as a duplicate roll for reference use. Hard copy records may be destroyed at the discretion of the STATE ARCHIVES after verification of microfilm for completeness and legibility.
2	GRADM-2	BOARD OR COMMISSION MEETING TAPES For boards or commissions that record their meetings using magnetic audio tapes. These tapes are used to complete the minutes of the meetings.	ERASE or DESTROY after official minutes taken from them are approved.
3	GRADM-3	POLICY FILES-APPOINTING AUTHORITIES, DEPUTIES, AND DIVISION DIRECTORS These office files document substantive actions of administrative agency appointing authorities, deputy directors, and division directors. These records constitute the official record of an agency's performance of its functions and the formation of policy and program initiatives. This series may include various types of records such as correspondence, memos, and reports concerning agency policy and procedures, organization, program development and reviews. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4(b) (6).	TRANSFER to the STATE ARCHIVES after three (3) calendar years for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles.
4	GRADM-4	GENERAL FILES These include, but are not limited to, memos and letters from the following categories: (a) Staff response to routine public inquiries, (b) General information concerning an administrative agency's programs, products and/or services, (c) Any other non-policy related file.	DESTROY after three (3) calendar years.

5	GRADM-5	BUDGET WORKING PAPERS Deliberative papers related to budget formulation process for a state agency. These records may be examined by authorized staff of the State Budget Agency engaged in preparing the budget report [see IC 4-12-1-8(a)]. These records are retained by a state administrative agency and are not the records maintained by the State Budget Agency. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4(b) (6).	TRANSFER to the RECORDS CENTER two (2) years after the end of the affected biennial budget. DESTROY after an additional six (6) fiscal years in the RECORDS CENTER. TOTAL RETENTION: Eight (8) fiscal years after the end of that biennial budget period.
6	GRADM-6	CODE AND RULE DRAFT WORKING PAPERS Includes records created by a state agency related to the legislature's review of proposed laws or adoption of administrative rule(s). Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4(b) (6).	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles, two (2) years after passage, approval, or discontinuance of the proposal.
7	GRADM-7	AS- SUBMITTED BUDGETS The agency's copy. Includes new programs requested, justifications, and breakdown of money requested. Also may include back-up media for the electronic record copy of the As-Submitted Budget.	TRANSFER to the RECORDS CENTER two (2) years after the end of the affected biennial budget. DESTROY after an additional six (6) fiscal years in the RECORDS CENTER. TOTAL RETENTION: Eight (8) fiscal years after the end of the biennial budget period.
8	GRADM-9	DISASTER RECOVERY AND CONTINUITY PLANS The agency copy of all Disaster Recovery/Continuity Plans, including those for electronic systems, as well as supporting documentation used in the development of the plans. Disclosure of these records may be affected by IC 5-14-3-4 (b) (19).	TRANSFER one copy of each Plan to the STATE ARCHIVES for permanent archival retention, upon its approval by the agency. DESTROY remaining agency copies when outdated or replaced. DESTROY supporting documentation three (3) years after current Plan is outdated or replaced.

ACCOUNTING RECORDS			
9	GRACC-1	BASIC ACCOUNTING RECORDS-EXPENDITURES Budgetary records pertaining to lapsed (expired) appropriations and allotments: Request for Allotment, Advice of Allotment, Transfer Request, Budget Request Forms, Document Control Register, Other Supporting Budgetary Records Payroll records, not including Personnel Records: Payroll Change Sheet, Add-Move Form, Payroll Certificate, Payroll Reimbursement Forms, Other Supporting Payroll Records, Time Cards Expenditure Records for Completed Transactions: Purchase Order, including any corresponding Advice of Change, Requisition, Invoice Voucher and Receiving Report, Claim Voucher, Travel Voucher and Voucher Abstract, Motor Pool Records, Special Disbursing Officer Records, Other Supporting Expenditure Records, Requests for Supplies Request For Proposals - Contents confidential during the process of negotiation, IC 5-22-18-4. Register of proposals prepared and open for public inspection after the award of contracts, IC 5-22-18-4. Computer Printouts of Financial Activity, as applicable, Out of State Travel Requests, Fixed Asset Inventories. Telephone Cost Allocation Listing received from the Division of Information Technology, Department of Administration, and any Long Distance Telephone Logs, State Form Number 6856 or its equivalent. Disclosure of these records may be affected by 26 USC 6103(n), 26 USC 7213(a) and 42 USC 405(c) (viii) (I, II, III and IV). Retention based on IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after ten (10) fiscal years. TOTAL RETENTION: Ten (10) fiscal years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
10	GRACC-2	BASIC ACCOUNTING RECORDS- REVENUE RECORDS FOR COMPLETED TRANSACTIONS Receipt Forms and Cash Register Tapes, Report of Collections/Receipts (Due Treasurer of State - SF 14311), Cash Book or Cash Journal, Public Record Copy Request, State Form 1365, ID Bill including corresponding transmittal, Remote Capture and traditional Checks (for payments made to agency), other supporting revenue records. Retention based on IC 34-11-2-6.	If electronic copy exists, DESTROY hard copy after verification of electronic records for completeness and legibility. If no electronic copy exists, TRANSFER hard copy to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY or DELETE six (6) years after the end of the State Fiscal Year.
11	GRACC-3	CANCELLED CHECKS AND WARRANTS Retention based on IC 34-13-1-1.	If electronic copy exists, DESTROY hard copy after verification of electronic records for completeness and legibility -- both sides of each document must be present and legible in the electronic version. DESTROY/DELETE electronic records ten (10) years after the end of the State Fiscal Year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. If no electronic copy exists, TRANSFER hard copy to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY ten (10) years after the end of the State Fiscal Year.
12	GRACC-4	STATE BOARD OF ACCOUNTS AUDIT REPORTS Agency copies only. This series does not include the original records of the State Board of Accounts.	DESTROY two (2) years after receipt of the last Audit Report.

13	GRACC-5	CONTRACTS AND LEASES All contracts with vendors or other units of government to provide goods or services, including Broad Agency Announcements. Files also include working papers and similar attachments used by the agency in this process. This record series also applies to an administrative entity receiving revenue through a contract or lease. Retention based on IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after expiration of the contract or agreement and receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY ten (10) years after expiration of the contract. and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
14	GRACC-6	BROAD AGENCY ANNOUNCEMENTS-REJECTED PROPOSALS Record consists of the purchase of professional, technical, scientific, artistic or other unique services. The purchase is by means of personal service contracts. The Broad Agency Announcement is normally used for personal service contracts in excess of the small purchase limit of $25,000. The Broad Agency Announcement is not a Request for Proposal(s) and is not a Request for Information. Retention consistent with IC 34-11-2-6. Pursuant to IC 5-22-18-1, et seq.	TRANSFER to the RECORDS CENTER after submission of a rejection notification to the potential vendor and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after five (5) State Fiscal Years. TOTAL RETENTION: Five (5) State Fiscal Years after submission of a rejection notification to the potential vendor and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

PERSONNEL RECORDS			
15	GRPER-1	EMPLOYEE ATTENDANCE REPORT AND SERVICE RECORD Series includes Employee Attendance Report, SF 14304, or its substitute; and State Employee Service Record, SF 34400. Disclosure of these records may be affected by 42 USC 405(c) (viii) (I, II, III and IV) and the discretion of a public agency per IC 5-14-3-4(b) (8). Retention based on IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY ten (10) years after the end of the State Fiscal Year.
16	GRPER-5	PERSONNEL FILES A state agency's documentation of the employee's working career with the state of Indiana; this includes full-time, part-time, and temporary employees as well as paid and unpaid interns. Typical contents could include the Application for Employment, PERF forms, Request for Leave, Performance Appraisals, memos, correspondence, complaint/grievance records, miscellaneous notes, the Add, Rehire, Transfer, Change form from the Office of the Auditor of State, Record of HRMS Action, and/or public employee union information. Disclosure of these records may be subject to IC 5-14-3-4(b)(2)(3)(4) & (6), and IC 5-14-3-4(b)(8)	One (1) year after the employee leaves the state government agency or at the conclusion of any litigation, whichever is later, TRANSFER the following to the RECORDS CENTER, along with a contents-list for each box, at which time they will become the property of the STATE PERSONNEL DEPARTMENT: Personnel transaction forms, performance evaluations, job analysis questionnaires, employment applications, disciplinary notices, records relating to grievances or complaints, leave forms needed to verify PERF service credit, and training records. TRANSFER a copy of each contents-list directly to the STATE PERSONNEL DEPARTMENT. MAINTAIN a list of previous employees permanently within the agency, based on the information found in the inactive personnel folders, including employment dates, classification, and rehire eligibility status. DESTROY all remaining records from the inactive personnel folders at the agency, after weeding for items listed above. If inactive personnel records exist within an agency for which more than fifty (50) years have passed since employee termination, those records may be DESTROYED without transferring as described above. The STATE PERSONNEL DEPARTMENT will combine GRPER-5 records at the RECORDS CENTER with related records on each employee under Record Series 87-200 as soon as possible, and DESTROY any duplicate records.
17	GRPER-6	SECONDARY AGENCY PERSONNEL FOLDERS This record series applies to any personnel records created or maintained other than those in the personnel office of a State agency. Does not include Fact Files. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b) (8).	TRANSFER any original records (no other copy exists) to the employee's GRPER-5 personnel file when employee leaves the state government agency. DESTROY copies when outdated or replaced. DESTROY records that do not refer to specific employees three (3) years after they are outdated or replaced.

18	GRPER-7	FACT FILES Part of the performance appraisal system, the Fact File documents levels of an employee's performance. Contains any relevant job performance information which occurred during the performance appraisal review period and which supports the ratings. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b) (8).	TRANSFER any original records (no other copy exists) to the employee's GRPER-5 personnel file when employee leaves the state government agency. DESTROY copies when outdated or replaced.
19	GRPER-8	AFFIRMATIVE ACTION PLANS AND POLICY STATEMENTS Plans and statements required by IC 4-15-12-5. Does not include the records of the State Personnel Department. Retention based on 29 CFR 1602.30.	DESTROY three (3) calendar years after submission of a new plan to the State Personnel Department.
20	GRPER-9	REQUESTS FOR LEAVE Record consists of State Form 56 or its substitute. Retention partially based on IC 34-11-2-1 and IC 34-11-2-2. Exception: This Record Series does NOT apply to records relating to the Family and Medical Leave Act of 1993. Record Series GRPER-13 describes the retention requirements for such records.	DESTROY original two (2) calendar years after the end of the affected pay period and after final adjudication of any pending litigation. DESTROY any other agency copies after the end of the affected pay period.
21	GRPER-10	EMPLOYMENT APPLICATIONS, SF 22477-NOT HIRED Series includes applications from persons seeking employment who are not hired. Series also contains vacancy notices, job information bulletins, unsolicited resumes, rejection correspondence, examination material, and other related materials. Disclosure of these records may be affected by the discretion of a public agency per IC 5-14-3-4 (b) (8) (b).	TRANSFER to the RECORDS CENTER one (1) calendar year after the decision not to hire. DESTROY after an additional two (2) calendar years in the RECORDS CENTER. TOTAL RETENTION: Three (3) calendar years after the decision not to hire.
22	GRPER-11	EMPLOYEE MEDICAL RECORDS Typical record series could include SF 34401, Employer's Report of Injury, and/or SF 2118, Report of Attending Physician, or other medical information used to document work-related illnesses or injuries. Pursuant to United States Equal Opportunity Commission rules, this information "...shall be collected and maintained...in separate medical files..." Disclosure of these records may be affected by IC 5-14-3-4(a) (9) and the discretion of a public agency per IC 5-14-3-4(b) (8) and 29 CFR 1630.14(b) (1).	DESTROY three (3) calendar years after the employee leaves the state agency.

23	GRPER-13	FAMILY AND MEDICAL LEAVE ACT OF 1993 RECORDS Applications for Family and Medical Leave (State Form 48370 or its equivalent), and any information related to use of the Family and Medical Leave Act (FMLA) including: (1) Basic payroll and identifying employee data (2) Dates/hours FMLA leave is taken by eligible employees (3) Notices of leave furnished by employee under FMLA (4) Notices given to employees as required under FMLA regulations (5) Descriptions of employee benefits and paid/unpaid leave policies and practices (6) Premium payments of employee benefits (7) Records of any dispute between employer and employee regarding designation of leave as FMLA leave NOTE: Many of these records also fall under other record series in the GRACC and GRPER sections of the General Retention Schedule, with longer retention requirements. The retention period described under GRPER-13 is the MINIMUM retention, if no other record series apply. Disclosure of these records may be affected by 29 CFR 825.500(g). Retention based on 29 CFR 825.400(b).	TRANSFER all FMLA records that fall under another Record Series to the applicable series after three (3) calendar years. DESTROY any remaining FMLA records after three (3) calendar years.
		MEDICAL RECORDS	
24	GRMED-1	PRESCRIPTIONS AND PROOF-OF-USE SHEETS Disclosure of these records may be affected by IC 25-26-13-15. Retention based on IC 25-26-13-25, Version b.	DESTROY two (2) calendar years after the year the prescription was originally filed in the pharmacy.
25	GRMED-2	EMPLOYEE HAZARDOUS EXPOSURE RECORDS Typical records could include employee exposure records and/or analyses using exposure or medical records. Disclosure of these records may be affected by IC 5-14-3-4(a) (9). Retention based on IC 22-3-7-9(f).	TRANSFER to the RECORDS CENTER after employee is separated from the state administrative agency. DESTROY after an additional thirty-five (35) calendar years in the RECORDS CENTER. TOTAL RETENTION: Thirty-five (35) calendar years after employee termination from the state administrative agency.
		PUBLICATIONS	
26	GRPUB-1	AGENCY PUBLICATIONS AND ANNUAL REPORTS Includes publications issued by state agencies that are not solely for internal use. Consult IC 4-23-7.1-26 for the required number of documents needed for the INDIANA STATE LIBRARY. Retention based on IC 4-23-7.1-26.	TRANSFER the required copies to the INDIANA STATE LIBRARY. TRANSFER one (1) copy of each publication to the STATE ARCHIVES. DESTROY remaining copies when outdated or replaced.

AGENCY COPIES OF RECORDS AND FORMS MANAGEMENT DOCUMENTS Note: this section applies only to the copies of these documents held by individual agencies, NOT the corresponding copies managed by the Archives and Records Administration.			
27	GRMSC-1	MICROFILM DOCUMENTATION FILE "A formal written documentation file shall be created and retained for the life of the microfilm based upon an approved retention schedule...." (60 IAC 2-2-3). See 60 IAC 2 for required contents of the file.	TRANSFER copy of the documentation file to the STATE ARCHIVES. DESTROY in the STATE ARCHIVES when or if the microfilm to which the file pertains is destroyed.
28	GRFRM-1	STATE ADMINISTRATIVE AGENCY FORM FILE Administrative agency's file containing their State Forms, non-forms, and supporting documents. The State Archives retains their copy of the deleted State Form folders and their contents permanently.	DESTROY one (1) calendar year after the State Form or non-form has been formally deleted through the State Forms Management process.
29	GRREC-1	RECORDS RETENTION AND DISPOSITION SCHEDULE Contains a description of all records maintained by an agency, and specifies when and how an agency's records are to be disposed of.	DESTROY agency copy when replaced by a new approved schedule from the Archives and Records Administration.
30	GRREC-2	RECORDS DESTRUCTION NOTIFICATIONS, SF 16 This three (3) part state form is used to document the destruction of records in accordance with the approved Records Retention and Disposition Schedule. Pursuant to IC 5-11-1-9(d), on every examination under that section, the State Board of Accounts shall make an inquiry as to... (2) whether the laws of the state and the requirements of the State Board of Accounts have been complied with. Retention based on IC 34-11-2-6.	DESTROY after five (5) fiscal years and receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
31	GRREC-3	RECORD TRANSMITTAL AND RECEIPT, SF 23628 Used to document the transfer of records to the State Records Center. Also used as a reference guide to retrieve records.	DESTROY after all records listed on the form have been destroyed.
32	GRREC-4	REQUEST FOR RECORD, SF 24019 Used by agencies to request records stored at the State Records Center.	DESTROY after the record or records are returned to the State Records Center.
33	GRREC-5	ACCESSION REGISTER, SF 29469, AND STATE ARCHIVES RECORD TRANSMITTAL AND RECEIPT, SF 48883 The State Archives Record Transmittal and Receipt is the receipt given to the agency when transferred records are accepted in the State Archives. The Accession Register is a listing of those materials retained by the State Archives once the records have been processed into the archival collections, provided as a reference guide for agency staff.	MAINTAIN permanently in agency for reference purposes.

VISUAL AND AUDIOVISUAL RECORDS Retention for all visual records partially based on National Archives and Records Administration General Records Schedule 21.			
34	GRPHO-1	AGENCY PHOTOGRAPHS Photographic records which are not already included as part of a more specific agency or general retention record series. Typically consists of photographs of special events and activities of the agency, such as the Combined State Campaign, Interchange photos, general circulation or special purpose periodicals, intra-office news, or other still photographs.	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles one (1) calendar year after the date of the event or activity.
35	GRPHO-2	AERIAL PHOTOGRAPHS AND AREA MAPS Aerial photographs and maps created as part of various agency projects and surveys, which are not already included as part of a more specific agency or general retention record series.	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles after one (1) calendar year.
36	GRAPH-1	TRANSPARENCIES	DESTROY one (1) calendar year after use.
38	GRAPH-5	BLUEPRINTS AND SPECIFICATIONS Blueprints, building plans, and specifications for projects created or managed by a state government entity, which are not already included as part of a more specific agency or general retention record series. (Blueprints for state government buildings would fall under Record Series GRHIS-1.)	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles one (1) calendar year after completion or closure of project.
39	GRVID-1	PERSONNEL AND STAFF TRAINING RECORDINGS Whether created internally by the agency, or acquired from an outside source. May include "role-play" sessions, management and/or supervisory instruction.	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles one (1) calendar year after completion of training.
40	GRVID-2	REHEARSAL OR PRACTICE TAPES	ERASE or DESTROY immediately.
41	GRVID-4	ROUTINE SURVEILLANCE RECORDINGS Disclosure of these records may be affected by IC 5-14-3-4(a) and the discretion of a public agency per IC 5-14-3-4(b) (1) & (6).	DESTROY after 30 days unless one of the following conditions occurs before that time period elapses: (1) If the agency receives notice, actual or constructive, that evidence of illegal activity was captured, TRANSFER records to Record Series GRVID-7 and follow the appropriate listed retention. (2) If the agency receives notice, actual or constructive, that evidence was captured resulting in a timely notice of tort claim under IC 34-13-3-8, DESTROY three (3) calendar years after action accrues. (3) If litigation occurs for which the record is admitted into evidence, the record becomes the responsibility of the court and is subject to Indiana Rules of Court, Administrative Rule 7.
42	GRVID-5	SCIENTIFIC OR ENGINEERING RECORDINGS Disclosure of these records may be affected by IC 5-14-3-4(a) (4) & (9), and IC 5-14-3-4(b) (1) and (5).	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles two (2) calendar years after completion of the project or activity using the footage.

43	GRVID-6	MEETING AND AWARD PRESENTATIONS	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles one (1) calendar year after the meeting or presentation.
44	GRVID-7	LAW ENFORCEMENT RECORDINGS Includes vehicle dash camera and body camera footage from law enforcement agencies or divisions, as well as footage from any agency that is found to depict illegal activity. Disclosure of these records may be affected by IC 5-14-3-4(a) and the discretion of a public agency pursuant to IC 5-14-3-4(b). Retention based on IC 5-14-3-5.3 (effective July 2016). This record series does not apply to the criminal history records of the Indiana State Police, pursuant to IC 5-15-5.1-5(a) (4).	DESTROY after 280 days unless one of the following conditions occurs before that time period elapses: (1) If an eligible party under IC 5.1(a) has requested a longer retention, or a complaint regarding a law enforcement activity depicted in the footage has been made, DESTROY after two (2) years. (2) If the agency receives notice, actual or constructive, that evidence was captured resulting in a timely notice of tort claim under IC 34-13-3-8, DESTROY three (3) calendar years after action accrues. (3) If litigation occurs for which the record is admitted into evidence, the record becomes the responsibility of the court and is subject to Indiana Rules of Court, Administrative Rule 7.
		OTHER GENERAL RECORDS	
45	GRHIS-1	HISTORICAL DATA ON STATE BUILDINGS AND PROPERTIES - AGENCY COPY Records may include: proposal, funding and contract history, architect, engineer and contractor information, copies of drawings, plans, specifications, change orders, alterations and repairs, property maps, and other supporting historical information.	TRANSFER to the STATE ARCHIVES for permanent archival retention after the destruction or removal of the building or structure, or sale of property, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
46	GRLEG-1	AGENCY LEGAL FILES Sometimes called litigation files, records may include written notice of pending or threatened litigation, records of meetings, court sessions and administrative hearings, related correspondence from agency counsel, administration, and other affected parties, and an extensive variety of supporting documentation, including fiscal and planning records. Disclosure of these records may be subject to IC 5-14-3-4(a) (1, 3, 9, and 12) and IC 5-14-3-4(b) (2, 6 and 8). Retention consistent with IC 34-11-2-6 and IC 35-41-4-2(a).	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, five (5) calendar years after final adjudication of any litigation or administrative hearing.
47	GRAAA-1	ADMINISTRATIVE ORDERS AND PROCEDURES Pursuant to IC 4-21.5-1-1, minimum procedural rights are created and minimum procedural duties are imposed. In accordance with IC 4-21.5-3-32, agency final orders are available for inspection and copying under IC 5-14-3-1. To the extent required by IC 5-14-3 or any other law, identifying details shall be deleted. Orders after 06/30/1987 are required to be indexed and orders prior to that date may be indexed if a written request is received by the state agency. Retention based on IC 34-11-2-7.	TRANSFER to the RECORDS CENTER two (2) calendar years after the final order is issued. TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional four (4) years in the RECORDS CENTER. TOTAL RETENTION prior to STATE ARCHIVES transfer: Six (6) calendar years after the final order is issued.
48	GRPOST-1	MAIL AND PACKAGE DELIVERY RECORDS Retention based on US Postal Service Records Control Handbook.	DESTROY two (2) calendar years after the month of mailing.

OSHA -OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION-RECORDS			
49	GROSH-1	LOG OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300 In accordance with 29 CFR 1904.0, et seq., every private and public employer with more than ten (10) employees must confidentially record every work-related death and work-related injury and illness meeting specific recording criteria in this federal rule. Electronic (computer) maintenance and retention is permitted. Any medical information attached or included with the OSHA form and record is also confidential and must be retained with the OSHA form and record for the same time period. Disclosure of these records may be affected by 29 CFR 1904.29 and IC 5-14-3-4(a) (3). Retention based on 29 CFR 1904.33.	DESTROY five (5) years after the end of the calendar year that the records cover.
50	GROSH-2	SUMMARY OF WORK-RELATED INJURIES AND ILLNESSES, OSHA FORM 300A All establishments covered by 29 CFR 1904 must complete this summary page. Retention based on 29 CFR 1904.33.	DESTROY five (5) years after the end of the calendar year that the records cover.
51	GROSH-3	INJURY AND ILLNESS INCIDENT REPORT, OSHA FORM 301 This Injury and Illness Incident Report is completed when a recordable work-related injury or illness has occurred. Electronic, computer, maintenance and retention is permitted. Any medical information attached or included with the OSHA form and records is also confidential and is to be retained with the OSHA form and record for the same time period. Disclosure of these records may be affected by 29 CFR 1904.29 and IC 5-14-3-4(a) (3). Retention based on 29 CFR 1904.33.	DESTROY five (5) years after the end of the calendar year that the records cover.
52	GROSH-4	MATERIAL SAFETY DATA SHEETS (MSDS) These reports and data sheets are supplied by the manufacturer of hazardous chemicals and submitted to businesses and other organizations receiving and using the substances. One (1) report or MSDS is submitted for each chemical in accordance with federal OSHA requirements. General information, ingredients, physical data, fire and explosion hazard data and other precautions are listed to inform and protect individuals who use or are exposed to these substances and chemicals. Disclosure of these records may be affected by 29 CFR 1910.1020(f) (1) and (2), and IC 5-14-3-4(a) (4). Retention based on 29 CFR 1910.1020(d) (i) (ii) (B).	DESTROY thirty (30) years after the date the substance was last received, used, or stored in the workplace.

INDIANA ADMINISTRATIVE CODE

TITLE 60: OVERSIGHT COMMITTEE ON PUBLIC RECORDS

ARTICLE 2. MICROFILMING STANDARDS FOR SOURCE DOCUMENTS WITH A RETENTION PERIOD OF MORE THAN FIFTEEN (15) YEARS

Rule 1. General Provisions

60 IAC 2-1-1 Purpose

Authority: IC 5-15-5.1-8; IC 5-15-5.1-20
Affected: IC 5-15-5.1-1; IC 5-15-5.1-5

Sec. 1. The purpose of these microfilming standards is to create minimum legal, legibility, permanency standards for source document microfilm generated by agencies subject to IC 5-15-5.1-1. *(Oversight Committee on Public Records; 60 IAC 2-1-1; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1358; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1086; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2604)*

60 IAC 2-1-2 Fiscal impact *(Repealed)*

Sec. 2. *(Repealed by Oversight Committee on Public Records; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2607)*

60 IAC 2-1-3 Permanency *(Repealed)*

Sec. 3. *(Repealed by Oversight Committee on Public Records; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2607)*

Rule 2. Microfilming Standards

60 IAC 2-2-1 Application of standards

Authority: IC 5-15-5.1-5; IC 5-15-5.1-20
Affected: IC 5-15-5.1-19

Sec. 1. All agencies, as defined by IC 5-15-5.1, shall meet the standards set forth under this article regarding the use of microfilm for the preservation of any record generated by that agency. Only those records or record series that have been approved by the oversight committee on public records under IC 5-15-5.1-19 shall be eligible for microfilming. *(Oversight Committee on Public Records; 60 IAC 2-2-1; filed Feb 23, 1987,*

11:30 a.m.: 10 IR 1359; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1088; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2604)

60 IAC 2-2-2 Definitions

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20
Affected: IC 5-15-5.1-1; IC 5-15-5.1-18

Sec. 2. The following definitions apply throughout this article:
(1) "AIIM" means Association for Information and Image Management.
(2) "ANSI" means American National Standards Institute.
(3) "Critical records" has the meaning set forth at IC 5-15-5.1-1.
(4) "ISO" means International Organization for Standardization.
(5) "LE" means life expectancy.
(6) "Microfilm", when used as a noun, means a photographic film containing an image greatly reduced in size from the original, and when used as a verb, means the recording of microphotographs on film.
(7) "Microform" is a generic term for any form, usually film, which contains microimages.
(8) "MS" means microfilming standards.
(9) "Oversight committee" means the oversight committee on public records under IC 5-15-5.1-18.
(10) "PIMA" means Photographic & Imaging Manufacturers Association, Inc.
(11) "Record retention schedules" means a series of documents governing, on a continuing basis, the retention and disposition of recurring record series of an agency, court, or organization.
(12) "Record series" means a group of related documents, either as to form or content, which are arranged under a single filing system, or kept together as a unit because they:

(A) consist of the same form;
(B) relate to the same subject;
(C) result in the same activity; and
(D) have certain physical characteristics (tapes, discs, microforms).

(13) "Reproduction" means the process of making an exact copy from an existing document.
(14) "Standard" means a uniformly accepted set of compliances to a predefined norm.

(Oversight Committee on Public Records; 60 IAC 2-2-2; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1359; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1088; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2604)

60 IAC 2-2-3 Documentation

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20
Affected: IC 5-15-5.1

Sec. 3. A formal written documentation file shall be created and retained for the life of the microfilm based upon an approved retention schedule documenting the following:

(1) The authority to microfilm specifically enumerated records.

(2) The arrangement of originals to be microfilmed.

(3) Any weeding policy of documents to determine what papers from the file will be placed on microfilm.

(4) Any contracts with agents of record custodians, in-house or vendor, who will perform the actual microfilming.

(5) The reproduction process employed to assure accuracy.

(6) Verification of the microfilm for completeness and legibility according to the following standards as approved by the oversight committee in record retention schedules:

(A) Level A, frame-by-frame verification of microfilm containing the following records:

(i) Critical records.

(ii) Records that document the continuing protection of public and private rights.

(iii) Records that are significant to the functions of government.

(B) Level B, proof of verification by performing a cross-check of microfilm of the following records with original records by order or arrangement:

(i) Records that are not critical records.

(ii) Records that document the performance of agency functions.

(C) Level C, verification by comparing a significant sample of documents to microfilm for all other records not covered under Levels A and B. If any errors are detected, verification shall be made under Level B.

(7) The justification for the microfilming of the originals, that is, space reduction, security, and the written process for the destruction of originals as authorized by an approved retention schedule.

(8) The identity of persons who supervised the microfilming procedures who are capable of giving evidence of these procedures.

(9) The retention schedule for the documentation matching the length of time of the microform.

(10) Certification of compliance with this section to the director, Indiana Archives and Records Administration.

(Oversight Committee on Public Records; 60 IAC 2-2-3; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1359; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1089; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2605)

60 IAC 2-2-3.1 Preparation of documents for microfilming

Authority: IC 5-15-5.1
Affected: IC 5-15-5.1

Sec. 3.1. Agencies shall prepare documents for microfilming as follows:
(1) Organization of documents.
(2) Preparation of an index to be submitted with the documents.
(3) Removal of staples, paper clips, or other fasteners.

(Oversight Committee on Public Records; 60 IAC 2-2-3.1; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2605)

60 IAC 2-2-4 Legibility

Authority: IC 5-15-5.1-1; IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20
Affected: IC 5-15-5.1

Sec. 4. (a) Resolution in a microfilm system for documents shall be tested for resolution capability, upon installation, by use of a camera test chart provided in ANSI/AIIM MS23-1998. Micrographics systems used for agency records must meet the following standards:

(1) A micrographic system for documents must produce a quality index level of not less than 5.0 for first-generation microfilm as measured according to ANSI/AIIM MS23-1998. In applying this ANSI standard, a lowercase letter "e" height of one and four-tenths (1.4) millimeters or less must be used.

(2) All pattern groups on the camera test chart must be read. The smallest line pattern, which corresponds to the highest number, in which both horizontal and vertical lines are clearly discernible is the resolving power of that pattern group.

(3) The film used in reading the camera test chart must be processed to the density standard in subsection (b).

(b) Density in microfilm systems used for agency records must meet the following standards:

(1) Background density in first-generation negative microfilm of documents must be maintained as nearly as practical in the range of 0.92 to 1.20. No density over 1.25 or under 0.87 is allowed.

(2) If a density in first-generation negative microfilm of documents occurs in the ranges 0.87 to 0.91 or 1.21 to 1.25, the records custodian shall determine by visual inspection that all such images satisfactorily reproduce all required record information.

(3) The density of microfilm in a clear area (base plus fog density or Dmin) must not be greater than 0.10.

(c) Reduction ratio in microfilm systems for agency records must meet the following standards:

(1) For microfilming of documents, a ratio of 25:1 or 24:1 or less is required.

(2) A reduction ratio for microfilm of documents of greater than 25:1 may be used only if the micrographic system can maintain the required quality index at the higher reduction.

(d) "Standard Recommended Practice—Production, Inspection, and Quality Assurance of First Generation, Silver Microforms of Documents", ANSI/AIIM MS23-1998 is hereby incorporated by reference. Copies of this publication may be obtained by writing to AIIM, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910. *(Oversight Committee on Public Records; 60 IAC 2-2-4; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1360; errata, 10 IR 1884; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1089; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2605)*

60 IAC 2-2-5 Permanency

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20
Affected: IC 5-15-5.1

Sec. 5. For records requiring permanent retention, based on an approved retention schedule, the following shall apply:

(1) Raw stock microfilm shall meet the requirements of ANSI/AIIM MS23-1998 and be capable of an LE 500-year rating, be polyester based, and include an antihalation dye system to prevent light scattering and fogging.

(2) The camera-generated master negative microfilm shall be silver-halide, silver-gelatin, meeting the permanency requirements of ISO 18917.

(3) Camera-generated negatives must be processed according to ISO 18917.

(4) Residual thiosulfate on the film must be measured using the methylene blue test and meet ANSI/AIIM MS23-1998.

(5) The master microfilm record meeting the above criteria shall be stored at a site other than the producing agency's structure, in a fire-proof vault, in accordance with ANSI/PIMA IT9.11-1998.

(6) In addition to the master microfilm record, which is a security copy, the agency may provide working copies of the microfilm. These may be on silver, diazo, vesicular, dry silver, or transparent electro-photograph film, on a safety base of cellulose ester or polyester material.

(7) "Photography—Determination of residual thiosulfate and other related chemicals in processed photographic materials—Methods using iodine-amylose, methylene blue and silver sulfide", ISO 18917 (First edition 1999-0601) is hereby incorporated by reference. Copies of this publication may be obtained by writing to ISO, Case postale 56, 1211 Geneva 20, Switzerland.

(8) "Standard Recommended Practice—Production, Inspection, and Quality Assurance of First Generation, Silver Microforms of Documents", ANSI/AIIM MS23-1998 is hereby incorporated by reference. Copies of this publication may be obtained by writing to AIIM, 1100 Wayne Avenue, Suite 1100, Silver Spring, MD 20910.

(9) "Processed Safety Photographic Films—Storage", ANSI/PIMA IT9.11-1998 is hereby incorporated by reference. Copies of this publication may be obtained by writing to ANSI, 11 West 42nd Street, New York, NY 10036.

(Oversight Committee on Public Records; 60 IAC 2-2-5; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1360; filed Dec 19, 1988, 4:45 p.m: 12 IR 1090; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2606)

60 IAC 2-2-5.1 Notice and certification of destruction

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20
Affected: IC 5-15-5.1

Sec. 5.1. (a) Records that have been microfilmed in accordance with this rule may be destroyed or otherwise disposed of only after:

(1) the agency files a disposition notice with the oversight committee certifying that the records have been microfilmed in accordance with this rule; and

(2) the oversight committee issues a written authorization for the destruction of such records.

(b) The oversight committee shall provide a form for this purpose. *(Oversight Committee on Public Records; 60 IAC 2-2-5.1; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2606)*

60 IAC 2-2-6 Specifications *(Repealed)*

Sec. 6. *(Repealed by Oversight Committee on Public Records; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2607)*

60 IAC 2-2-7 Admissibility in courts *(Repealed)*

Sec. 7. (*Repealed by Oversight Committee on Public Records; filed Mar 28, 2003, 9:38 a.m.: 26 IR 2607)*

APPENDICES: STATE FORMS

with INSTRUCTIONS FOR COMPLETION (where available)

These are only samples, and should not be copied for actual use; most of them are not displayed at full size. Most of these state forms are available online from the state forms catalog on the Archives and Records Administration website at forms.IN.gov; those that are not online are forms used by the Archives and Records Administration Staff, which you may receive in your capacity as Records Coordinator.

NOTE: On any existing form (or instruction sheet), any references to the "Indiana Commission on Public Records" should be taken to apply to the agency's new name, the Indiana Archives and Records Administration. Please visit forms.IN.GOV for updated versions, if you are filling out a new form.

APPENDIX A: Transmittal of Proposed/Approved Records Retention and Disposition Schedule (SF 39443)

TRANSMITTAL OF PROPOSED / APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULE
State Form 39443 (R5/6-15)

NOTICE
PLEASE KEEP THIS FORM ATTACHED TO THE SCHEDULE

TO:	FROM:
	Records Management Division Indiana Archives and Records Administration 402 West Washington St. Room W472 Indianapolis, IN 46204

Affected division (If blank, the retention schedule applies to the entire agency)	Date sent *(month, day, year)*	Date returned *(month, day, year*

SECTION I — **PROPOSED RECORDS RETENTION AND DISPOSITION SCHEDULES**

Please have the head of your agency sign this sheet, in the blank provided, to acknowledge approval of the schedule. Then return this packet to the Records Management Division, Indiana Archives and Records Administration. 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.

SECTION II — **GENERAL INFORMATION**

An approved Records Retention and Disposition Schedule grants your agency the authority to transfer or destroy records on a continuing basis. For each destruction, notify the Indiana Archives and Records Administration, State Records Center, by using a Records Destruction Notification (SF 16).

The retention schedule must be current to be effective. If your agency needs to change the schedule, notify the Records Management Division so that it may be updated.

Any questions concerning the implementation of this schedule, once approved, should be directed to the Records Management Division at rmd@iara.in.gov.

SECTION III — **PRE-MEETING REVIEW BY:**

Signature of Agency Head	Date signed *(month, day, year*
Signature of State Board of Accounts	Date signed *(month, day, year*
Signature of Indiana Historical Bureau	Date signed *(month, day, year*
Signature of State Archivist	Date signed *(month, day, year*

SECTION IV — **APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULES**

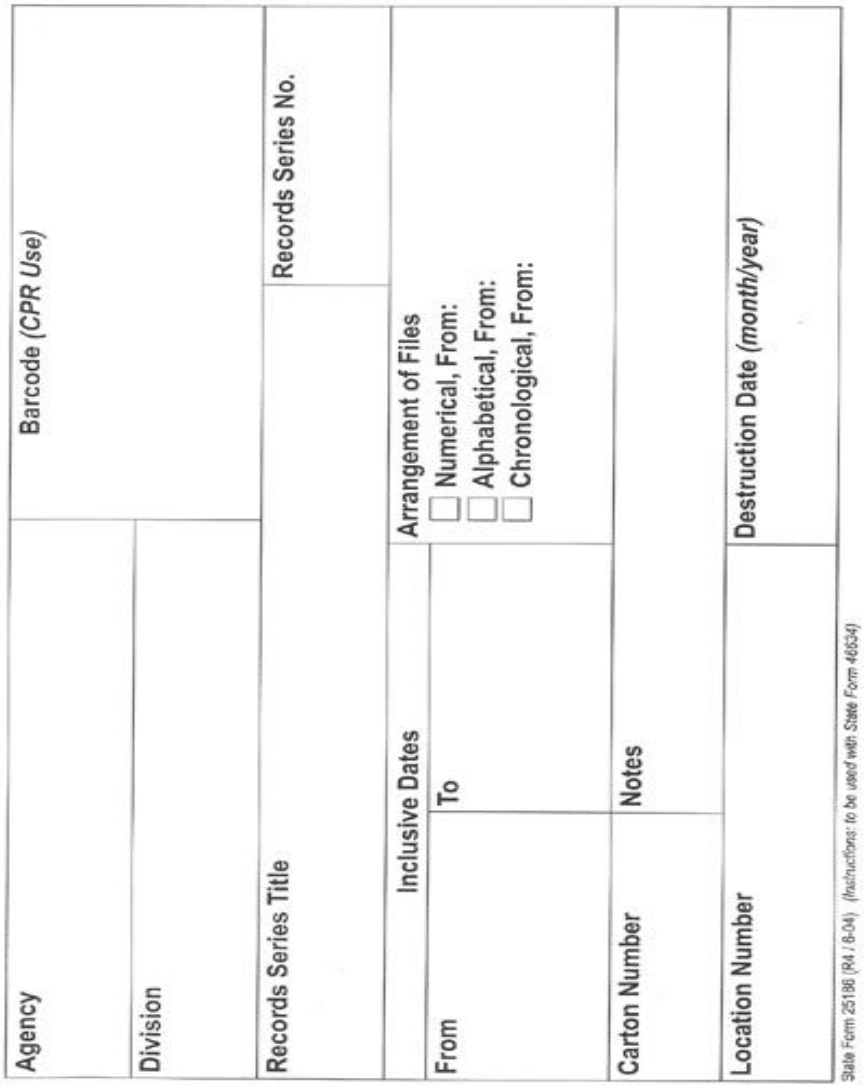
☐ The Oversight Committee on Public Records, at its meeting held on _____ , approved the Records Retention and Disposition schedule for your agency.

The approved schedule is enclosed. The Records Coordinator should retain the original and forward copies to agency staff as needed.

Signature of Indiana Archives and Records Administration final approval	Date signed *(month, day, year*

Note: This form exists only as an internal template for Archives and Records Administration use; your staff will see and work with the filled-out version generated by the Records Analyst during the revision approval process.

APPENDIX B: Pregummed Records Carton Label
(SF 25186)



Agency		Barcode *(CPR Use)*	
Division			
Records Series Title			Records Series No.
Inclusive Dates		Arrangement of Files ☐ Numerical, From: ☐ Alphabetical, From: ☐ Chronological, From:	
From	To		
Carton Number	Notes		
Location Number		Destruction Date *(month/year)*	

State Form 25186 (R4 / 8-04) *(Instructions: to be used with State Form 46634)*

Instructions for completing Carton Label

NOTE: ALL INFORMATION MUST BE PRINTED WITH A BROAD-TIPPED, BLACK PERMANENT MARKER.

1. AGENCY (ex.: FSSA)
2. DIVISION
3. RECORD SERIES TITLE (from the appropriate Records Retention and Disposition Schedule or the General Retention Schedule)
4. RECORD SERIES NUMBER (from the appropriate Records Retention and Disposition Schedule or the General Retention Schedule)
5. INCLUSIVE DATES (calendar or fiscal year dates [*ex.: FROM: 01/95 TO: 12/95*]
6. ARRANGEMENT OF FILES (self-explanatory; put *X* in the appropriate box and complete the rest of the information)
7. CARTON NUMBER -- Do not number boxes until all OTHER information has been filled out for *all* boxes within the record series. Then arrange boxes in chronological order by destruction date, and number the boxes in that order. DO NOT start over with #1 for a new shipment or new year of the same record series -- keep a continuous numbering system, even over multiple shipments.
8. NOTES (include brief but sufficient information about the contents of each carton; this should match the information indicated on SF 23628)
9. LOCATION NUMBER (leave blank; this information is added by the Records Center
10. DESTRUCTION DATE (*month/year*; based upon the **TOTAL** retention period stated in the Records Retention and Disposition Schedule or the General Retention Schedule. Add the total retention period to the ending date of the records [the second date under Inclusive Dates] then add one month, to arrive at the destruction date.)
11. HIPAA STICKERS: PHI Florescent Red Labels - Per HIPAA guidelines, it is required that PHI (*Protected Health Information*) labels be placed on all cartons that contain health information. It has been determined that the appropriate place for these labels will be upper left corner of the side with the carton identification label. Also, a second label should be placed in the coordinating corner of the lid.

NOTE: THESE INSTRUCTIONS ALSO APPLY TO COMPLETION OF SF 46634, PRE-PRINTED LABEL ON KRAFT STORAGE CARTON.

Appendix C: Record Transmittal and Receipt (SF 23628)

PAGE NUMBER		TOTAL PAGES
	OF	

STATE RECORDS CENTER RECORD TRANSMITTAL AND RECEIPT

State Form 23628 (R12 / 6-15)

INSTRUCTIONS:

1. *This transmittal must be typed in order to ensure accuracy and legibility.*
2. *Use one (1) transmittal for each record series number. Number boxes in a continuous sequence, within each series.*
3. *Complete and send entire form to the Records Center prior to the intended transfer date.*
4. *A receipt will be given at the time the records are transferred.*
5. *Location information will be sent to the agency upon completion of shelving.*

TO:

Indiana State Records Center
Indiana Archives and Records Administration
6400 East 30th Street, Indianapolis, IN 46219
Telephone: (317) 591-5326
Fax: (317) 591-5328
E-mail: recordscenter@iara.IN.gov

FROM:

State Agency:

Division:

Address:

Location name where records may be picked-up:

Address where records may be picked-up:

AUTHORIZATION TO TRANSFER RECORDS

Signature of records coordinator	Printed name of records coordinator	Date signed *(month, day, year)*	Telephone number ( )	E-mail address

Name of employee transferring records *(if different from above)*	Telephone number ( )

RECORDS SERIES

Record series title	Record series number *(e.g. 83-79)*

RECORDS DATA

CARTON NUMBER	LAST DATE OF RECORD		DISPOSAL DATE		NOTES	TO BE COMPLETED BY THE RECORDS CENTER LOCATION		
	MONTH	YEAR	MONTH	YEAR		RANGE	ROW	SHELF

RECEIPT OF RECORDS ***(For office use only.)***

Signature of Records Center employee receiving records	Printed / typed name of Records Center employee receiving records	Accession number	Date *(month, day, year)*
Verified by	Retention years for record series	Last accession number	Last box number

DISTRIBUTION: Original - Records Center; Copy - Return to agency with location information; Copy - Records Center

Instructions for completing Record Transmittal and Receipt
(SF 23628)

1. Page Number/Total Pages: If transferring more than one Record Series, fill out separate sets of pages for each series. (Example: Pages 1 of 3 through 3 of 3 for GRACC-1, then Pages 1 of 5 through 5 of 5 for GRACC-2.)

2. From:

   State Agency/Division

   Address: office address of the employee transferring records

   Location Name/Address where records may be picked up, if different from above

2. Signature and printed name of agency Records Coordinator, plus date and contact information. (An electronic copy e-mailed from the agency records coordinator's e-mail address may stand in lieu of a physical signature.)

3. Name and phone number of employee transferring records, if different from Records Coordinator.

7. Record Series Title: from appropriate Records Retention and Disposition Schedule or the General Retention Schedule; all boxes on a page must share the same Record Series.

8. Record Series Number: from appropriate Records Retention and Disposition Schedule or the General Retention Schedule; all boxes on a page must share the same Record Series.

9. Carton Number -- boxes should be numbered and listed in chronological order by Disposal Date.

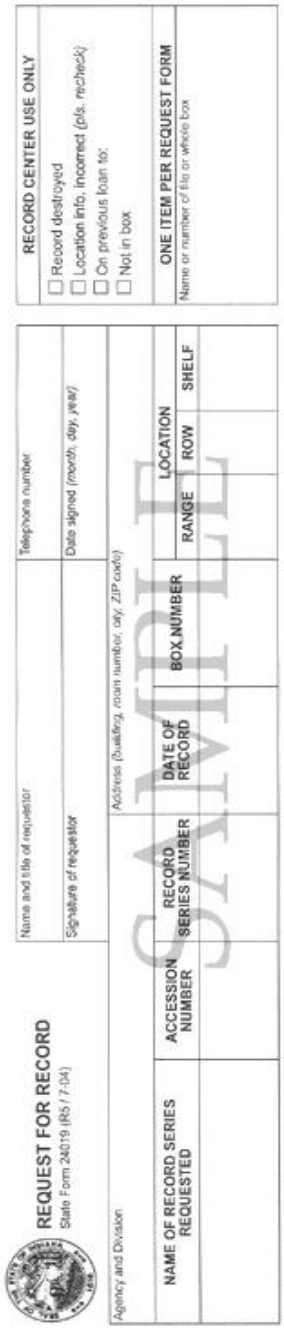
10. Record Dates: The month/year of the most recent record in the box.

11. Disposal Date: The month/year of destruction or transfer to the State Archives (Disposal date = Record Date + retention period listed in Records Retention and Disposition Schedule + one month.)

12. Notes: optional; for making specific notes about the contents of an individual box. These notes are not indexed by the Records Center staff; it's a reference field for your agency.

All other areas are for Records Center staff use.

APPENDIX D: Request for Record (SF 24019)



REQUEST FOR RECORD
State Form 24019 (R5 / 7-04)

Name and title of requestor | Telephone number
Signature of requestor | Date signed (month, day, year)
Agency and Division
Address (building, room number, city, ZIP code)

NAME OF RECORD SERIES REQUESTED	ACCESSION NUMBER	RECORD SERIES NUMBER	DATE OF RECORD	BOX NUMBER	LOCATION		
					RANGE	ROW	SHELF

SAMPLE

DISTRIBUTION: White - Requesting Agency White - Records Center Canary - Record Center Green - Record Box

RECORD CENTER USE ONLY
☐ Record destroyed
☐ Location info. incorrect (pls. recheck)
☐ On previous loan to:
☐ Not in box

ONE ITEM PER REQUEST FORM
Name or number of file or whole box

Instructions for completing Request for Record

1. Name and title of requestor (self-explanatory)
2. Telephone number [of requestor] (self-explanatory)
3. Signature [of requestor] (self-explanatory)
4. Date signed (self-explanatory)
5. Agency and Division (*ex.: FSSA, OFE*)
6. Address [of agency] (self-explanatory)
7. Name of Record Series requested (from Records Retention and Disposition Schedule or General Retention Schedule)
8. Record-Series Number (from Records Retention and Disposition Schedule or General Retention Schedule)
9. Date of Record (*date of specific record being requested, if available; otherwise, use box date*)
10. Box Number (self-explanatory)
11. Location (range/row/shelf information is found on a printout attached to your canary yellow copy of the Record Transmittal and Receipt form.)
12. NAME OR NUMBER OF FILE: *ex.: purchase order 955356465*) -- If you wish to retrieve the entire box, write "entire box" in this space. Do not leave it blank.
13. Distribution (requestor retains top copy; send remaining copies to the Records Center)

NOTE: ONE COPY WILL BE AFFIXED TO THE REQUESTED RECORDS STORAGE CARTON OR WILL ACCOMPANY THE INDIVIDUAL ITEM REQUESTED. THIS COPY <u>MUST</u> REMAIN WITH THE CARTON/ITEM AND BE RETURNED WITH THE CARTON/ITEM TO THE RECORDS CENTER.

APPENDIX E: Records Destruction Notification (SF 16)

RECORDS DESTRUCTION NOTIFICATION
State Form 16 (R14 / 6-15)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION
INDIANA STATE RECORDS CENTER
6400 East 30th Street
Indianapolis, IN 46219
Telephone: (317) 591-5326
Fax: (317) 591-5328

INSTRUCTIONS:

1. *Please type or print legibly.*
2. *Forward completed notification to address in the upper right corner of this form.*
3. *Signature must be signed by hand.*
4. *If this notification was sent to you by the Records Center, you have six (6) weeks to respond. Otherwise, the records will be destroyed automatically. You may fill out State Form 47167, "Do Not Destroy Records," and send to the Records Center along with this State Form 16, "Records Destruction Notification," if the records are not to be destroyed.*

These records will be destroyed in accordance with IC 5-15-5.1 and current retention schedule.

NOTE: Items marked with an asterisk (*) are required for billing purposes.

AGENCY INFORMATION

Name of agency	Name of division

Signature of Agency Records Coordinator	Date of signature *(month, day, year)*
SAMPLE	

Printed name of Agency Records Coordinator

RECORDS INFORMATION

Records series number	Records series title	Latest date of records *(month and year)*

Destruction due date *(month, day, year)*	Total cubic feet of records to be destroyed	Request for courtesy destruction? ☐ Yes ☐ No

Type of media	Container / box number(s)	Location	Accession number *(if applicable)*	Request for shredding?
☐ Paper ☐ Electronic ☐ Film ☐ Other				☐ Yes ☐ No

Destroyed by *(signature)*:	Date of destruction *(month, day, year)*

Activity number	Source number	Category number	Sub-category number	Locality number	Business unit *	Fund *	Department *	Program number *

Printed name

FOR RECORDS CENTER USE ONLY

☐ Approved ☐ Not Approved *(see attached for explanation)* ☐ Transfer to State Archives *(do not destroy)*

Signature of Records Center staff	Date of signature *(month, day, year)*

Printed name of Records Center staff

DISTRIBUTION: White – Records Center (file); Canary -- Agency after disposal of records; Pink – Records Center transmittal; Goldenrod -- With records

Instructions for completing Records Destruction Notification

1. Agency and Division
2. Agency Records Coordinator's signature and date
3. Printed name of Records Coordinator
4. Record Series Number (from the appropriate Records Retention and Disposition Schedule or the General Retention Schedule)
5. Record Series Title (from the appropriate Records Retention and Disposition Schedule or the General Retention Schedule)
6. Latest date of records (calendar or fiscal year dates)
7. Destruction due date (month and year records became eligible for destruction/disposition)
8. Total cubic feet of records to be disposed of (a standard-size file box is 1 cubic foot)
9. Request for courtesy destruction*? (Y/N)
10. Type of media: Paper/Film/Electronic/Other
11. Box number(s)/Location (For records stored at the Records Center, this information will be filled out by Records Center staff.)

13. 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.)

14. Request for shredding**? (Y/N – note: this is a fee-based service.)

15 Destroyed by (signature) / Date of Destruction (To be filled out by agency if destruction is performed by agency, otherwise, will be completed by Records Center staff.)

16. Activity number/Source number/etc. (To be filled out by agency for shredding requests.)

17. Printed name (of employee or Records Center staff who destroyed records)

All other sections are for Archives and Records Administration use.

*Courtesy destruction may be requested from the Records Center if an agency is unable to destroy its own records. Check the appropriate box and send the completed form to the Records Management Division; the request will be routed to Records Center staff, who will call to schedule a pick-up.

**The Archives and Records Administration provides confidential paper shredding services to State agencies within Marion County; this is a fee-based service and is not part of the standard Courtesy Destruction process. More information on that program can be found here: http://www.in.gov/iara/3105.htm.

APPENDIX F: Identification of Microfilm (SF 36031); Identification of Microfilm (SF 36074); Report of Microfilm Inspection (SF 37300)

Start	ROLL NO.
End	

Agency		
Record Series Title		RECORD SERIES NUMBER
Date Filmed *(Mo., yr.)*	Density	Resolution
CONTENTS		

IDENTIFICATION OF MICROFILM / State Form 36031 (R2 / 3-88)

Start	ROLL NO.
End	
Agency	
Record series title	RECORD SERIES NUMBER

DATE FILMED *(Mo., Yr.)*	DENSITY	RESOLUTION
CONTENTS		

IDENTIFICATION OF MICROFILM / State Form 36074 (R2 / 3-94)

REPORT OF MICRO-FILM INSPECTION
State Form 37300 (R2 / 2-92)

☐ Phone notification
Date of notification

DISTRIBUTION: White - Agency; White - Microfilm

Name of agency	
Roll number	Date processed
Inspection of your film in accordance with our laboratory procedures indicates the following problem:	ROLL NUMBER
☐ IMPROPER EXPOSURE	
☐ UNEVEN DENSITY	
☐ FINE / DARK LINES OR SCRATCHES	
☐ DISTORTION OR BLUR	
☐ BLANK / CLEAR FILM	
☐ FOGGED FILM	
☐ OTHER	
☐ IMPROPER RESOLUTION	

APPENDIX G: Procedures for Assembling (Folding)

Kraft Storage Carton (SF 46634)

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.

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

PAGE NUMBER		TOTAL PAGES
	OF	

STATE ARCHIVES RECORD TRANSMITTAL AND RECEIPT

State Form 48883 (R4 / 6-15)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

INSTRUCTIONS:
1. *Complete and send entire form to the Indiana State Archives prior to transfer.*
2. *Use one (1) transmittal for each record series number. Number boxes/items/media in a continuous sequence, within each series.*
3. *A receipt will be given at the time the records are transferred.*
4. *NOTES – Please designate importance, if records are scheduled to be sampled.*
5. *Transmittal must be typed, printed, or reproduced electronically in order to ensure accuracy and legibility.*
6. *By signing this form, a state or local agency transfers ownership of the records to the IARA. See IC 5-15-5.1-11.*

TO:

If a State agency:
Indiana State Archives
Indiana Archives and Records Administration
6440 E. 30th Street, Indianapolis, IN 46219
Telephone: (317) 591-5222
Fax: (317) 591-5324
E-mail: arc@iara.IN.gov

If a county/local government:
County/Local Records Management
Indiana Archives and Records Administration
402 W. Washington Street, Rm. W472, Indianapolis, IN 46204
Telephone: (317) 232-3380
Fax: (317) 233-1713
E-mail: cty@iara.IN.gov

FROM: ☐ State Agency ☐ County/Local Government

State Agency/County/Local Office:

Division:

Address:

Location name where records may be picked-up:

Address where records may be picked-up:

AUTHORIZATION TO TRANSFER RECORDS

Signature of records coordinator / local official	Printed name of records coordinator / local official	Date signed *(month, day, year)*	Telephone number ( )	E-mail address

Name of employee transferring records *(if different from above)*	Telephone number ( )

RECORD SERIES INVENTORY

Record series title	Record series number *(e.g. 83-79)*

BOX, ITEM, OR MEDIA NUMBER TOTAL	RECORD DATES		TYPE	NON-PAPER RECORDS ONLY				NOTES *(See Instructions above.)*
	MONTH	YEAR		MEDIA TYPE / TRANSFER METHOD	QUANTITY / SIZE / VOLUME *(e.g. 123 MB)*	NUMBER OF FILES / OBJECTS	FILE / OBJECT FORMATS *(e.g. PDF, DOC)*	
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				
of			<SELECT ONE>	<SELECT ONE>				

RECEIPT OF RECORDS *(For office use only.)*

Signature of State Archives employee receiving records	Printed / typed name of State Archives employee receiving records	Accession number	Date *(month, day, year)*

DISTRIBUTION: Original - State Archives file; Copy - Agency; Copy - State Archives processing

Instructions for Completing State Archives Record Transmittal and Receipt Form (SF 48883)

Page Number/Total Pages: Assign the page numbers according to the Record Series being transferred. For example, if you have two boxes containing two different Record Series, fill out one transmittal form for each of them. The page numbers for both transmittals would be "1 of 1."

From: The first section indicates the parent agency, division, unit information and full address. The second section indicates the exact location where the boxes can be picked up. Please make the pick-up easier by being specific.

Authorization to Transfer Records: The Agency Records/Information coordinator must approve the transfer of all records. To indicate their acceptance, they should sign the first line of this section and include their contact information. Then, the employee who is transferring the records, if other than the Records Coordinator, should print their name and contact information on the last line.

Record Series Inventory:

Record Series Title and Number can be found on the appropriate Records Retention Schedule; all boxes listed on a page should fall under the same Record Series.

In the 'Box Number' column, enter each box number out of the total number of boxes, i.e. '1 of 15,' then '2 of 15,' etc.

'Record Dates' refers to the creation dates of the records within that box, be as specific as possible.

'Type' should indicate whether the records are paper, electronic, or audio/video format.

The 'Non-Paper Records Only' section allows more specific information to be provided for other formats.

In the notes, if you are aware that the records need to be sampled, please indicate here.

Contact the State Archives: After SF 48883 is filled in, send the form to the State Archives at 6440 E. 30th Street. After the retention schedule is verified, the Archives will contact you to schedule the records pick-up or the mode of delivery. If the records are not approved for transfer, the Agency Records/Information coordinator will receive a copy of SF 48883 along with an explanatory letter.

Receipt of Records: When records are picked up, an Archives staff member will sign his or her name on the top line of SF 48883, with the printed name below. He or she will also enter the date and time that the records were picked up. The Records Coordinator receives a copy of this receipt. The accession number will be assigned by the Archives later.

APPENDIX I: Microfilm Transmittal and Receipt - State Agency

(SF 52408) - page 1

MICROFORM TRANSMITTAL AND RECEIPT
State Form 52408 (R2 / 6-15)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

Page 1 of _____ pages

If a State agency, complete form and send to:

Indiana State Archives
Indiana Archives and Records Administration
6440 E. 30th Street, Indianapolis, IN 46219
Telephone: (317) 591-5222
Fax: (317) 591-5324
E-mail: arc@iara.IN.gov

If a county/local government, complete form and send to:

County/Local Records Management
Indiana Archives and Records Administration
402 W. Washington Street, Room W472, Indianapolis, IN 46204
Telephone: (317) 232-3380
Fax: (317) 233-1713
E-mail: cty@iara.IN.gov

Instructions and Guidelines for Transferring Microform Records

1. ***USE A SEPARATE FORM FOR EACH RECORD SERIES***
2. *This form is to be used only for the transfer of records on any type of Microform. "Microform" means any type of microfilm, microfiche, or Computer Output Microfiche (COM).*
3. *Complete and send this form to the Indiana Archives and Records Administration (IARA) before sending the microform records. The IARA will not accept any microform records without prior approval of this transmittal form. An approved copy of this form must accompany the microform shipment.*
4. *Microform records transferred to the Indiana State Archives on an approved retention schedule must have a Record Series Number. Microform records not on an approved retention schedule will be accepted or rejected on a case-by-case basis.*
5. *By signing this form, a state or local agency transfers ownership of the microform records to the IARA. See IC 5-15-5.1-11.*
6. *Any microform record transferred to the Archives is considered to be a permanent record. The microform records must therefore meet the standards outlined in 60 IAC 2 or, where applicable, Administrative Rule 6, Indiana Supreme Court. The state or local agency is required to use acid-free boxes. The state or local agency must label the boxes using State Form 36074, which can be ordered from the IARA, State Imaging and Microfilm Laboratory, 100 N. Senate Ave., Rm. N055, Indianapolis, IN 46204, telephone number 317-232-3381, and e-mail address imaging@iara.IN.gov.*
7. *The state or local agency must verify the completeness and legibility of the records on the microform and must provide an inventory of the records on the microform.*

Name of state agency / county / local office			Name of division of state agency / county / local office
Record series title			Record series number
Total number of rolls or fiche sheets in shipment	Roll numbers From: To:	Inclusive dates of records filmed (*month, day, year*) From: To:	

AUTHORIZATION TO TRANSFER MICROFORM RECORDS (*to be filled out by the state agency / county / local office*)			
Signature of records coordinator / local official	Printed name of records coordinator / local official		Date signed (*month, day, year*)
Address (*number and street, city, state, and ZIP code*)	Telephone number ( )	Fax number ( )	E-mail address
Signature of person shipping microform records, if different	Printed name and title of person shipping microform records, if different		Date signed (*month, day, year*)

RECEIPT OF MICROFORM RECORDS (*IARA use only*)		
The transfer of the microform records is ☐ Accepted ☐ Rejected. If rejected, state the reasons:		
Signature of IARA employee authorizing transfer	Printed name of IARA employee	Date signed (*month, day, year*)
Signature of Archives employee receiving microform records	Printed name of Archives employee	Date signed (*month, day, year*)

Microfilm Transmittal and Receipt - State Agency (SF 52408) - page 2

MICROFORM TRANSMITTAL AND RECEIPT

State Form 52408 (R2 / 6-15)
INDIANA ARCHIVES AND RECORDS ADMINISTRATION

Page _____ of _____ pages

Name of state agency / county / local office			Name of division of state agency / county / local office
Record series title			Record series number
Total number of rolls or fiche sheets in shipment	Roll numbers From: To:	Inclusive dates of records filmed (*month, day, year*) From: To:	

INVENTORY OF RECORDS

Roll Number or Sheet Numbers: Number rolls or sheets sequentially. Note duplicate or missing numbers.
Media: Microfiche or COM; or 16mm, 35mm or 105mm film.
Start / End: This could be dates, names, case numbers, etc.

Roll Number or Sheet Numbers	Media	Start	End	Description of Records

GLOSSARY OF TERMS

Agency copies only: State agencies routinely receive copies of records created by other agencies, such as staffing tables from the Department of Personnel, and audit reports from the State Board of Accounts. The disposition of these records is detailed in the General Retention Schedule. In general, agencies should retain copies of their records only.

Confidential: By law, certain records are confidential; that is, it is unlawful to release these records or disclose the information they contain to unauthorized parties. Maintaining confidentiality also entails destroying such records in a manner that prevents their reconstruction. Notes about confidentiality in retention schedules will frequently begin with "Disclosure of these records may be affected by..." followed by one or more related laws or codes.

Critical records: Critical records are those records deemed critical to the continuity and functioning of state government. Agencies should take special care to preserve these records from loss or disaster.

Evaluation, sampling, or weeding: Not all records scheduled for preservation at the State Archives need to be preserved in their entirety. In such cases, the staff will evaluate and weed through records to take samples of representative files documenting an agency's functions. Agencies with special concerns over this process should suggest to the Archives what criteria to consider.

General retention schedule: The general retention schedule addresses records common to all or to many state agencies. These include minutes, correspondence, and personnel records. Accordingly, the general retention schedule applies to all agencies covered by public records law.

Legal requirements: Specific statutes determine the disposition and treatment of many records. The pertinent record series description will cite all applicable laws.

Life cycle of records: For records management purposes, there are two basic stages in the life cycle of records: active and inactive. Active records are needed in the ordinary course of agency business. Because staff needs immediate access to active records, these should be retained in the office. Inactive records have no day–to–day or routine value to an agency, but must be retained for audit or legal purposes. Because staff does not need immediate access to inactive records, these should be retained at more economical storage facilities at the State Records Center.

Outdated or replaced: Certain records are considered obsolete when subsequent records supersede them. In these cases, the obsolete records should be destroyed.

Record series: A record series consists of records that have the same physical form, are arranged under a single filing system, are related to a particular subject, document a particular transaction, or are produced by the same activity, and so form an identifiable group.

Records appraisal: Through appraisal, agencies and records analysts determine the value of and appropriate schedule for a record series. An appraisal requires a thorough understanding of the purpose and place in the operation of an agency of a particular record series. Records retention and disposition can be recommended only by describing the functional and informational purposes and the physical contents of a record series.

Retention Schedule: A retention schedule is a formal document that defines a record series and prescribes its disposition.

Value of Records: The disposition of records is determined by their value, whether administrative, fiscal, historical, or legal:

- **Administrative value:** Records with administrative value are those that an agency uses in its daily routine. Some records, such as purchase orders and vouchers, have only temporary administrative value. Others, such as regulatory files, will be useful for years. These records are used primarily by the agency that created them.

- **Fiscal value:** Records with fiscal value document financial transactions or obligations, and the receipt and disbursement of funds. These records are used primarily by the agency that created them, and by fiscal agencies such as the State Board of Accounts.

- **Historical value:** Records with historical value document the development of state government and state agency policies and functions. These records have the widest possible usage, as they are of interest to state government and to the public.

- **Legal value:** Records with legal value document actions involving the legal rights and obligations of the citizens and of state government that are likely to be associated with court actions. Some examples of legal records are contracts, leases, vital records, and civil cases.