



RECORDS RETENTION AND DISPOSITION SCHEDULE

Lottery Commission, State

Agency: Lottery Commission, State		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION <i>(This Retention Schedule is approved on a space-available basis)</i>	RETENTION PERIOD
1	2007-100	<p>SECURITY AUDIT REPORT</p> <p>Pursuant to IC 4-30-6-7(c), 2004 Edition, after an initial security audit, similar studies of security shall be conducted as the (State Lottery) Commission determines to be appropriate but at least once every two (2) years. Pursuant to IC 4-30-6-7(b), (2004 Edition), part of the security report containing information protected from disclosure by IC 5-14-3 shall not be disclosed by the Commission or by the Governor.</p>	DESTROY four (4) years after completion of the latest security audit.
2	2007-36	<p>ADVERTISING AND MARKETING SAMPLES</p> <p>These include consumer-facing materials that are placed in retailers or selling points, including advertisements, posters, banners, decals, brochures and/or scratch-off tickets.</p>	TRANSFER one (1) sample of each item from Integrated Services Provider to the State Lottery Commission after two (2) years. TRANSFER from agency to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER from RECORDS CENTER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional five (5) years.
3	2007-37	<p>MARKET RESEARCH</p> <p>Includes demographic studies that may be completed. Disclosure of these records may be subject to IC 5-14-3-4(b)(6).</p>	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional three (3) years in the RECORDS CENTER.
4	2007-39	<p>ANNUITANTS PRIZE WINNER CLAIMS RECORDS</p> <p>A typical record consists of related information, information on the available options for receiving winnings, claim forms, IRS Form 5754 that shows multiple claimants splitting winnings, if applicable, the prize winner-s Social Security Number, and the actual winning ticket. Prior to any records destruction, the State Lottery Commission will confirm that all winnings have been fully paid and final settlement of any litigation. Disclosure of these records may be subject to IC 4-1-10.</p>	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year in which annuitant prize winners started receiving their winnings, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional twenty-eight (28) years in the RECORDS CENTER and after confirmation by the STATE LOTTERY COMMISSION that all winnings have been fully paid and after final settlement of any litigation.
5	2007-42	<p>WINNER CLAIMS RECORDS-NON-ANNUITANTS</p> <p>A typical record consists of verification of the total amount of the winnings and miscellaneous claim forms and records and the actual winning ticket. A prize winner-s Social Security Number may be present. Disclosure of these records may be subject to IC 4-1-10, 26 USC 6103(n); and 26 USC 7213(a). Retention based on IC 34-13-1-1.</p>	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year in which prize has been paid, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER.
6	2007-43	<p>MULTI-STATE LOTTERY ASSOCIATION-"MUSL" DRAW REPORTS</p> <p>Multi-state Lottery Draw Reports are used for reconciliations and for payment to that association. Retention based on IC 34-13-1-1, (2004 Edition)</p>	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER.

7	2007-45	DEBT SET-OFF REPORTS In accordance with IC 4-30-11-11(b), this applies to a winner of a prize of more than \$599.99. Disclosure of these records may be subject to IC 4-1-10-1, 26 USC 6103(n), and 26 USC 7213(a). Retention consistent with IC 6-8.1-5-2(b).	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional four (4) years in the RECORDS CENTER.
8	2007-46	ACCOUNTS RECEIVABLES "NSF" DOCUMENTATION Retention based on IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER.
9	2007-47	DEFECTIVE/PREVIOUSLY PAID TICKETS Retention based on IC 34-11-2-7, (2004 Edition)	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional four (4) years in the RECORDS CENTER.
10	2007-48	PROMOTIONAL TICKET LOGS These are records of instant and on-line tickets given away for promotional purposes. Retention consistent with IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER.
11	2007-49	PRIZE PAYMENT DRAW BALANCING FORMS These records consist of a reconciliation of the Internal Control System to the sales reports.	TRANSFER to the RECORDS CENTER after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional five (5) years in the RECORDS CENTER.
12	2007-52	VENDOR ON-LINE TESTING A contracted vendor provides on-line computer services that support the various lotto-style games by means of an Internal Control System (ICS). These are the user acceptance tests performed using the ICS to balance vendor testing. Disclosure of these records may be subject to IC 5-14-3-4(b)(10) and (11), Version b, (2008 Indiana General Assembly) Retention based on IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER ninety (90) days after the end of the fiscal year in which testing changes have been determined to be successful. DESTROY after an additional nine (9) years and three (3) months in the RECORDS CENTER.
13	2007-53	ACCESS REQUEST FORMS State Lottery Commission employees requesting access to that computer system must submit the requests to this Division.	DESTROY after five (5) years.
14	2007-54	SYSTEM CHANGE REPORTS This reports instant validation and inventory system changes.	DESTROY after five (5) years.
15	2007-58	ON-LINE DRAWING REPORTS AND VIDEO RECORD OF DRAWING These computer reports describe the daily drawings for the various games of the Hoosier Lottery.	ELECTRONICALLY TRANSFER to the INDIANA ARCHIVES in a format approved by Indiana Archives staff, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, one (1) year after the end of the fiscal year of the on-line drawing and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
16	2007-59	CRIMINAL FELONY AND MISDEMEANOR INVESTIGATION DOCUMENTATION This record includes reports to law enforcement agencies about illegal gambling. Retention partially based on IC 35-45-3-3, (2007 Indiana General Assembly), and IC 35-41-4-2(a), (2006 Supplement).	TRANSFER to the RECORDS CENTER five (5) years after submission of the report. DESTROY after an additional five (5) years in the RECORDS CENTER.

17	2007-60	<p>STOLEN LOTTERY TICKET REPORTS</p> <p>This is the official record of stolen tickets. The information is also maintained in computer format. Disclosure of these records may be subject to IC 5-14-3-4(b)(1) and IC 5-14-3-4(b)(10) and (11), Version b, (2008 Indiana General Assembly) Retention partially based on IC 35-41-4-2, (2006 Supplement).</p>	<p>TRANSFER paper records to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, six (6) years after the end of the fiscal year of report, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DELETE computer data at the same time.</p>
18	2007-65	<p>GAME PARAMETER MAINTENANCE</p> <p>This is the electronic system record of game prize amounts.</p>	<p>DESTROY after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.</p>
19	2007-67	<p>BACKGROUND INVESTIGATIONS AND AUTHORIZATION TO RELEASE INFORMATION</p> <p>Disclosure of these records may be subject to IC 5-14-3-4(b)(1) and (2), and IC 5-14-3-4(b)(10) and (11), Version b, (2008 Indiana General Assembly). Retention partially based on IC 35-41-4-2, (2006 Supplement).</p>	<p>DESTROY six (6) years after completion of the investigation.</p>
20	2007-68	<p>INTERNAL SECURITY COURIER LOG</p> <p>This is a log of items delivered to/from the State Lottery Commission by a courier.</p>	<p>DESTROY two (2) years after the end of the fiscal year that items were sent or received, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges.</p>
21	2007-70	<p>INVENTORY EXCEPTION LOGS</p> <p>These are logs of defective or missing packs.</p>	<p>DESTROY after three (3) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.</p>
22	2007-71	<p>GAME FILE</p> <p>This consists of electronic and hard copy documents. Contents are: (1) An end of production prize structure (2) validation file (3) testing file (4) reconstruction information (5) A game manifest ticket, that is, the listing of the manufacturer's game contents.</p>	<p>DESTROY five (5) years after the end of the fiscal year in which game concluded, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges.</p>
23	2007-72	<p>RECONCILIATION REPORT</p> <p>This is the electronic record of reconciliation of closed game ticket inventories.</p>	<p>DESTROY after five (5) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.</p>
24	2007-74	<p>DOCUMENTATION ON ALL INVESTIGATIONS</p> <p>Disclosure of these records may be subject to IC 5-14-3-4(b)(1) and IC 5-14-3-4(b)(10) and (11), Version b, (2008 Indiana General Assembly) Retention partially based on IC 35-41-4-2, (2006 Supplement).</p>	<p>TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, six (6) years after completion of the investigation.</p>

25	2007-75	FACILITY CHECK DOCUMENTATION This record is an inspection of State Lottery Commission and Provider facilities regarding alarms, vault security controls and security procedures. Disclosure of these records may be subject to IC 5-14-3-4(b)(10) and (11).	DESTROY three (3) calendar years after the date of the last inspection.
26	2007-76	RECONSTRUCTION REQUEST This is a request submitted to the ticket manufacturer for reconstruction and/or identification of a damaged ticket. Retention based on IC 34-11-2-7, (2004 Edition)	DESTROY six (6) years after the end of the fiscal year in which game concluded, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges.
27	2007-78	INTERNAL INVESTIGATION REPORTS Disclosure of these records may be subject to IC 5-14-3-4(b)(10) and (11), (Version b, 2008 Indiana General Assembly). Retention based on IC 35-41-4-2, (2006 Supplement)	DESTROY five (5) years after completion of the report.
28	2007-79	TICKETS PULLED ON EACH GAME FOR SECURITY TESTING Scratch-off and pull tab tickets have been pulled from distribution for the purpose of security testing. They are documented thru audit reports from the SEcurity Division of the State Lottery Commission. The audit reports are retained with their respective game file folders by the Hoosier Lottery. Disclosure of these records may be subject to IC 5-14-3-4(b)(10), (Version b, 2008 Indiana General Assembly)	DESTROY after conclusion of the testing.
29	2007-80	SECURE ACCESS REPORTS These reports document access attempts reported by the contracted vendor's security system. These are e-mail reports to the Security Director each day and rarely printed. These reports are continuously backed-up. Disclosure of these records may be subject to IC 5-14-3-4(b)(10) and (11), Version b, (2008 Indiana General Assembly) Retention based on IC 35-43-1-4 and IC 35-43-2-2, (2004 Edition)	DELETE from the computer system five (5) years after the date of the security report.
30	2007-81	INTERNAL AUDIT The internal audit contains Lotto drawing reports from the independent auditor and audit reports on the Lottery operations.	DESTROY three (3) years after the end of the fiscal year of creation, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
31	2007-83	CUSTOMER SERVICE LETTERS, E-MAIL AND CALL LOGS Records of customer issues, complaints and calls that are directed and flow from the Provider-s National Resource Center.	DELETE after three (3) years. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining data from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.
32	2007-85	RESEARCH MEMORANDA	TRANSFER to the RECORDS CENTER one (1) year after completion of the project for which the research was needed. DESTROY after an additional one (1) year in the RECORDS CENTER.
33	2007-86	CONSENT TO USE PROHIBITED TERMS In accordance with IC 4-30-14-6 and IC 4-30-14-7, 2004 Edition, the State Lottery Commission must authorize in writing the word "lottery" and similar terms in reference to a lottery other than a lottery conducted under this article.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles, two (2) years after the STATE LOTTERY COMMISSION provides its written consent.

34	2007-87	MINORITY AND WOMEN BUSINESS PLAN AND RELATED MATERIALS Records of the Lottery Commission or of Providers which show vendor outreach and MBE/WBE participation.	TRANSFER any remaining Provider documents from Integrated Services Provider to the State Lottery Commission at the conclusion of the Integrated Services Agreement. TRANSFER all records to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after five (5) years at the State Lottery Commission.
35	2007-88	TRADEMARK RECORDS These are records of trademarks currently owned by the State Lottery Commission, for example, the logo and/or the slogan.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles; when outdated or replaced.
36	2007-89	REGIONAL OFFICE DOCUMENTATION, EQUIPMENT RECORDS AND JANITORIAL SERVICE CONTRACTS Retention based on IC 34-13-1-1.	DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.
37	2007-90	RETAILER APPLICATIONS, CONTRACTS, LICENSES AND BACKGROUND INFORMATION Retention based on IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER after the end of the fiscal year of contract termination and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports. DESTROY after an additional ten (10) years in the RECORDS CENTER.
38	2007-95	EXECUTED WORKING PAPERS Signed working papers that provide the final approved specifications for scratch-off games.	DESTROY one (1) year after conclusion of the game. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.
39	2007-96	RETAILER/VENDOR HEARING RECORDS	ELECTRONICALLY SCAN after the final decision of the STATE LOTTERY COMMISSION. DESTROY paper records twelve (12) months after the final decision of the STATE LOTTERY COMMISSION and verification of the scanned image for accuracy and legibility. DELETE scanned image five (5) years after the final decision of the STATE LOTTERY COMMISSION.
40	2007-97	SMALL CLAIM HEARINGS/JUDGEMENT RECORDS REGARDING RETAILER NON-SUFFICIENT FUNDS (NSFs) Retention based on IC 34-11-2-7, (2004 Edition)	DESTROY six (6) years after collection is made in full or when the repayment probability is deemed unlikely, whichever is later.
41	2008-66	GAME & PROMOTION RULES This includes any rule created for a lottery game or outside of a game rule, including consumer promotion, retailer promotions, and retailer incentive promotions. Rules can change often and the State Lottery Commission will be able to study and compare changes and historical development of various rules.	DESTROY ten (10) years from the promotion ending date or date of game closing, whichever is applicable.

42	2008-67	<p>ENTRIES SUBMITTED IN A NON-TICKETED PROMOTION DRAWING (NON-WINNING ENTRIES)</p> <p>This record of electronic entries is used for purposes of the promotional (such as events, mylottery, twitter and facebook) drawing and not drawn in a player based promotional drawing to include non-winning entries and non-drawn alternate entries. Retention based on 65 IAC 7-1-8.</p>	DESTROY 90 days after the conclusion of the drawing.
43	2008-68	<p>ENTRIES DRAWN IN A NON-TICKETED PROMOTION DRAWING (WINNING ENTRIES)</p> <p>This record of electronic entries drawn in player-based promotional (such as events, mylottery, twitter and facebook) drawing to include winning entries, drawn alternate entries and disqualified drawn entries.</p>	DESTROY 180 days after conclusion of the drawing.
44	2015-12	<p>PROVIDER SUBCONTRACTS</p> <p>subcontracts executed in accordance with the Integrated Services Agreement to provide goods or services to support the Provider in providing such services as required by the Integrated Services Agreement.</p>	DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.
45	2015-13	<p>MYLOTTERY USER PROFILES</p> <p>Personal information collected and maintained for mylottery users.</p>	DESTROY 90 days after a player's mylottery account has been deleted.
46	2015-14	<p>RETAILER INVENTORY AND SALES INFORMATION</p> <p>Electronically stored information regarding tickets, including when tickets are shipped, delivered, sold and/or returned. This includes any accounting adjustments that may be made due to such sales and returns, and shipment records to retailers or regional offices.</p>	DESTROY after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. At the conclusion of the Integrated Services Agreement, TRANSFER any remaining documents from the Integrated Services Provider to the State Lottery Commission, and DESTROY in the agency when they have reached the end of their disposition period.
47	2007-44	<p>INVENTORY LOGS</p> <p>This is a record of the monthly ticket inventory. Retention based on IC 34-13-1-1.</p>	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year of creation, and after receipt of Annual Financial and STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges. DESTROY after an additional eight (8) years in the RECORDS CENTER.
48	2018-19	<p>COUPONS</p> <p>This record includes coupon samples, coupon request documents, and approvals for the creation of coupons.</p>	DESTROY two (2) years after the expiration of coupon.