

County/Local Retention Schedule Instructions

Indiana Archives and Records Administration (IARA) – County 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).
- 2) **Copy of Record vs. Duplicate:** A "Copy of Record" is the record that your agency has chosen to be the official record which fulfills all Records Retention Schedule and other state and federal rules that affect the record. A Duplicate is any other record that contains the same information. Unless the record is defined on the retention schedule as CRITICAL, Duplicates are considered a non-record 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.
 - a) **A record which is contained in a federal database** cannot be your Copy of Record, because it is not a State of Indiana record. The information that existed as a State of Indiana record BEFORE you submitted it to the federal government is your Copy of Record.
- 3) **Records NOT designated as PERMANENT or CRITICAL on any retention schedule:**
 - a) 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).
 - b) **After destruction**, submit a copy of the completed form to the Secretary of your county Commission of Public Records.
 - c) **If your office would prefer to donate the records to an interested historical entity instead of destroying them**, a SF 30505 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 on any retention schedule, but NOT designated as CRITICAL**, must be preserved permanently, but there are several options for fulfilling this requirement:
 - a) Original records may be **maintained permanently in the office of origin.**
 - i) **Original records may be microfilmed**, with the **microfilm retained permanently in the office of origin**. Once the microfilm has been verified for completeness and legibility, it is considered the **Copy of Record** (see Item 2 above), with all records retention schedule instructions applying to it, while **the original version is considered a Duplicate**. (See Item 2 above.)
 - b) **A request to transfer** original, microfilmed, or electronic records (SF 48883) may be **submitted to IARA** if storage space does not allow for maintaining the Copy of Record at the originating office. 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.
 - c) If, after reviewing the SF 48883, the State Archives cannot or does not wish to collect the records, State Archives staff will advise the office of origin on whether the entire record must be maintained permanently in the office, or the records may be weeded according to criteria which the State Archives will provide.
- 5) **Record Series designated as CRITICAL MUST be microfilmed** according to the standards outlined in 60 IAC 2 / Indiana Rules of Court Administrative Rule 6. Copies must be distributed and retained as indicated in the retention instructions for that Record Series.
 - a) **Copies ADDITIONAL to the required list** are duplicates and may be destroyed at any time. (See Item 2 above.)
- 6) **Records whose subject matter is NOT COVERED by any Record Series** on an approved retention schedule may be **destroyed OR transferred to the Indiana Archives OR transferred to a local historical entity**, ONLY after a [Request for Exception to County/Local Retention Schedule or Permission to Dispose Of Non-Scheduled County/Local Public Records \(PR-1\)](#) (SF 30505) has been submitted to IARA and to the county Commission of Public Records, and approval has been received from both parties.

- 7) **MICROFILMING IN GENERAL: ANY record MAY be microfilmed** according to the standards outlined in 60 IAC 2/Indiana Rules of Court Administrative Rule 6, to meet storage or access needs in the office of origin, whether or not the specific Record Series requires such microfilming.
 - a) Once the microfilm has been verified for completeness and legibility, it is considered the **Copy of Record (see Item 2 above)**, with all records retention schedule instructions applying to it, while **the original version is considered a duplicate**.
- 8) **ELECTRONIC RECORDS: For ANY records whose original version is electronic**, or for offices wishing to duplicate such records electronically, **contact IARA's Electronic Records Program** (erecords@iara.in.gov) for advice and instructions on preservation.
- 9) **In the case of an applicable legal hold**, destruction or transfer of all record-types must be delayed.
- 10) **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, (which covers only the specific Payroll Record forms listed) **specific forms or reports listed in the description of a 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 an SF 30505.
 - 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.
- 11) **Please see IARA's [County/Local Records Custodian Handbook](#) for complete information on proper destruction procedures for eligible records.**



TRANSMITTAL OF PROPOSED / APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULE

State Form 39443 (R8 / 9-21)

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| Agency County/Local Records | Issued by: The Indiana Archives and Records Administration Records Management Division 402 West Washington Street, Room W472 Indianapolis, IN 46204 cty@iara.in.gov |
| Division (If left blank, retention schedule applies to entire agency.) Local Health Departments | |
| Date sent (mm/dd/yyyy) 05/17/2023 | |

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| SECTION I | PROPOSED RECORDS RETENTION AND DISPOSITION SCHEDULES |
| Please have your Appointing Authority (agency head) sign this sheet <u>electronically</u> in the blank provided under Section III, to acknowledge approval of the proposed amendments. Then, return the electronic file to IARA's Records Management Division. 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. | |

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| 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. Please consult the Records Coordinator and Records Center handbooks for transfer and destruction information, or contact the Indiana Archives or Records Center staff directly for guidance on their specific procedures. | |
| Any questions concerning how to interpret the instructions in your approved retention schedule should be directed to the Records Management Division at cty@iara.in.gov. | |
| A retention schedule must be current to be effective. The Records Management Division will contact your Agency Records Coordinator for periodic reviews to ensure that both language and content are up to date. If your agency needs to change the schedule between those review periods, just contact the Records Management Division, and a new update project will be initiated immediately. | |

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| SECTION III | AGENCY APPROVAL |
| Agency Head e-signature | [N/A; general schedule] |

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| SECTION IV | APPROVED RECORDS RETENTION AND DISPOSITION SCHEDULES |
| The Oversight Committee on Public Records, at its meeting held on <u>5/24/2023</u> , approved this Records Retention and Disposition Schedule for your agency. | |
| The finalized schedule is enclosed. The Records Coordinator should retain the original and forward copies to agency staff as needed. | |
| Indiana Archives and Records Administration e-signature of final approval | <i>S. Charles Lighty</i> |



Local Health Departments Retention Schedule (HD)

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

| ITEM # | RECORD SERIES | TITLE/DESCRIPTION | RETENTION PERIOD |
|--|---------------|---|---|
| All Offices and Departments | | | |
| 1 | HD 23-01 | <p>PATIENT-SPECIFIC MEDICAL INFORMATION</p> <p>Any patient-specific records created by a Local Health Department that are not specifically addressed by another county/local record series with an equal or longer retention period. Disclosure of these records may be affected by IC 16-41-8-1.</p> | DESTROY seven (7) years after creation of record. |
| Nursing | | | |
| 2 | HD 23-02 | <p>VACCINATION SCHEDULING INFORMATION</p> <p>Disclosure of these records may be affected by IC 16-41-8-1.</p> | DESTROY/DELETE three (3) years after creation of record. |
| 3 | HD 23-03 | <p>IMMUNIZATION/VACCINATION INFORMATION</p> <p>Specific information from local health departments is entered into the Indiana Department of Health's Children and Hoosier Immunization Registry Program (CHIRP) database. Additional information collected remains only at the local level. Disclosure of these records may be affected by IC 16-41-8-1.</p> | DESTROY records entered into CHIRP seven (7) years after entry; DESTROY all other records ten (10) years after creation of record. |
| 4 | HD 23-04 | <p>ANIMAL BITE INVESTIGATION, REPORTS, AND TREATMENT</p> <p>Disclosure of these records may be affected by IC 16-41-8-1.</p> | DESTROY seven (7) years after creation of record. |
| Communicable Disease and Elevated Blood Lead Levels | | | |
| 5 | HD 23-05 | <p>COMMUNICABLE DISEASE AND ELEVATED BLOOD LEAD LEVEL INVESTIGATION AND TREATMENT RECORDS</p> <p>Investigations, reports, and patient medical records on cases of people with communicable diseases including food-borne illnesses, or elevated blood lead levels. Reports are maintained at the local level and also entered into the federal NBS database. Disclosure of these records may be affected by IC 16-41-8-1.</p> | DESTROY seven (7) years after creation of record. |
| 6 | HD 23-06 | <p>COMMUNICABLE DISEASE AND ELEVATED BLOOD LEAD LEVEL PREVENTION, SCREENING, AND COMPLIANCE RECORDS</p> <p>Clinic records, health directives, screening programs, compliance statements, and other disease or elevated blood lead level prevention records that are not related to a specific investigation. Disclosure of these records may be affected by IC 16-41-8-1.</p> | DESTROY seven (7) years after creation of record. |
| Environmental Safety | | | |
| 7 | HD 23-07 | <p>VECTOR CONTROL</p> <p>Reports, daily logs, and location records on mosquito spraying and other insect and pest control activities.</p> | DESTROY three (3) years after date of activity. |
| 8 | HD 23-08 | <p>PUBLIC POOL PERMITTING RECORDS</p> <p>Permit applications and pre-opening testing as well as weekly water sample results, bacteria samples, and other test results, inspections, and investigations. Retention based on IC 34-11-2-6.</p> | DESTROY six (6) years after creation of record and after receipt of State Board of Accounts Audit Report and satisfaction of unsettled charges. |
| 9 | HD 23-09 | <p>FOOD SERVICE PERMITTING RECORDS</p> <p>Applications for annual and temporary food service permits, including plan review and inspection documents for ongoing establishments, as well as complaints and investigations of same. Retention based on IC 34-11-2-6.</p> | DESTROY six (6) years after creation of record and after receipt of State Board of Accounts Audit Report and satisfaction of unsettled charges. |



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|----------------------|---------------|---|---|
| 10 | HD 23-10 | <p>PERSONAL SERVICE ESTABLISHMENT AND TECHNICIAN/ARTIST PERMITTING RECORDS</p> <p>Includes permit applications for tattoo, body-piercing, massage and other personal services, inspection, complaint, and investigation records for both establishments and individual technicians/artists. Retention based on IC 34-11-2-6.</p> | DESTROY six (6) years after creation of establishment record or non-renewal of technician/artist permit, and after receipt of State Board of Accounts Audit Report and satisfaction of unsettled charges. |
| 11 | HD 23-11 | <p>PROPERTY-BASED ENVIRONMENTAL PERMIT FILES</p> <p>Records may include, but are not limited to: permit applications, inspections, and related/supporting documents for septic systems, cluster systems, water-supply wells, and other systems, locations and property features containing potential environmental safety issues.</p> | PERMANENT. See Retention Schedule Instructions for microfilming and transfer options. |
| 12 | HD 23-12 | <p>PROPERTY-BASED COMPLAINT, INVESTIGATION, AND COMPLIANCE FILES</p> <p>Complaint and follow-up investigation records, including enforcement orders and compliance verification activities for environmental violations including, but not limited to sewage control, water purity, inappropriate burning, trash, pests, lead, mold, illegal drug manufacturing, and insufficient disease-control measures. Any individual case records arising from a communicable disease complaint or investigation should be managed under Record Series HD 23-05.</p> | DESTROY five (5) after investigation is closed, or when records are no longer useful for agency reference purposes, whichever is later. |
| Vital Records | | | |
| 13 | HD 23-13 | <p>HOME BIRTH PACKET</p> <p>Otherwise known as the Certificate of Live Birth Packet, this is a worksheet submitting information that is used to record non-hospital births.</p> <p>Note: Hospital births and death certificate information are entered directly into a statewide database owned by the Indiana Department of Health, and thus not covered on this retention schedule.</p> <p>Disclosure of these records may be affected by IC 16-37-1-10. Retention based on IC 16-37-2-9.</p> | PERMANENT. See Retention Schedule Instructions for microfilming and transfer options. |
| 14 | HD 23-14 | <p>BIRTH-RELATED AFFIDAVITS AND AMENDMENTS</p> <p>Affidavits and court orders for amendment including, but not limited to: Court Order Determining Parentage, Birth Notifications, Paternity Affidavits, Reports of Legal Change of Name, Record of Adoption, Affidavits Requesting Amendment, and any supporting documents.</p> <p>Disclosure of these records may be affected by IC 16-37-1-10. Retention based on IC 16-37-2-9.</p> | PERMANENT. See Retention Schedule Instructions for microfilming and transfer options. |
| 15 | HD 23-15 | <p>VITAL RECORDS REQUEST DATA</p> <p>Requests or applications for access to, or copies of, vital records such as birth and death certificates and supporting documents. Disclosure of these records may be affected by IC 16-37-1-10. Retention based on IC 16-37-1-7.</p> | PERMANENT. See Retention Schedule Instructions for microfilming and transfer options. |
| 16 | HD 23-16 | <p>BURIAL TRANSIT PERMIT</p> <p>Provisional Notification of Death form or substitutes that contain the same information.</p> | PERMANENT. See Retention Schedule Instructions for microfilming and transfer options. |



Local Health Departments Retention Schedule (HD)

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| ITEM # | RECORD SERIES | TITLE/DESCRIPTION | RETENTION PERIOD |
|--------|---------------|---|--|
| 17 | HD 23-17 | PRE-1907 BIRTH RECORDS Records of birth filed with the local health department prior to October 1907 in the county where the birth occurred. THIS IS A CRITICAL RECORD. | PERMANENT and CRITICAL. See Retention Schedule Instructions for microfilming and transfer options. |
| 18 | HD 23-18 | PRE-1900 DEATH RECORDS Records of deaths filed with the local health department prior to 1900 in the county where the death occurred. THIS IS A CRITICAL RECORD. | PERMANENT and CRITICAL. See Retention Schedule Instructions for microfilming and transfer options. |