



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Horse Racing Commission

Agency: Horse Racing Commission		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION <i>(This Retention Schedule is approved on a space-available basis)</i>	RETENTION PERIOD
1	2005-50	<b>REPORT OF COMMISSION RULING</b> This computer report is organized by the date of the ruling and may represent many types of rulings. The report will also refer to any fines levied.	TRANSFER one (1) printed copy annually to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; DELETE electronic records six (6) years after ruling date.
2	2005-55	<b>PROGRAMS</b> Race programs, test barn chain of custody, lab sample shipment, post-race laboratory, and official Race Day reports.	TRANSFER to the RECORDS CENTER after two (2) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles after an additional eight (8) years.
3	2005-56	<b>JUDGES' SHEETS</b> These records show how horses placed in a race.	TRANSFER to the RECORDS CENTER after two (2) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles after an additional eight (8) years.
4	2005-58	<b>FAIR RACES</b> Race information, including entries and judges' sheets, for special races run only at state and county fairs.	TRANSFER to the RECORDS CENTER after two (2) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles after an additional eight (8) years.
5	2005-40	<b>APPLICATION TO PERMIT RACING MEETINGS - SF 45392</b> The Indiana Horse Racing Commission prescribes the application form and contents in accordance with the IC 4-31-5-1. In addition to the permit, a horse racing meeting applicant must file Disclosure Statement for Officers, Directors, or Owners of Any Equity, Security, or Other Ownership Interest in Applicants for a Permit Pursuant to IC 4-31-5 (SF 43848), Authorization for Release of Personal Information (SF 43849) and an Affidavit (SF 43847). No fee is required. Typical file will also contain specifications and plans for the applicant's physical plant. Rejected applications also contain a letter to the applicant from the Commission Chairperson explaining why the application was rejected. Disclosure may be affected by IC 5-14-3-4. Retention based on IC 34-11-2-7(4).	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles six (6) years after the application is approved or rejected.
6	2005-42	<b>SATELLITE FACILITY LICENSE APPLICATION - SF 45633</b> Satellite facility licenses may be issued to permit holders that meet certain requirements of state statute and administrative rule. Typical files contain the application, a Disclosure Statement (SF 45632), Authorization for Release of Personal Information (SF 45630), an Affidavit (SF 45629), and plans and specifications for applicant's physical plant. Rejected applications will also contain a letter explaining the reason(s) for rejections. Disclosure may be affected by IC 5-14-3-4. Retention based on IC 34-11-2-7(4).	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles six (6) years after the application is approved or rejected.

7	2005-44	<b>LICENSE APPLICATION FOR COMBINATION OWNER LICENSE, SF 46651, AND MULTI-PURPOSE LICENSE APPLICATION, SF 46652</b> Owners, Trainers, Drivers, and other license applicants must complete these applications. Licenses expire on December 31st of each year and no fee is required. Retention based on IC 34-11-2-7(4).	TRANSFER to the RECORDS CENTER three (3) years after the end of the latest licensing year. DESTROY in the RECORDS CENTER after an additional three (3) years.
8	2005-46	<b>LICENSE TYPE REPORT</b> This is a computer-generated report of licenses issued, listed by type of license and name of licensee. It is periodically updated and is a cross-reference to the license applications.	DELETE entries when outdated or replaced.
9	2005-47	<b>E-CODE REPORTS</b> This is a computer report only that can be printed as needed. It may list felony convictions, suspensions, and numerous other items listed in 71 IAC 5-1-14. These may be grounds for the Commission to refuse or deny a license or otherwise penalize a licensee. This report is a cross-reference to the license applications.	DELETE entries when outdated or replaced.
10	2005-48	<b>FINGERPRINT CARDS, FBI FORM FD-258</b> Fingerprints are maintained of all applicants for racing license, either taken by the Horse Racing Commission or from licenses already granted in another racing jurisdiction. Fee required in accordance with 71 IAC 5-1-2. Disclosure may be affected by 28 USC 534.	TRANSFER to the RECORDS CENTER three (3) years after the end of the latest licensing year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY in the RECORDS CENTER after an additional three (3) years.
11	2005-54	<b>NOMINATIONS - SF 49803, SF 49804, and SF 49806</b> Nomination forms and documents showing that all fees have been paid and horse is eligible to race, points standing, and eligibility list for nominated events. Nomination forms are valid for one racing season.	TRANSFER to the RECORDS CENTER after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY in the RECORDS CENTER after an additional ten (10) years.
12	2005-57	<b>BREEDERS' AWARDS</b> Breakdown of how awards are paid out to breeders.	TRANSFER to the RECORDS CENTER after two (2) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY in the RECORDS CENTER after an additional eight (8) years.
13	2016-11	<b>INVESTIGATIVE REPORTS</b> The IHRC conducts investigations of alleged violations of its statute and rules. This record series includes all investigative records and reports created by IHRC investigators, including case reports and investigating reports created by the IHRC and track security.	IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of imaged records for completeness and legibility. DELETE electronic records ten (10) years after case closure.
14	2016-12	<b>INSPECTION REPORTS - SF 48768</b> Inspections are done yearly on mares, foals, and stallions racing in Indiana.	TRANSFER to the RECORDS CENTER after three (3) years. DESTROY in the RECORDS CENTER after an additional four (4) years.
15	2016-13	<b>BREED DEVELOPMENT REGISTRATION</b> For all types: thoroughbred, quarter-horse and Standardbred. Forms and documents showing that all fees have been paid and horse is eligible to race; may include State Forms 48655, 48657, 48658, 49939, 49940, 49942, 50542, 53498, 53921, 54212, or SF 54216. Forms are valid for one racing season.	TRANSFER to the RECORDS CENTER after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY in the RECORDS CENTER after an additional ten (10) years.
16	2016-14	<b>DEATH AND EUTHANASIA REPORT</b> A post-mortem examination may be ordered by the Horse Racing Commission veterinarian for any horse that expires or is euthanized on association grounds. Records may include SF 52627, Purdue ADDL Accession Forms, Purdue ADDL Necropsy Report, and IHRC Consent for Euthanasia Form. Disclosure of these records may be affected by IC 25-38.1-4-5.5.	TRANSFER to the RECORDS CENTER after three (3) years. DESTROY after an additional seven (7) years.
17	2016-15	<b>BLOOD GAS ANALYSIS/REPORTS</b> Disclosure of these records may be affected by, and retention based on, IC 25-38.1-4-5.5.	DESTROY after three (3) years.

18	2016-16	<b>BLEEDER CERTIFICATES/FUROSEMIDE ADMINISTRATION &amp; VET LIST</b> List and certificates maintained by the official veterinarian of horses cleared for administration of furosemide. Disclosure of these records may be affected by IC 25-38.1-4-5.5.	TRANSFER to the RECORDS CENTER after three (3) years. DESTROY after an additional seven (7) years.
19	2016-17	<b>SCRATCH SLIPS: FLAT/HARNESS RACING</b> Judges' notification of scratches (horses removed from race) for medical reasons. Disclosure of these records may be affected by IC 25-38.1-4-5.5.	TRANSFER to the RECORDS CENTER after three (3) years. DESTROY after an additional seven (7) years.
20	2016-18	<b>SAMPLE LAB REPORTS</b> The IHRC regularly has human and equine blood and urine samples tested for presence of drugs or medication prohibited by rules. This series includes all blood and urine sample lab reports or records. Disclosure of these records may be affected by IC 25-38.1-4-5.5.	IMAGE according to IARA standards after three (3) years. DESTROY hard copies after verification of imaged records for completeness and legibility. DELETE electronic records after an additional seven (7) years.
21	2016-20	<b>LICENSEE DISCIPLINARY FILES</b> The IHRC prosecutes violations of its statutes and administrative complaints. Includes Administrative Complaints, Case Reports, Appeals, Transcripts, and Court Records. File is closed when it has been ten (10) years since the last Indiana disciplinary act contained therein.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles after file closure.
22	2016-19	<b>HUMAN DRUG TESTING RESULTS</b> This series includes all records of human drug testing conducted pursuant to commission statute or rule. Disclosure of these records may be affected by IC 5-14-3-4(a)(9).	IMAGE according to IARA standards upon receipt. DESTROY hard copies after verification of imaged records for completeness and legibility. DELETE electronic records after ten (10) years.
23	2016-21	<b>HORSEMEN ASSOCIATION APPLICATIONS</b> Pursuant to IC 4-35-7-12, certain recognized licensure associates may receive a portion of a casino's gross receipts from the previous month. The IHRC identifies the information required to be submitted for recognition. This series includes all records submitted for recognition. Disclosure of these records may be affected by IC 5-14-3-4(a)(4) and (5).	IMAGE according to IARA standards three (3) years after the end of the licensing year. DESTROY hard copies after verification of imaged records for completeness and legibility. DELETE electronic records after an additional three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.