

OVERSIGHT COMMITTEE ON PUBLIC RECORDS
Regular Meeting March 15, 2006

06-03-15-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, March 15, 2006. In the absence of the Chair and Vice-Chair, Jim Corridan called the meeting to order as Secretary of the Commission on Public Records. Mr. Corridan stated based upon Parliamentary Procedure, he needed to ascertain whether a quorum was present and there was a quorum and secondly call for a Chairman Pro-Tem to be elected to conduct this meeting. Mr. Corridan asked if there were any nominations. Pam Bennett nominated John Jacob to serve as Chairman Pro-tem, Kevin Ober seconded. Being no further nominations, Kevin Ober moved that nominations be closed, seconded by Nancy Turner. Motion carried. The meeting was called to order by Chairman Pro-Tem John Jacob (designee for Bruce Hartman, State Examiner, State Board of Accounts) at 1:35 p.m. in E418, Indiana Government Center South. Members present constituting a quorum: Pam Bennett (Director, Indiana Historical Bureau); Jim Corridan, Director & State Archivist, Indiana Commission on Public Records; Chris Cotterill (Designee for Karl Browning, Director, Indiana Office of Technology); Kevin Ober (designee for Earl A. Goode, Commissioner, Department of Administration); Anita Samuel (Governor's Office); Nancy Turner (lay member). Absent: Karen Davis, Public Access Counselor; Liz Keele (Designee for Todd Rokita, Secretary of State). Commission staff in attendance: Larry Hummel (Records Management); and Beverly Stiers (County and Local Records Management). Guests in attendance: Jesse Lewis for Roberta Brooker (Interim Director, Indiana State Library); Scott Huffman, Family and Social Services Administration; and Rudy Cansino, State Department of Health.

06-03-15-02

NEXT MEETING

John Jacob announced the next meeting would be held April 19, 2006 at 1:30 p.m. in Room E418, IGCS.

06-03-15-03

PREVIOUS MEETING

Pam Bennett moved approval of the minutes of the February 15, 2006 meeting as presented. Nancy Turner seconded. Motion carried.

06-03-15-04

OLD BUSINESS

1. Publication of Nonrule Policy Documents – Pam Bennett stated there is a little progress to report. Chris Cotterill has offered to help, so she will set up a meeting with him to go over the materials, because they are very confusing.
2. Legislative Updates – No report.
3. Email Retention Policy Implementation Review – Jim Corridan stated they are moving forward with the review and expect to have implementation and possibly policy modifications to ICPR's current policy at the June meeting.
4. Record Center Fee Structure Proposal – Jim Corridan stated we are looking at developing a whole new strategy, which is not going to require fees. Rereading of the statute, the Indiana Commission on Public Records has the ability to determine how records destruction should occur. What ICPR has done in the past is require an Agency to consent to destruction. ICPR is reviewing doing the opposite and require an Agency to object to destruction. Mr. Corridan stated ICPR will verify

notification was received by the Agency and if the Agency does not respond, then ICPR will proceed. Mr. Corridan said if an Agency says it is in litigation, then the records will be set aside till some future date, and after that date passes, the Agency will again be asked if the litigation is completed.

5. Scanning Standards for Creating Electronic Records – Jim Corridan stated he was hoping to have actual standards ready to be approved today, but we are not going to do that. ICPR is in the process of testing different things, and it has received some feedback from Agencies asking that our standards look at 200 to 300 dpi. We have scanned records, we have printed out those records, and we are trying to determine what is best going forward to suit all Agencies of Government, so we do not have different standards for different Agencies. Mr. Corridan stated beginning tomorrow the Micrographics Division is going to initiate a pilot program and process Teachers' Retirement Fund scanning backlog, and then determine whether or not ICPR should centralize scanning for Indianapolis based government operations. The applicable standards ICPR may recommend in the future include 300 dpi (dots per inch) for regular typewritten or laser printed papers retained for more than 15 years, and for historic hand-written records a 600 dpi format. Records retained less than 15 years may be scanned at less than 300 dpi.

06-03-15-05

DIRECTOR'S REPORT

1. Jim Corridan stated he would like to see the Commission on Public Records become much more proactive rather than reactive. Mr. Corridan stated a great example is the State Department of Personnel ends up retaining a permanent record, they microfilm a permanent record of everyone's personnel file five (5) years after they leave State Government. Mr. Corridan stated the problem we have is that the copy at State Personnel is not a complete copy and the Agencies all have a complete copy of the personnel files except that the retention schedule for State Government says that you may destroy the permanent Agency copy five (5) years after the employee leaves and then the Personnel Department will microfilm their partially complete file and that becomes the permanent file. Mr. Corridan stated this has been occurring for years, it has never been fixed. ICPR has never fixed this and next month the General Retention Schedule will be coming to the Oversight Committee for approval and that is one of the changes. Mr. Corridan stated these are the kind of items we are beginning to address rather than continue to let things slide by.
2. Mr. Corridan stated the second issue has to do with compliance and again, the Commission on Public Records just completed its initial Office of Management and Budget P.R.O.B.E. where OMB reviews efficiencies and inefficiencies with the Agency and how it can better serve its different customers. Through OMB's efforts they raised issues about other agencies complying with the statutory requirements established for records retention. Mr. Corridan stated ICPR is in the process of developing an overall schedule that will allow us to monitor both the forms side and the records retention/Records Center and Archives compliance issues. Mr. Corridan stated this will be much like the Governor using his red, yellow and green light format.
3. Jim Corridan stated another issue is critical records and the critical records program is off the ground and ICPR is making progress. Mr. Corridan stated ICPR has been working with Homeland Security as has IOT, DOA and others, in the State's COOP and COG program which has to do with the Continued Operations and Continuation of Government in the event of a disaster. Mr. Corridan stated as part of that process Agencies are identifying records, both electronic and paper, that are used and would be necessary in the reestablishment of government should there be some problem. This will help ICPR to identify and duplicate necessary records to make sure that they exist at some other location.

4. Mr. Corridan announced next Monday, March 20, 2006, the State Historic Records Advisory Board (SHRAB) which was created in February by Governor Daniels through Executive Order 2006-01, will have its first meeting. Mr. Corridan stated the Indiana SHRAB has already applied for a \$10,000 Federal grant to help support its mission. Mr. Corridan stated the Indiana SHRAB hopes to hear back in May if that funding comes through. Pam Bennett asked if the grant was part of the National Historic Publications and Records Commission (NHPRC) and Mr. Corridan said yes and this is part of the National Archives which is a good way to support the local Archives both at the State level but also crosses into the electronic records program. There is a \$300,000 grant available for that kind of program which would go a long way to help support some of the things we would like to see happen here.

Pam Bennett stated speaking as a former member of what used to be the State Advisory Committee she really wanted to compliment Jim Corridan and the Governor's office for doing this. Mr. Corridan thanked her for her remarks.

06-03-15-06

AGENCY REQUESTS-RECORDS RETENTION AND DISPOSITION SCHEDULES(S)

The Oversight Committee on Public Records took the following action regarding retention and disposition schedules.

1. COMMISSION ON PUBLIC RECORDS.....02/21/06
Forms Management Division

2. STATE DEPARTMENT OF HEALTH..... 02/27/06
Acute Care Division

John Jacob stated we have two (2) items on the agenda and he believes we can vote on both of them at once so long as we identify each Agency.

In regard to Schedule No. 1, Commission on Public Records, Forms Management, there were no questions or comments.

In regard to Schedule No. 2, State Department of Health, Acute Care Division, there were no questions or comments. Larry Hummel introduced Rudy Cansino, the Records Coordinator for the State Department of Health.

A motion was made by Jim Corridan and seconded by Kevin Ober to approve the Commission on Public Records, Forms Management Division and the State Department of Health, Acute Care Division, Retention Schedules as presented. Motion carried.

06-03-15-07

NEW BUSINESS

None

06-03-15-08

ADJOURNMENT

There being no further business, Pam Bennett moved that the meeting be adjourned. Nancy Turner seconded. Motion carried. Meeting adjourned at 1:45 p.m.