

# County/Local Retention Schedule Instructions

## Indiana Archives and Records Administration (IARA) – County/Local Records Management

These instructions apply to all approved County/Local Records Retention Schedules.

- 1) **Officials should first reference their office-specific Retention Schedule.** If no listed Record Series covers the record's subject matter, then refer to the County/Local General Retention Schedule (GEN). If you are still unsure, contact County Records Management at [cty@iara.in.gov](mailto:cty@iara.in.gov) for assistance.
- 2) **Copy of Record vs. Duplicate:**
  - a) A **Copy of Record** is the copy (or in special circumstances, *copies*) of a record that your agency has chosen to officially fulfill all Records Retention Schedule requirements and any other state or federal rules that affect the record.
  - b) A **Duplicate** is any other version of the record that contains the same information, but is *not* being used to fulfill records retention requirements. Unless the appropriate Record Series specifically states otherwise, Duplicates are considered non-record material and may be destroyed at any time. No permission from IARA or your County Commission of Public Records is required, and no forms need be submitted.
- 3) **Record Series listed on a retention schedule but NOT designated as PERMANENT or CRITICAL :**
  - a) **Any records may be digitized** according to OCPR Policies 20-01 and 20-02 and IARA's Electronic Records Guidelines. Once the electronic records have been verified for completeness and legibility, they can be used as a **Copy of Record** (see Item 2 above), with all records retention schedule instructions applying to them, while the original version becomes a **Duplicate** (see Item 2 above).
  - b) The Copy of Record for these records may be destroyed **ONLY** after they have reached the end of their designated retention period **AND** you have filled out a [Notice of Destruction of County/Local Government Records in Accordance with an Approved Retention Schedule](#) (SF 44905).
  - c) **After destruction**, submit a copy of the completed form to the Secretary of your county Commission of Public Records.
  - d) **If your office would prefer to donate the records to an interested historical entity instead of destroying them**, a SF 57236 must be submitted to IARA and to the county Commission of Public Records, and approval must be received from both parties.
- 4) **Record Series designated as PERMANENT or PERMANENT and CRITICAL** must be preserved permanently, but there are several options for fulfilling this requirement:
  - a) **PERMANENT vs CRITICAL Records**
    - i) **PERMANENT records** are those with long-term or permanent historical value, and must always have at least ONE Copy of Record in existence, in one or more of the locations listed below in item 4c.
    - ii) **CRITICAL records** are those without which the State of Indiana could not properly provide services or document identity and ownership of property. CRITICAL records must always have at least TWO Copies of Record, preferably in two different locations.
  - b) **FORMATS for PERMANENT and CRITICAL RECORDS**
    - i) **The Copy or Copies of Record may remain in the format of creation**, whether that is hard-copy or electronic.
    - ii) **Any records, whether hard copy or electronic, may be microfilmed** according to 60 IAC 2. Once the microfilm has been verified for completeness and legibility, it can be used as a **Copy of Record** (see Item 2 above), with all records retention schedule instructions applying to it, while the original version becomes a **Duplicate** (see Item 2 above).
    - iii) **Any records, whether hard copy or microfilm, may be digitized** according to OCPR Policies 20-01 and 20-02 and IARA's Electronic Records Guidelines. Once the electronic records have been verified for completeness and legibility, they can be used as a **Copy of Record** (see Item 2 above), with all records retention schedule instructions applying to them, while the original version becomes a **Duplicate** (see Item 2 above).
    - iv) IARA's recommended best practice is that one Copy of Record should be physical: either microfilm or paper.

c) **LOCATIONS for PERMANENT and CRITICAL RECORDS**

- i) A Copy of Record may be **maintained permanently in the office of origin.**
- ii) A Copy of Record may be **maintained by a trusted commercial or government records storage provider.**
  - (1) **Records uploaded to a state or federal database cannot be an office's Copy of Record**, unless: the State or Federal entity has volunteered their system as an official repository for such records, the system fulfills the standards of OCPD Policies 20-01 and 20-02 and IARA's Electronic Records Guidelines, AND the county/local office has permanent access to the records if needed.
  - (2) Information typed directly into a state or federal database with no original document on the county/local office's side does not constitute a record for the office.
- iii) **A request to transfer a Copy of Record to the Indiana State Archives** (SF 48883), whether hard copy, microfilmed, or electronic, may be **submitted to IARA** if storage space or ability does not allow for safely maintaining a Copy of Record elsewhere.
  - (1) However, such requests will be approved **only at the discretion of the Indiana Archives**. Title to any record transferred to the Archives transfers along with the record, per Indiana Code 5-15-5.1-11.
  - (2) If, after reviewing the SF 48883, the Indiana Archives cannot or does not wish to collect the records, Indiana Archives staff will advise the office of origin on whether the entire record must be maintained permanently by the office, or if the records may be weeded according to criteria which the Indiana Archives will provide.

5) **Records whose subject matter is not covered by ANY Record Series** on an approved retention schedule may be:

- a) **DESTROYED ONLY** after a [Request for Permission to Destroy Certain Public Records \(PR-1A\)](#) (SF 30505) has been submitted to IARA and to the county Commission of Public Records, and approval has been received from both parties.
  - b) **TRANSFERRED** to the Indiana Archives OR to a local historical entity ONLY after a [Request for Permission to Transfer Certain Public Records \(PR-1B\)](#) (SF 57236) has been submitted to IARA and to the county Commission of Public Records, and approval has been received from both parties.
  - c) **MICROFILMED and/or DIGITIZED: any record maybe microfilmed** according to the standards outlined in 60 IAC 2/Indiana Rules of Court Administrative Rule 6 **or digitized** according to OCPD Policies 20-01 and 20-02, and IARA's Electronic Records Guidelines. Once either format has been verified for completeness and legibility, it can be used as a **Copy of Record (see Item 2 above)**, with all records retention schedule instructions applying to it, while the original version becomes a **Duplicate (see Item 2 above)**.
- 6) **ELECTRONIC RECORDS ASSISTANCE: For any records whose original version is electronic**, or for offices wishing to duplicate records electronically, please **contact IARA's Electronic Records Program** (erecords@iara.in.gov) for additional advice and instructions on preservation.
- 7) **Litigation Holds:** No record may be destroyed or transferred to another entity if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated or anticipated, even if the record would otherwise be eligible for destruction or transfer. Destruction or transfer may only proceed after the completion of the action and the resolution of all issues that arise from it.
- 8) **ADDITIONAL GUIDELINES**
- a) Any record or file whose contents **fall under more than one Record Series** must be maintained for the **longest applicable retention period**.
  - b) With the exception of RS GEN 10-16 and RS GEN 10-24, **specific forms or reports listed in the description of any Record Series are provided as examples**, not an exclusive or exhaustive list. If a Record Series describes the subject matter of your record, then the Record Series likely covers your record.
  - c) If you are **unsure about whether your records are covered by an existing Record Series**, please contact IARA's County/Local Records Management team (cty@iara.in.gov/317-232-3380) for advice *before* listing the record on a PR-1B (SF 57236).
  - d) **Item Numbers** on this Schedule are used for reading convenience only; **they are not a permanent part of the Record Series**. Copies of this Retention Schedule printed from the IARA website may list the Record Series in a different order due to automated sorting.

Please see IARA's [County/Local Records Custodian Handbook](#) for complete information on proper destruction procedures for eligible records.



Public-Private Agreement Operator's Retention Schedule (PPA)  
Indiana Archives and Records Administration – County/Local Records Management

DATE APPROVED BY THE OVERSIGHT COMMITTEE ON PUBLIC RECORDS: February 18, 2015

Instructions specific to this retention schedule:

1. Records listed on this retention schedule are maintained by an "operator," as defined by IC 5-23-2-8. **This retention schedule may not be used by a governmental entity for the destruction, transfer, or other disposition of governmental records.**
2. Records listed on this retention schedule are governed by IC 5-23-7-1 and fall under the authority of the Indiana Archives and Records Administration via IC 5-14-3-7(a), IC 5-14-3-4(h)(1), IC 5-15-5.1-5(a)(4) and (a)(11), and IC 5-15-6-2.5(a). This retention schedule has been created by the Indiana Archives and Records Administration and adopted by the Indiana Oversight Committee on Public Records to assist operators that are a party to a public-private agreement in their effort to comply with records retention requirements.
3. Operators are required to complete records destruction and transfer forms as is required of governmental entities.
  - To destroy records listed on this retention schedule, the operator must complete and submit a [Notice of Destruction, State Form 44905](#), as required by the form.
  - To transfer or destroy records *not* listed on this retention schedule, but created or received by the operator in furtherance of a public-private agreement, the operator must complete and submit a [Request for Permission to Destroy Certain Public Records \(PR-1A\), State Form 30505](#), as required by the form.
4. Records listed on this retention schedule may be subject to disclosure as provided in IC 5-14-3 and IC 5-23-7.
5. Destruction of all records must be delayed pursuant to an applicable legal hold.

**Public-Private Agreement Operator's Retention Schedule (PPA)**

<b>Item #</b>	<b>Record Series</b>	<b>Title/Description</b>	<b>Retention Period</b>
1	PPA 14-1	MINUTES Official minutes of a board established to administer a program set forth in the public-private agreement. THIS IS A CRITICAL RECORD.	PERMANENT. TRANSFER to the governmental body after ten (10) calendar years pursuant to IC 5-23-7-2. Governmental body must retain pursuant to GEN 10-1.
2	PPA 14-2	POLICY FILES These office files document substantive actions of the operator by executive staff and constitute the official record of the operator's performance of its functions and the formation of policy and program initiatives. This record series may include various types of records such as correspondence, memos, and reports concerning policy and procedures, organization, program development and reviews. THIS IS A CRITICAL RECORD.	PERMANENT. TRANSFER to the governmental body after ten (10) calendar years pursuant to IC 5-23-7-2. Governmental body must retain pursuant to GEN 10-3.
3	PPA 14-3	GENERAL FILES This record series includes correspondence, memos, and routine staff files.	DESTROY after three (3) calendar years.
4	PPA 14-4	LEGAL FILES – THIRD-PARTY LITIGATION All records pertaining to litigation with third parties involving the public-private agreement, including all supporting documentation.	TRANSFER to the governmental body five (5) calendar years after completion of litigation.
5	PPA 14-5	LEGAL FILES – LITIGATION BETWEEN OPERATOR AND GOVERNMENTAL BODY All records pertaining to litigation with the governmental body related to the public-private agreement.	This record series is not subject to IC 5-23-7.
6	PPA 14-6	BONDS, BIDS, CONTRACTS AND LEASES All contracts with vendors or units of government to provide goods or services. Files also include working papers and similar attachments used by the operator in this process. Retention based on IC 34-13-1-1.	DESTROY ten (10) years after expiration of the contract.
7	PPA 14-7	AS-SUBMITTED BUDGETS Includes new programs requested, justifications, breakdown or money requested, estimates, reports, and public notice.	DESTROY after five (5) calendar years.
8	PPA 14-8	RECEIPTS/QUIETUS/RECEIPT REGISTER/QUIETUS REGISTER Retention based on IC 34-11-2-6.	DESTROY after six (6) calendar years.
9	PPA 14-9	VOUCHERS/CLAIMS & PURCHASE ORDERS Includes all claims and requisitions submitted, including all supporting documentation. Retention based on IC 34-11-1-2.	DESTROY after ten (10) calendar years.
10	PPA 14-10	CANCELLED CHECKS/WARRANTS Retention based on IC 34-11-1-2.	DESTROY after ten (10) calendar years.
11	PPA 14-11	CHECK REGISTER/WARRANT REGISTER Retention based on IC 34-11-1-2.	DESTROY after ten (10) calendar years.
12	PPA 14-12	ACCOUNTS PAYABLE JOURNAL	DESTROY after six (6) calendar years.
13	PPA 14-13	ACCOUNTS PAYABLE VOUCHER REGISTER	DESTROY after three (3) calendar years.
14	PPA 14-14	PAPER CHECKS & REMOTE-CAPTURE CHECKS Checks deposited with a bank by an operator through the regular deposit process or the digital remote-capture process. Retention based on IC 34-11-2-6.	DESTROY paper upon receipt of deposit report from bank acknowledging the bank's acceptance. RETAIN digital image locally or through bank-provided access for six (6) years.