

# Records, Records and More Records!! Part 2

*Presented by*

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Does this look familiar?





# What are we going to talk about?

- Some definitions
- County Commissions on Public Records
- Digital Records
- The Two Ways to Dispose of Public Records
- Retention Schedules
- Tips and the Wrap Up



# What is a Public Record??

IC 5-15-5.1-1 (o) "Record" means all documentation of the informational, communicative, or decision making processes of state and local government, its agencies and subdivisions made or received by any agency of state and local government or its employees in connection with the transaction of public business or government functions, which documentation is created, received, retained, maintained, or filed by that agency or local government or its successors as evidence of its activities or because of the informational value of the data in the documentation, and which is generated on:

- (1) paper or paper substitutes;
- (2) photographic or chemically based media;
- (3) magnetic, electronic, or machine readable media; or
- 4) any other materials, regardless of form or characteristics.





# What is not a Public Record??

IC 5-15-5.1-1(l) "Non-record materials" means all identical copies of forms, records, reference books, and exhibit materials that are made, or acquired, and preserved solely for reference use, exhibition purposes, or publication and that are not included within the definition of record.

**COPY**

# County Commission on Public Records

- Many Counties have a Commission or Archivist to deal with Public Records
- They are the ones that decide if a record can be transferred or destroyed.
- The commission is responsible for implementing the retention schedules, approving the destruction of records that do not have a retention schedules, approving any exemptions to the retention schedules.
- If your county does not have an Archivist, then contact the State of Indiana
- Made up of a variety of local officials



**Digital Records** – were they “born” as digital records or were they “converted” to digital records?

## **Indiana Oversight Committee on Public Records Policy 20-01 Electronic Records Retention and Disposition**

- **Applies to:** Electronic records of all Indiana government entities except those exempted in IC 5-15-5.1. If records of exempted entities are transferred to the Indiana Archives, they must adhere to this policy.
- **Purpose:** To ensure electronic records are retained in a trustworthy, accessible, and appropriate manner.
- **Effective Date: 1/15/2020 Authority:** Indiana Code 5-15-1-1 (a) and (b), Indiana Code 5-15-5.1-12, and Indiana Code 5-15-5.1-14.

# CONTACT INFORMATION

[www.IN.gov/iara](http://www.IN.gov/iara)

ADMINISTRATIVE OFFICES  
W472 IGCS 402 West  
Washington Street  
Indianapolis IN 46204  
Voice: 317-232-3380  
Fax: 317-233-1713

Amy Christiansen-Janicki  
Records Management Liason  
Indiana Archives & Records Administrator  
[achristiansenjanicki@iara.in.gov](mailto:achristiansenjanicki@iara.in.gov)

[Mobile: 812.929.3882](tel:812.929.3882)



## **Definitions:**

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

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

Born-digital records are created in electronic format.

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

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

Monthly Reports of  
Operation

Annual Reports

Notices of Violation

QNCRs

Industrial Self-Monitoring  
Reports

Drinking Water Reports



“We’ll just scan everything and eliminate the paper!”

VOID VOID VOID VOID  
VOID VOID VOID

If documents qualify as Public Records, the paper version **CANNOT** be destroyed before the schedule allows, **EVEN** though it’s been scanned.

# Two Ways to Legally Destroy or Transfer Public Records:

- Retention Schedule exists – Form 44905
- No Retention Schedule exists and permission must be granted – Form 30505





**REQUEST FOR PERMISSION TO DESTROY OR TRANSFER CERTAIN PUBLIC RECORDS (PR-1)**

State Form 30505 (R6 / 6-15)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION  
402 West Washington Street, Room 14472  
Indianapolis, Indiana 46204  
Telephone: 317-232-3390  
city@iara.in.gov

- INSTRUCTIONS:**
1. Prepare in quintuplicate (five (5) copies).
  2. The original and three (3) copies must be filed with the County Commission of Public Records and a copy retained by the originating agency.
  3. Upon approval by the County Commission, the Secretary must forward one (1) copy to the Indiana Archives and Records Administration at the above address; one (1) copy to the county historical society (if any); and retain the original and one (1) copy for sixty (60) days, during which time the records may be procured by an active genealogical or historical society of the county or by the Indiana Archives and Records Administration, State Archives Division.
  4. Upon the expiration of sixty (60) days the copy retained shall be forwarded to the agency, as authority to dispose of the records in accordance with the action thereon by the County Commission.
  5. The original shall be preserved as a part of the minutes of the County Commission.

RECORDS MEASUREMENT TABLE	
1 Archives box (10" x 12" x 15") inside = 1 cubic foot of records	1 Linear foot of 8 1/2" x 14" documents = 1 cubic foot
1 Letter size file drawer = 1 1/2 cubic feet of records	1 Linear foot of 8 1/2" x 11" documents = 4/5 cubic feet
1 Legal size file drawer = 1 1/2 cubic feet of records	1 Linear foot of tab cards = 1/6 cubic feet
1 Number 11 record transfer box = 2 cubic feet of records	1 Linear foot of 3" x 5" cards = 1/9 cubic feet

**TO BE COMPLETED BY THE ORIGINATING AGENCY OR OFFICE.**

Name of government agency		Date (month, day, year)
Address of government agency (number and street, city, state, and ZIP code)		
Name of contact person	Telephone number (      )	E-mail address
Type of request (check one) <input type="checkbox"/> Request to destroy <input type="checkbox"/> Request to microfilm and destroy <input type="checkbox"/> Request to destroy previously microfilmed originals <input type="checkbox"/> Request to transfer to: _____		
TO: Secretary, Commission of Public Records, of _____ County, Indiana		

NAME OR DESCRIPTION OF RECORDS	VOLUME OF RECORDS (See records measurement table.)	DATE OF RECORDS (month, day, year)

All of the above records have met their retention requirements in an applicable schedule as of January 1, of the present year. All records requiring audit have been audited by the State Board of Accounts for the period indicated, the report of the audit is on file and does not show any exceptions taken or unsettled charges.

Approved by:	Title	Date (month, day, year)
Requested by:	Title	Date (month, day, year)

**ACTION BY THE COUNTY COMMISSION OF PUBLIC RECORDS**

TO (name of government agency):	
You are hereby notified that your request to destroy or otherwise dispose of the public records listed thereon was approved by the County Commission of Public Records at a meeting held this date, subject to the following limitations or exceptions:	
In the event that a genealogical or historical society in or of the county, or the Indiana Archives and Records Administration, State Archives Division, does not procure all or part of these public records within the sixty (60) day period required by IC 5-15-6-7, these public records may be destroyed or otherwise disposed of by authority of the County Commission of Public Records.	
Signature of Chairman of County Commission of Public Records	Date signed (month, day, year)
ATTEST - Signature of Secretary	Date after which public records may be destroyed (Sixty (60) days after above date)

**NOTIFICATION BY GENEALOGICAL OR HISTORICAL SOCIETY OR INDIANA ARCHIVES AND RECORDS ADMINISTRATION, STATE ARCHIVES DIVISION, TO PROCURE RECORDS**

You are further notified that:	
<input type="checkbox"/> 1. No written statement has been received from any genealogical or historical society or the Indiana Archives and Records Administration, State Archives Division, to procure any of such records.	
<input type="checkbox"/> 2. A written statement has been received from _____ of its intent to procure the following records:	
Signature of secretary	Date signed (month, day, year)





### NOTICE OF DESTRUCTION OF NONPERMANENT RECORDS (Local Government Public Records)

State Form 44905 (R7 / 7-15)

INDIANA ARCHIVES AND RECORDS ADMINISTRATION  
402 West Washington Street, Room W472  
Indianapolis, Indiana 46204  
Telephone: 317 232-3380  
ity@iara.in.gov

- INSTRUCTIONS:**
1. This form may be used only for the destruction of nonpermanent records. Use State Form 30505, Request for Permission to Destroy or Transfer Certain Public Records (PR-1), to request destruction of permanent records.
  2. Complete all Contact and Record Series Information fields.
  3. Send the original to the secretary of the County Commission of Public Records.
  4. Send a copy of this form to the Indiana Archives and Records Administration at the above address.
  5. Delay destruction of records listed for thirty (30) days. During this period, the Indiana Archives and Records Administration will review the request and may follow up with the requestor. If the requestor is not contacted by the Indiana Archives and Records Administration during this period, the records may be destroyed.
  6. Complete the Destruction Information fields and retain a copy of the completed form for your records.

RECORDS MEASUREMENT TABLE			
1 Archives box (10" x 12" x 15") inside = 1 cubic foot of records	1 Linear foot of 8 1/2" x 14" documents = 1 cubic foot		
1 Letter size file drawer = 1 1/2 cubic feet of records	1 Linear foot of 8 1/2" x 11" documents = 4/5 cubic feet		
1 Legal size file drawer = 1 1/2 cubic feet of records	1 Linear foot of tab cards = 1/6 cubic feet		
1 Number 11 record transfer box = 2 cubic feet of records	1 Linear foot of 3" x 5" cards = 1/9 cubic feet		

CONTACT INFORMATION		
Name of office	Date submitted to secretary and IARA (month, day, year)	County
Address (number and street)	City	ZIP code
Name of contact person	Telephone number ( )	E-mail address

RECORD SERIES INFORMATION			
TITLE OF RECORDS TO BE DESTROYED	DATE OF RECORDS	RECORD SERIES NUMBER	VOLUME (cubic feet)

DESTRUCTION INFORMATION	
Records destroyed according to a retention schedule approved for use by the Oversight Committee on Public Records.	
Signature of official destroying records	Date signed (month, day, year)
Printed name of official destroying records	Position
	Date records destroyed (month, day, year)





Collections preapproved to destroy - 44905

Box #	Name of Records	Date of Records	Record Series Number	Volume (cubic feet)
C4	1991 Water timecards and records copies	1991	GEN 10-17	1.5
C6	1987-88 water timecards	1987-1988	GEN 10-17	1.5
C8	annual reports	1995-1997	GEN 10-38	1.0
C14	AMR bid documents	2002	GEN 10-25	1.0
C15	2002 wasterwater payroll copies & timecards	2002	GEN 10-17	1.0
C22	1993-95 water daily operational data and logs	1993-1995	SD 10-9	1.0
C27	1991-93 wastewater bid documents	1991-1993	GEN 10-25	1.0
C30	Trash and recycling reports	2003	GEN 10-38	1.0
C38	1986 City financial report, 1988 City financial report	1986 & 1988	GEN 10-38	1.5
C44	2003 payroll copies & timecards	2003	GEN 10-17	1.0
C62	2001 wastewater payroll copies & timecards	2001	GEN 10-17	1.0
C64	2003 timecards and payroll copies	2003	GEN 10-17	1.0
C68	2003 wastewater payroll copies & timecards	2003	GEN 10-17	1.0
C70	2004 wastewater and traffic timecards copies	2004	GEN 10-17	1.0
C74	2003 payroll copies & timecards	2003	GEN 10-17	1.0
C75	2001 wastewater payroll copies & timecards	2001	GEN 10-17	1.0
C76	2000 water payroll copies & timecards	2000	GEN 10-17	1.0

## 30505 : Retention Schedule Unclear

Box #	Name of Records	Volume (cubic feet)	Date of Records
C2	1969 pension correspondence, 1967 pension proposals, 1979 pension documets	1.5	1969 & 1979
C5	1989-91 driveway permits	1.5	1989-1991
C7	1989-99 ELCO theater records	1.0	1989-1999
C8	1995-97 correspondence, and 1936-86 misc water works files, 1990-94 complaint call out sheets	1.0	1995-1997
C9	1986-97 trash & recycling	1.0	1986-1997
C10	2002 Engineering & traffic files	1.0	2002
C11	2001 water - wellness, callouts, check copies and ledger sheets	1.0	2001
C12	2000 excavation permits	1.0	2000
C13	1996-97 sanitary and storm sewer project files	1.0	1996-1997
C14	2002 and misc water files	1.0	2002
C19	1989-95 driveway permits	1.0	1989-1995
C20	1994 water wellness, uniform records, & correspondence	1.0	1994
C21	1988-2003 safety training manuals	1.0	1988-2003
C24	2001 BOW & misc Eengeering, Traffic EEC	1.0	2001
C25	1992 Rebuild Elkhart files	1.0	1992
C30	2003 trash and recycling general information	1.0	2003
C33	1997 water inventory and hydrant info	1.0	1997
C35	2005 sewer callout sheets and PM records	1.5	2005
C38	1992 staff meeting notes	1.5	1988 1986 1992
C41	1993-2002 AEP files, Elkhart Gateway files and O &M goals	1.0	1993-2002
C42	1993 IURC water rates & bond financing copies	1.0	1993
C43	1992-94 personal correspondence and rebuild Elkhart files	1.0	1992-1994
C45	1998-2000 catch basin and sanitary PM and callouts	1.0	1998-2000
C46	2000 sanitary PM, 1992-95 collections system construction sheets and 2000 locate tickets	1.0	2000 1992-1995
C47	1993-1996 Sewer calls and PM records	1.0	1993-1996
C48	1996-97 Sewer calls and PM records	1.0	1996-1997



# What is a Retention Schedule??





Special Districts Retention Schedule (SD)  
Indiana Commission on Public Records – County Records Management

DATE APPROVED BY THE OVERSIGHT COMMITTEE ON PUBLIC RECORDS: January 21, 2015	DIRECTOR/STATE ARCHIVIST, INDIANA COMMISSION ON PUBLIC RECORDS  SIGNATURE
<p><b>Instructions:</b></p> <p>1. <b>Officials should first reference this office-specific retention schedule.</b> If the form/record series you're looking for is not listed, refer to the County/Local General Retention Schedule (GEN).</p> <p>2. Nonpermanent records listed on this retention schedule may be destroyed, in accordance with the form's instructions, thirty (30) days after completion and submission of a <a href="#">Notice of Destruction, State Form 44905</a>. The notice must be sent to the secretary of the county commission of public records as determined by IC 5-15-6-1(c) (county clerk or recorder) and to the Indiana Commission on Public Records, <a href="mailto:cty@icpr.IN.gov">cty@icpr.IN.gov</a>, 402 West Washington Street W472, Indianapolis, IN 46204.</p> <p>3. All permanent records or records <b>not listed</b> on these approved retention schedules can be destroyed or transferred only by completing a <a href="#">Request for Permission to Destroy or Transfer Certain Public Records (PR-1), State Form 30505</a>, and by obtaining approval of the County Commission of Public Records and written approval from the Indiana Commission on Public Records.</p> <p>4. Destruction of all records must be delayed pursuant to an applicable legal hold.</p> <p><b>GUIDELINES:</b> Permanent records may be maintained either in the original format or on microfilm that meets standards outlined in 60 IAC 2 or Administrative Rule 6 (Court Records). Microfilmed records may be deposited or transferred according to the retention period outlined for that record. Security/original rolls of microfilm must be stored offsite in a secure location. Duplicate rolls may be used in office. Electronic records and computer printouts that include data from more than one (1) form must be retained for the longest retention period for all included forms. Any STATE BOARD OF ACCOUNTS forms approved for use in lieu of prescribed forms are subject to the same retention requirements.</p>	

The **Special Districts General Retention Schedule** has been prepared in accordance with the STATE BOARD OF ACCOUNTS *Accounting and Uniform Compliance Guidelines Manual for Special Districts* for use by the following entities:

1. Conservancy Districts
2. Regional Water, Sewage and Solid Waste Districts
3. Solid Waste Management Districts
4. Fire Protection Districts
5. Airport Authorities
6. Public Transportation Corporations
7. Regional Planning Commissions
8. Other Special Districts, Such As Port Authorities, Flood Control Districts, Building Authorities, Fire Protection Territories, Water Authorities or any other district required to follow state statutes and audited by the State Board of Accounts.

Adopted January 21, 2015 by the Oversight Committee on Public Records

Special Districts Retention Schedule (SD)

RECORD SERIES	TITLE/DESCRIPTION	RETENTION PERIOD
<b>BOOKS, LEDGERS, REGISTERS AND JOURNALS</b>		
SD 10-1	BOND REGISTER Form 53	DESTROY six (6) calendar years after completion of project and after receipt of STATE BOARD OF ACCOUNTS Audit Report.
SD 10-2	Form 358 – Ledger of Receipts, Disbursements and Balances Form 359 – Ledger of Appropriations, Encumbrances, Disbursements and Balances	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.
<b>UTILITY FORMS</b>		
SD 10-3	Form 302 – Water Utility Voucher Register (short form) – Class A and B Form 303 – Water Utility Voucher Register (long form) – Class A and B Form 304 – Water Utility Journal (Class C) Form 309 – Wastewater Utility Journal	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.
SD 10-4	Form 313A – Water and Sewage Utility Register of Cash Receipts-Consumers  Form 313C – Water and Sewage Utility Combined Register of Daily Cash Receipts-Consumers	DESTROY after four (4) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
SD 10-5	Form 314 – Guarantee Deposit Register Form 319 – Water Utility Simplified Cash Journal (Class C) Form 321 – Consumer's Ledger – Water Utility Form 322 – Consumer's Ledger – Municipal Water and Sewage Utility Combined) Form 323 – Simplified Cash Journal – Municipal Sewage Utility Form 324 – Consumer's Ledger – Municipal Sewage Utility Form 330 – Revenue Register – Water and Wastewater (Class A and B) Form 331 – Expense Register – Water and Wastewater (Class A and B)	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.
<b>ASSET INVENTORY</b>		
SD 10-6	Form 315A – Inventory Sheet	DESTROY after four (4) calendar years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
SD 10-7	Form 369 – General Fixed Asset Account Group	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon

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Special Districts Retention Schedule (SD)

		receipt of written approval from the county commission of public records and Indiana Commission on Public Records.
SD 10-8	Form 100R – Certified Report of Names, Addresses, Duties and Compensation of Employees	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.
SD 10-9	SCIENTIFIC OR ENGINEERING RECORDS/ LABORATORY BENCH SHEETS AND OPERATION DATA  Daily and monthly records.	DESTROY three (3) calendar years after information has been transferred to data summary sheet or final report.
SD 10-10	SCIENTIFIC OR ENGINEERING RECORDS/DATA SUMMARY SHEET/FINAL REPORT  Annual summary records.	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.
SD 10-11	SCIENTIFIC OR ENGINEERING RECORDS/LAND AND OPERATION DATA  Daily and monthly reports.	DESTROY three (3) calendar years after information has been transferred to final report.
SD 10-12	SCIENTIFIC OR ENGINEERING RECORDS/ LAND AND OPERATION FINAL REPORTS  Annual summary reports.	PERMANENT. May microfilm according to 60 IAC 2 standards. Original may be retained in office or transferred to the Indiana State Archives pursuant to IC 5-15-6-6 at such time as original record no longer has official value but has historical value. If microfilmed, original may be destroyed upon receipt of written approval from the county commission of public records and Indiana Commission on Public Records.







# Tips and the Wrap-Up

- Properly label your boxes. Do not mix file types if at all possible
- Develop a schedule for records transfer/destruction – based on retention schedules
- If possible find out who your county archivist is and form a relationship.
- You can scan documents for ease of access, but must still keep for the required retention period.
- Scanning is not the same as microfilming. Microfilming is the way to preserve permanent records
- Online Training Modules - (Services for Government/Workshops and Training





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