Indiana Archives and Records Administration

CREATING AND UPDATING
AGENCY RECORDS RETENTION SCHEDULES

A GUIDE FOR STATE EMPLOYEES

WHY UPDATE RECORDS RETENTION SCHEDULES?

If you've taken our guide to Reading and Understanding Records Retention Schedules, or if you've used them in your own work, you'll know that retention schedules list the categories of records each agency creates or receives, and give instructions on how to comply with the appropriate public records laws for each type of record.

But these lists and instructions can't be static! Agencies, programs, and laws can change, so retention schedules and the record series they contain have to keep up.

If your agency starts creating a new type of record that's not covered by an existing retention schedule, it will be illegal to destroy or dispose of those records (under IC 5-15-5.1-14) until they are added to an approved schedule.

If you stop creating an existing type of record, we want to remove the matching record series from your retention schedule so that it only contains those record types that actually exist!

Can't find anything that covers your new program? Time to create a new Record Series!

Retention Schedule

ITEM #	RECORD SERIES NUMBER	TITLE/DESCRIPTION	RETENTION INSTRUCTIONS
1	74-132	CONTINUING EDUCATION — Documentation of a licensee's completion of required professional credit hours for the current renewal period, on SF 999988 or equivalent. May be submitted in paper or electronic format. Access to these records may be affected by IC 38-15-2(a). Retention based on 58 CFR 12.5(f) and 12.8.	TRANSFER paper records to the RECORDS CENTER after renewal date. DESTROY after an additional four (4) years in the RECORDS CENTER. DELETE electronic records four (4) years after renewal date.
2	74-133	WITHDRAWN APPLICATIONS — License applications which have been withdrawn by the applicant before the close of the official review period, and associated correspondence.	DESTROY three (3) years after date of withdrawal correspondence.
3	74-134	DEPED SURVEYS — Submitted annually to the U.S. Department of Education per 9800 USC 380. Original PDF form is uploaded to USDEPED online database, which is permanent and publically-accessible.	DELETE original PDF file after electronic confirmation of receipt by U.S. Department of Education.

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WHY UPDATE RECORDS RETENTION SCHEDULES?

In addition to adding and removing record series entirely, changes in law or agency procedures may mean that we need to update or "amend" existing series so that you can:

- 📁 Keep records for a longer or shorter period of time

- 📁 Transfer records to the Indiana Archives that weren't previously archival

- 📁 Transfer records to the Records Center that you used to store in your office

- 📁 Change format-specific instructions because you started a new imaging program

- 📁 Add or update confidentiality information

- 📁 Combine two similar record series whose records are now physically filed together

- 📁 Move a series to a different schedule because someone else now handles those records

- 📁 Change references to agency or program names

- 📁 Add or remove "typical contents" from the description

...among many other options.

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GETTING STARTED

There are two ways for us to get that update rolling:

1. The Archives and Records Administration contacts your agency

📁 The Records Management division reviews each retention schedule **every five years** (unless a revision project is already in progress) to determine whether any obvious changes need to be made.

📁 An IARA **Records Analyst** then contacts your agency's **Records Coordinator** to let them know it's time for an update, sending a draft retention schedule with proposed changes to review. The Records Coordinator replies with a new draft (or notes) listing any additional changes that the agency has in mind. The revision project carries on from there!

📁 If IARA has no updates to propose, we'll still contact the Records Coordinator to find out if *you* do. If *everyone* thinks the schedule is good as-is, the Records Analyst will note that and drop it back into the cycle to be reviewed again in another five years.

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GETTING STARTED

or…

2. Your agency contacts IARA:

📁 Your Records Coordinator can contact the Records Management division at any time to propose a new update to your agency's schedule – even if it hasn't been five years. Even if it hasn't been five *months*. They can e-mail rmd@iara.in.gov, or contact a Records Analyst directly if they already know each other.

📁 If you're *not* the Records Coordinator, but you notice a change that needs to be made, ask your Coordinator to initiate a new update project with IARA.

📁 They may ask *you* to work on the project, if you're more familiar with the records in question – but you need to contact them first. They're your agency's official representative, and they need to be aware of any records-related activities.

📁 This is beneficial for you too! You may find out that there's already a revision project in the works, and your changes can be easily folded into it – or they may have even already been proposed.

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THE DRAFTING PROCESS

HOW TO READ DRAFT RETENTION SCHEDULES

A draft is almost exactly like the official schedules that you usually work with, but it's marked DRAFT, and it contains **bold-text lines** requesting that the Oversight Committee on Public Records (OCPR) approve specific changes, like:

<u>Please add the following new item(s):</u>

This will be followed by one or more proposed record series, which will have item numbers, but no Record Series Numbers yet.

DRAFT

Please add the following new items:

7	[new item]	**ARTIFACTS** — Objects deemed to have permanent historical value. May include flags, plaques, bricks, fabrics and any other physical representation of agency or state history.	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles upon agreement between the agency and the STATE ARCHIVES.
8	[new item]	**MANUSCRIPT COLLECTIONS** — Original manuscripts provided to the State Archives and falling within relevant collection matter.	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles upon agreement between the agency or individual and the STATE ARCHIVES.
9	[new item]	**NEWSPAPER COLLECTIONS** — Non-government newspaper archives provided to the State Archives and falling within relevant collection matter.	TRANSFER to the STATE ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles upon individual transfer agreement.

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HOW TO READ DRAFT RETENTION SCHEDULES

…or like:

Please delete/deactivate/discontinue Record Series XYZ;

- 📁   it is no longer created and no records remain
- 📁   it has been replaced by Record Series PDQ
- 📁   the records described were duplicates or other non-record materials

Record Series XYZ will have its Record Series Number (those last forever) but will NOT have an item number, because it's being deactivated, and thus doesn't get included in the count of items on the schedule.

Please delete Record Series 82-390; these records are no longer created by the division and none remain.			
	82-390	RECORDS ANALYSIS AND INVENTORY WORKSHEET, SF 1141 This form is a tool used by Records Analysts to determine retention requirements of a record series. Data blanks include the record title, record description, record media, confidential or public record status, estimated quantity and any legal citations used as justification for the suggested retention.	DESTROY upon completion of retention schedules for all records series within the agency.

HOW TO READ DRAFT RETENTION SCHEDULES

…or like:

Please amend the description (and/or retention) of Record Series ABC to read:

3	82-354	DAILY REGISTRATION FORMS Forms are used to register all patrons utilizing the State Archives. They include information on the person's name, area of interest and the reason for research.	DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
		Please amend the description of Record Series 82-354 to read:	
3	82-354	REGISTRATION FOR USE OF RECORDS IN THE STATE ARCHIVES SF 48404 is used to register all patrons making personal visits to the State Archives. In addition to name, address, and times of arrival/departure, it includes information on requested records and any fees collected.	DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

This series has both a Record Series Number (because it's an already-existing series) and an item number (because it's remaining on the schedule).

You're not seeing double in this illustration! Amendment requests deliberately list the record series **twice**: first the old version , as the Committee previously approved it, followed by the "please amend" line, then the proposed new wording .

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WHAT INFORMATION WILL IARA NEED ON MY DRAFTS?

Here's what the IARA Records Analyst will need to know for each proposed update:

1. **Record Series Number:** If you're proposing a new series, it won't have one yet (they're assigned by IARA after final approval) but for any other updates, we need to know which item is being changed!

2. **Retention Schedule:** Some agencies have separate schedules for different divisions; your Records Analyst will need to know which one is being updated. You can find a list of them on IARA's website, under State Agency Retention Schedules.

3. **Reason for removing a series from the schedule:** This is required on the draft as part of the formal approval process. Those reasons are usually pretty simple: "We're no longer creating it and there aren't any pre-existing records left" or "These records are now covered under Record Series ABC instead of this one."

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WHAT INFORMATION WILL IARA NEED ON MY DRAFTS?

Here's what the IARA Records Analyst will need to know for each proposed update:

4. **Title and Description Language/Changes:** Certain retention schedule language is formalized, but title and description are largely based on your agency's proposals. IARA staff will usually only streamline or clarify the wording, if necessary.

5. **Retention Instructions/Changes:** Where, how long, and in what format your records should be kept. You don't need to provide the formal wording, just a plain language description of what should happen; your Records Analyst will do the translating into Retention Schedule Speak!

6. **Legal Citations/Changes:** Any laws that you or your agency legal staff can identify which affect confidentiality, or provide a basis for the proposed retention period. If a cited law has been updated, replaced, or repealed, let IARA staff know that so they can update the citation (and possibly the retention period) accordingly.

HOW TO EDIT DRAFTS: DO

1. Add your comments/edits using the Comment button on MS Word's Review tab:

2. Give your updated draft file a new number (but not a new name) before you send it back to IARA:

IARA's file: familyandsocialserviceadmin-2019-draft-01.docx

Your file: familyandsocialserviceadmin-2019-draft-02.docx

HOW TO EDIT DRAFTS: DON'T

1. Don't use the Track Changes function. (The table format of Retention Schedules turns Track Changes into an unreadable mess.)

2. Don't add, change, remove, or strike through any text. Instead, attach a New Comment *describing* the changes you want made.

3. Don't delete a Record Series you'd like deactivated. Those remain on the draft - accompanied by a *request* to deactivate them - until after Oversight Committee approval.

4. Don't request that a series be deactivated without also noting *why*.

5. Don't assign Record Series Numbers to proposed new items. Those are assigned by the Records Analyst after Oversight Committee approval.

6. DON'T stress about the process — your IARA Records Analyst will be there to help and answer questions, every step of the way!

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STEP BY STEP: REVISION & REVIEW

1. Your IARA Records Analyst and any specialists whose expertise may help (such as our Electronic Records Archivist) will discuss the updates with your staff.

2. The Analyst sends a Microsoft Word draft with proposed revisions and any associated questions to your Records Coordinator, or someone they've designated on your staff.

3. Your staff reviews the draft, then sends a new version to IARA with suggestions for further change (using inserted comments) or just tells the Analyst that the current draft is good as-is.

4. Further drafts are traded back and forth until everyone agrees on a final version, OR we move directly on to Step 5.

5. The Analyst submits the draft to IARA's Administration Team. If the revision contains changes to fiscal content (revenue or expenditure records), the State Board of Accounts also gets a copy to review.

6. If the team or SBOA requests changes, the draft goes back to Step 2. If it's approved as-is, we're on to Step 7!

STEP BY STEP: FINAL APPROVAL

7. A PDF final draft is e-mailed to the Records Coordinator which contains a routing/cover sheet for your agency head to digitally sign.

8. The Records Coordinator e-mails the E-signed PDF back to the Records Analyst.

10. The schedule is placed on the agenda for the monthly meeting of the Oversight Committee on Public Records (OCPR), and the Records Coordinator is notified.

11. If the Committee doesn't approve, the analyst contacts the Records Coordinator about any requested changes, and a new draft is submitted at the next month's meeting. (It doesn't have to go back through steps 5 to 10.)

12. If the schedule is approved, a formal, non-draft version will be e-mailed to the Records Coordinator in PDF form. This is your new official retention schedule!

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WHAT HAPPENS AFTER APPROVAL?

For records that you still have in your agency:
the new retention rules apply. So, for instance, if you've shortened the retention period and the records you have are now eligible for transfer or destruction, you're cleared to begin that process!

For records stored at the Records Center:
the new retention rules also apply. Records Center staff will adjust the intended date of destruction or transfer to the Indiana Archives to match the changes approved in your retention schedule.

For records already transferred to the Indiana Archives:
the rules that were in place **at the time of transfer** apply. If a Record Series was once scheduled for transfer to the Archives, but now is scheduled for destruction, records that are *already* at the Archives will remain there.

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Thank you for taking our course on
Creating and Updating Agency Records Retention Schedules.

For more in-depth information (including additional training options),
please visit our website at

iara.IN.gov