

How to Transfer Electronic Records to the Indiana Archives

Version 1.0

Indiana Archives and Records Administration
Records Management Division
June 2023

Table of Contents

- Section 1: Transferring Electronic Records to the Indiana Archives 3
 - Step 1: Know Which Records You Want to Transfer 3
 - Step 2: Contact the Electronic Records Program 3
 - Step 3: Gather Your Records 3
 - Step 4: Fill Out Required Paperwork 4
 - 1. State Form 48883: Request for Transmittal. 4
 - 2. Manifest of files to be transferred..... 4
 - Step 5: Send the Records to the Archives 5
- Section 2: Tips for Transferring Certain Records to the Archives 6
 - Records Created by an Agency Head or Other Senior Official..... 6
 - GRADM-10 Records 7
- Section 3: Conducting a Review of Your Agency’s Electronic Records..... 9

Section 1: Transferring Electronic Records to the Indiana Archives

Step 1: Know Which Records You Want to Transfer

The first step in the transfer process is determining whether your records are archival. The Archives accepts records that are scheduled for permanent retention on an Oversight Committee on Public Records (OCPR) approved retention schedule. To know which of your records should be transferred to the Archives, begin by familiarizing yourself with the General Retention Schedule for All State Agencies and any OCPR approved retention schedules specific to your agency. If you are unsure about whether your agency has any agency specific retention schedules, please contact rmd@iara.in.gov for assistance.

Once you know which records you want to transfer to the Archives, locate where your agency stores those records:

- OneDrive
- SharePoint
- Network drives
- Email
- Local drives
- Physical media
- Recordkeeping systems
- Cloud storage

If you are transferring records created or managed by an agency head or other senior official, please see [Section 2: Recommendations for Transferring Certain Records to the Archives](#) below and read the [Oversight Committee on Public Records Policy 22-01](#).

Step 2: Contact the Electronic Records Program

If this is your first time transferring electronic records, or if you have never transferred a particular record series electronically, reach out to our Electronic Records Archivists by emailing erecords@iara.in.gov with the following information. If you have transferred records before, you can move onto Step 3.

1. A brief description of the records you wish to transfer, including record series numbers if you know them and the date range of the records
2. The system in which the records were created / stored
3. File formats
4. Whether the records contain any sensitive or confidential information
5. How often you would like to submit the records
6. Overall size of transfer – if you need help determining this, please ask

The Electronic Records Archivists will review your email and may contact you with follow up questions. Once all questions are resolved the Electronic Records Archivists will ask you to proceed with Step 3.

PLEASE NOTE that legacy media such as discs, magnetic tape, old AV formats and floppy disks may require additional review and / or conversion by the agency prior to being approved for accessioning.

Step 3: Gather Your Records

To prepare the records you wish to transfer to the Archives, gather all the records in one location that is accessible by any agency staff who need to access them, and which meets any requirements for sensitive or confidential information. It is fine to make a copy of the records if you wish to also maintain them in-agency, or if they are scheduled to be maintained in-agency as well as transferred to the Archives.

If you have sensitive or confidential records, whether they be the entire body of records or a subset of the records, please indicate them as such either via their file names or by placing them all in a clearly marked folder.

If you have deliberative materials and have a prior agreement with the Archives to seal these for a period, please indicate their status either via file names or by placing them all in a clearly marked folder.

Step 4: Fill Out Required Paperwork

There are two types of paperwork you will need to provide prior to transfer.

1. State Form 48883: Request for Transmittal.

Work with your agency's Records Coordinator to fill out State Form 48883: Request for Transmittal before transferring any records to the Archives. Please see the [Agency Records & Forms Coordinators](#) page to locate your agency's Records Coordinator. Your agency Records Coordinator will need to sign this form unless special arrangements have been made with IARA staff.

Follow the instructions on State Form 48883 and fill out all fields. For electronic records, please pay close attention to the Record Series Inventory – Non-Paper Records Only section.

2. Manifest of files to be transferred

You will also need to create and submit a manifest of all files you are transferring. A manifest file is a hierarchical folder/file list that identifies all files included in the transfer. There are a couple ways to do this in a directory on a Windows 10 machine. Please note that not all users will have access to use command line tools; these are suggested options.

Use the Command Line

1. Navigate to your folder.
2. Open the Command Prompt by clicking into the address bar of Windows/ File Explorer, typing "cmd" and pressing Enter. This will open a Command Prompt window directly with the file path already input.
3. Run the "PrintDir" command. To get a list of all folders and files inside your specified directory, copy and paste the following: `dir /s /n /o:n > dirprint.txt`
4. Press "enter" to run the command. This may take a moment, but you will know the file has completed when the blinking cursor appears again.
5. A new document titled "dirprint.txt" will appear inside the folder. Please note that the directory print itself will include "dirprint.txt" as one of the listed files.

Use Powershell

1. Navigate to your folder.
2. Open PowerShell by left-clicking once on the folder in the navigation pane of your File Explorer window (the left-hand side), then holding "Shift" and right-clicking. An option to "Open PowerShell window here" will appear. Click this and a PowerShell window will open directly with the file path already input.
3. Run the "Print Directory" command. To get a full list of files within a directory, copy and paste the following: `Get-ChildItem -Recurse -File > dirprint.txt`
4. Press "enter" to run the command. This may take a moment, but you will know the file has completed when the blinking cursor appears again.
5. A new document titled "dirprint.txt" will appear inside the folder. Please note that the directory print itself will include "dirprint.txt" as one of the listed files.

If you are using a non-Windows 10 operating system, or if your files are located in a recordkeeping system, you will need to follow "print directory" directions for your operating system or recordkeeping system.

Step 5: Send the Records to the Archives

Once your SF 48883 and manifest have been received and approved by the Electronic Records Archivists, they will reach out to arrange the details of the file transfer. Files can be sent to the Archives in several ways, including the following delivery methods:

- Network transfer
- File share/sync
- SFTP
- Secure email
- Removable media (e.g. portable hard drive)
- Cloud services (e.g. SharePoint or Teams)

For network, file share, and SFTP transfers the Electronic Records Archivists can either pick up files from the sender or grant the sender access to a drop location. Cloud services may require the sender to grant access to the Electronic Records Archivists. For specifics on sending files, see [Section 3: File Transfer Instructions](#).

Please note that confidential information should NEVER be submitted via unsecured email.

If you are encrypting or using password-protection on the records you are transferring, you will need to provide the Electronic Records Archivists with login credentials or other information needed to access and download the files. If this information is not included, the transfer may need to be redone.

Depending on the amount of data being sent, we recommend the following delivery methods:

- <.2 GB – Secure email transfer
- .2-49 GB – Any delivery method except email
- 50-99 GB – Network transfer, file share/sync, or external drive. SFTP may be used in some instances.
- 100 GB or more – External hard drive (some exceptions may be made)
- Transfers of over 500 GB may require special considerations (see below).

Submissions of 50 GB or more can take place via SFTP or sync with IOT's approval and potential involvement, though they may require additional organization and preparation on the agency's part prior to transfer. Large file transfers can take an extremely long time and hinder bandwidth, which is why we encourage other delivery methods based on data size. If you need to submit more than 500 GB of data at once, please contact Electronic Records at erecords@iara.in.gov to discuss appropriate arrangements.

Section 2: Tips for Transferring Certain Records to the Archives

Records Created by an Agency Head or Other Senior Official

Records in this category will often fall under record series GRADM-3 on the [State General Retention Schedule](#), but it is a good idea to check your agency-specific schedule as well as other series on the State General Retention Schedule.

The first step is to select a responsible individual to take point. This person will typically be your agency's legal counsel or Human Resources Director (HRD).

If this person has not already been designated an Agency Authorizer by IOT, email the IOT Security Team at **#IOT Security Operations** and ask that they be designated as such. This will enable them to request a copy of the electronic records of your outgoing agency head which have been saved to the State's system.

Ideally, this person should have a working familiarity with records and information management so that they can work with IOT and any internal IT staff your agency has, be able to read and understand a retention schedule (IARA can also help with this), and be trusted to keep confidential or sensitive records private.

There are a few things to know about specific record storage locations when it comes to agency head or senior official records:

OneDrive

Your Interim agency head or the new agency head may already have access to the former agency head's electronic records. Alternatively, whoever is listed as the manager for the former agency head in PeopleSoft should also have access and can grant access to new people. Or your Agency Authorizer can request access from IOT.

Once you have access to the former agency head's OneDrive, you can copy all files and folders to another person for review, selection, and organization as needed. It is best to copy the contents as opposed to moving them, and to place the contents in a location which meets confidentiality, security, and access requirements.

SharePoint

Determine which SharePoint sites contain records that need to be transferred to the Archives and grant your point person access. If you are not sure if your agency head used SharePoint, contact your SharePoint agency administrator (IOT generally requires two people in this role) to see if they know of any sites the agency head requested.

Agency server space

Not all folders are necessarily accessible to all staff, so ensure that any server locations with relevant records are accessible to your point person. This may require a request to the IOT Helpdesk asking for access to a specific server path, or even a folder depending on how your permissions are set.

Email

You can request access to a mailbox from IOT via a VFire ticket. The mailbox will appear in your (or the designated user's) Outlook with a name like "Z_YYYY-MMDD [username]_inactive."

If you have the time and resources to sort through email, it is much appreciated and will result in a better archival collection. Please see our Email Disposition Guidance for tips.

GRADM-10 Records

The Indiana Archives and Records Administration (IARA) will collect COVID-19 pandemic response records under series [GRADM-10: Documentation of Indiana's Responses to States of Emergency and Other Events of an Historic Nature](#). IARA has developed this guide in response to agency questions about what qualifies as GRADM-10, how and when to gather GRADM-10 records, and how to transfer them to the Indiana Archive.

GRADM-10	DOCUMENTATION OF INDIANA'S RESPONSES TO STATES OF EMERGENCY AND OTHER EVENTS OF AN HISTORIC NATURE Records of Indiana agency responses to states of emergency and other noteworthy statewide or nationwide events of an historic nature. If not otherwise notified, agencies may consult with the Indiana Archives if they believe an applicable event is occurring or has occurred. Response records document agency functions, actions, policies, procedures, and messaging during and after the event, and are not otherwise covered by GRADM-9 or an existing agency-specific emergency response series. Records may include, but are not limited to: administrative documents, electronic communications, records of assistance to or collaboration with other government entities, not-for-profit/volunteer groups, businesses, or citizens, general files, and summaries or histories written at a later date. Disclosure may be affected by IC 5-14-3-4(b)(6) and (19).	TRANSFER a COPY to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, one (1) year after creation or publication. Manage original records under their applicable agency or General Retention Record Series.
----------	--	---

GRADM-10 was developed in response to the COVID-19 pandemic and is meant to capture records of the State's response to official states of emergency for posterity and future generations. This guidance will assist you in collecting and transferring records that fit this description to the Indiana Archives. If you have questions about whether certain records qualify as GRADM-10, please email arc@iara.in.gov.

What to look for

Please note that the list below is not comprehensive but is meant to act as a starting point. If your agency or division generated emergency-related items that fall under GRADM-10 but are not listed, include them when gathering records.

- Decisions, minutes, and related documentation of committees, advisory boards, and other public meetings.
- Operational policies developed in response to the emergency such as: telework, social distancing, Personal Protective Equipment (PPE), reopening plans, etc.
- Communications and training developed around newly implemented policies and procedures.
- Press releases and other public messaging, including social media.
- Internal and external publications.
- Photographs and agency web content.
- Timelines, maps, and other aggregate data.
- Reports and related review and analysis documentation.
- Agency pandemic response and planning documents, including after-action reports or similar.
- Cross-agency or collaborative efforts with other entities, groups, or individuals in response to the emergency.
- Records of agency efforts in the community (e.g., fundraisers, participation in local marches/events, etc.)

Where to look

Please note that this list is not comprehensive but is meant to act as a starting point. Records may be in any format – paper, electronic, microfilm, etc. If your agency or division has commonly used locations that are not listed, please include them when gathering records.

- Physical storage locations (filing cabinets, etc.)
- Shared network drives
- Microsoft Teams chat and conversations
- Stand-alone SharePoint sites (separate from Teams)
- Outlook
- Social media accounts
- Public-facing websites
- Agency internal website

Who to connect with

- Agency Heads - for policies, procedures, agency communications, and high-level decision-making records.
- Directors, Deputy Directors, or other agency decision-makers - for policies, procedures, division communications, and other relevant decision-making records.
- Communications staff - for newsletters, blogs, agency announcements, and similar content.

It may be a good idea to contact your agency IT department or the Indiana Office of Technology to explain your plan and ensure all electronic record storage locations containing GRADM-10 materials are identified and included.

When to begin

It is best to gather a comprehensive set of GRADM-10 records and transfer them all at once, but you can begin gathering them at any time.

- If your agency is no longer generating significant amounts of GRADM-10 records, you can begin planning your transfer to the Indiana Archives.
- If your agency is still generating significant amounts of GRADM-10 records, please wait to transfer until a later date.
- If you are unsure whether your agency is finished generating GRADM-10 records, begin collecting by following the steps below but wait to transfer until you are confident that you have as complete a set as possible.

Section 3: Conducting a Review of Your Agency's Electronic Records

If you are planning to review your agency's electronic records in preparation for transfer to the Indiana Archives, this list of tips can help. It is based on Records and Information Management best practices and is a tool to help you plan out a strategy. Questions about how to conduct a review of records? Get in touch: erecords@iara.in.gov.

Please note that not every records review will require every task below and these tasks may need to be performed in a different order than they are listed below.

- Identify retention schedules.** Familiarize yourself with the [General Retention Schedule](#) and your agency's retention schedule.
- Know your agency's [Records Coordinator](#).** Records Coordinators act as a conduit to IARA for transfer and destruction of records (electronic and paper) and reviewing your agency's retention schedule.
- Know where records are kept.** Make a list of all locations where records are kept. This can include server and Cloud storage as well as physical storage of electronic media like hard drives.
- Know how much you have.** Make a note of the file count, folder count, and size. To find this information, right click on the folder or file and select *Properties* from the drop down menu. To determine the size of multiple folders or files, select all, right click, and select *Properties* from the drop down menu.
- Determine dates.** It is a best practice to rely on human-created timestamps such as a date in a file name or a date in the document itself, opposed to the properties created by your operating system. Metadata created by an electronic recordkeeping system is more reliable and can generally be trusted.
- Weed.** This is the process of separating anything that is not a record, is not a record your agency is responsible for, or is a temporary record, from anything that is a permanent record and/or needs to be transferred to the Archives.
- Create a key.** Spell out any acronyms used in file or folder names in a key. The Archives will use this to retrieve items later if necessary. The list can be an Excel spreadsheet, Word Doc, or any other commonly used application.
- Identify confidential or sensitive materials.** Take appropriate steps to ensure confidential or sensitive records are secure. Keep in mind that you may not have access to, or be cleared to access, certain confidential or sensitive records, such as personnel or legal files. These types of records may require a reviewer other than yourself.
- Identify obsolete media.** Floppy disks, zip drives, VHS tapes, and similarly older storage mediums are considered obsolete media. If you have these items and are not sure of the contents, IARA may be able to help. Please contact erecords@iara.in.gov with the specific media type.
- Engage in responsible destruction.** Always destroy records in accordance with relevant retention schedule(s). When possible, avoid retaining records longer than retention schedules indicate. Remember, in a legal discovery request if your agency is in possession of the record you may be compelled to produce it, even if it should have been destroyed.
- Develop policies.** To help avoid needing to do another major records review in the future, create an internal records management policy. This can include how records are managed, file naming conventions, and file format specifications. IARA is happy to provide feedback on any policies you develop: erecords@iara.in.gov.