

OVERSIGHT COMMITTEE ON PUBLIC RECORDS
Regular Meeting May 21, 2008

08-5-21-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, May 21, 2008. The meeting was called to order by Chairperson Liz Keele, Designee for Todd Rokita, Secretary of State, at 1:32 p.m. in E418, Indiana Government Center South. Members present constituting a quorum: Pam Bennett, Director, Indiana Historical Bureau; Caroline Bradley, Designee for Gerry Weaver, Director, Indiana Office of Technology; Roberta Brooker, Director, Indiana State Library; Jim Corridan, Director & State Archivist, Indiana Commission on Public Records; John Jacob, Designee for Bruce Hartman, State Examiner, State Board of Accounts; Elizabeth Lerch, Designee for Carrie Henderson, Commissioner, Department of Administration; Amy Miller, Designee for Heather Neal, Public Access Counselor; Anita Samuel, Governor's Office; Nancy Turner, lay member. Members absent: None. Commission staff in attendance: Jeff Roeder, Deputy Director; Larry Hummel and Amy Robinson, Records Management; Beverly Stiers, County and Local Government Records Management. Guests in attendance: Elizabeth McGrath and David Baize, Bureau of Motor Vehicles; Dawn Wilson, Division of Child Services, Scott Huffman, FSSA, Emily Wright, Department of Workforce Development, Cindy Thompson, Hoosier Lottery, and Rudy Cansino, State Department of Health.

08-5-21-02

NEXT MEETING

Liz Keele announced the next meeting would be held June 18, 2008 at 1:30 p.m. in E418, Indiana Government Center South.

08-5-21-03

PREVIOUS MEETING

Caroline Bradley made a motion to approve the minutes of the April 16, 2008 meeting as submitted. Pam Bennett seconded. Motion carried.

08-5-21-04

OLD BUSINESS

1. FSSA Request for Waiver from OCPR Policy No. 06-01

Jim Corridan stated there is no action today.

2. County/Local General Retention Schedule

Jim Corridan stated he is getting feedback from different county associations and office holders but until that process is done, the Commission on Public Records would like to hold off on actually finalizing the County/Local Government General Retention Schedule.

3. Department of Workforce Development Retention Schedule

Liz Keele stated this retention schedule was sent separately to the members via email. Jim Corridan stated Emily Wright, Records Coordinator for the Department of Workforce Development, was present. Mr. Corridan reported as stated in the April minutes that Caroline Bradley had raised issues about how this was drafted and this modified retention schedule specifically states which records are

going to be scanned and the paper destroyed. Mr. Corridan stated John Jacob also raised a question related to State Board of Accounts and records being destroyed after 12 months and would not have given enough time for an audit and this was changed back to two (2) years. Jim Corridan made a motion to adopt the Department of Workforce Development Retention Schedule, seconded by Pam Bennett. Motion carried.

08-5-21-05

DIRECTOR'S REPORT

Jim Corridan reported the Commission on Public Records continues to work with the Department of Administration to attempt to provide adequate space for records that are coming in from various projects across State government. Mr. Corridan stated currently there is a project with FSSA dealing with county offices that have been holding records for decades and those records are now being transferred to the State Records Center and Archives. Mr. Corridan stated this is putting them under a tremendous strain. Mr. Corridan stated in addition to that the Department of Child Services is going through a similar project trying to reduce the amount of space being held at local offices for storage of records. Mr. Corridan stated that ICPR is working with DCS on a pilot project to better protect adoption records by scanning records, then microfilming off of the scanned images. Natural disasters have destroyed and this method should ensure better back ups. Mr. Corridan stated the schedule is being revised to reflect this pilot program. Mr. Corridan stated they are working with them to see if they can reduce the volume of records at the local offices so they do not have to spend so much money on rent for storage of records. Mr. Corridan stated the point being is the Records Center is being inundated, and DOA is working with them to look at ways to expand the Records Center storage facility to include additional space in the warehouse at 30th Street, build additional racks, leveraging other resources that might be available, but it is a rather big problem right now.

Jim Corridan stated Micrographics continues to do a tremendous job and they will probably be close to double the number of images at year end as compared to last year's total. Mr. Corridan stated they are doing a great job, in part thanks to the State Library who has provided additional equipment to help preserve some of the State's history.

Jim Corridan stated they are still proceeding on the Pitney Bowes mail and print mail consolidation of the forms. They are working with the Office of Technology to create a new forms catalog, if it works they way they are anticipating, will make the entire process easier and more searchable and hopefully better for the citizens of Indiana. Mr. Corridan stated the forms catalog will be the master catalog of all forms in the State and anything that is run to be printed will have to first be sent to ICPR to make sure it is in that catalog, because that is where Pitney Bowes will be pulling information from. Mr. Corridan stated they are trying to put in some checks and balances for better control and ultimately have a much better system in the next six (6) months.

08-5-21-06

AGENCY REQUESTS-RECORDS RETENTION AND DISPOSITION SCHEDULES(S)

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

1. DEPARTMENT OF TRANSPORTATION..... 4-09-08
Director and Deputy Directors
2. DEPARTMENT OF TRANSPORTATION.....4-09-08
Commissioner's Office
3. DEPARTMENT OF ADMINISTRATION.....4-11-08
Risk Management
4. DEPARTMENT OF ADMINISTRATION.....4-11-08
General Services
5. DEPARTMENT OF ADMINISTRATION.....4-11-08
Office of the Commissioner
6. STATE DEPARTMENT OF HEALTH.....4-28-08
Office of the Commissioner
7. STATE DEPARTMENT OF HEALTH.....4-28-08
All but Division of Finance
8. BOARD OF ANIMAL HEALTH.....4-30-08
9. STATE DEPARTMENT OF HEALTH.....5-07-08
Handicapped Division
10. STATE DEPARTMENT OF HEALTH.....5-07-08
Division of Health Education
11. STATE LOTTERY COMMISSION.....5-09-08
Multiple Divisions
12. FAMILY AND SOCIAL SERVICES ADMINISTRATION.....5-12-08
Dept. of Human Services, Administrative Services
13. DEPARTMENT OF CHILD SERVICES.....5-15-08
Child Welfare

In regard to Schedule No. 1, Department of Transportation, Director and Deputy Directors, there were no questions or comments. A motion was made by Pam Bennett and seconded by Elizabeth Lerch to approve Schedule No. 1 as submitted. Motion carried.

In regard to Schedule No. 2, Department of Transportation, Commissioner's Office, there were no questions or comments. A motion was made by Caroline Bradley and seconded by Nancy Turner to approve Schedule No. 2 as submitted. Motion carried.

In regard to Schedule No. 3, Department of Administration, Risk Management, there were no questions or comments. A motion was made by Jim Corridan and seconded by Pam Bennett to approve Schedule No. 3 as submitted. Motion carried.

In regard to Schedule No. 4, Department of Administration, General Services, there were no questions or comments. A motion was made by John Jacob and seconded by Caroline Bradley to approve Schedule No. 4 as submitted. Motion carried.

In regard to Schedule No. 5, Department of Administration, Office of the Commissioner, there were no questions or comments. A motion was made by Nancy Turner and seconded by Jim Corridan to approve Schedule No. 5 as submitted. Motion carried.

In regard to Schedule No. 6, State Department of Health, Office of the Commissioner, there were no questions or comments. Larry Hummel introduced Rudy Cansino from the State Department of Health. A motion was made by Anita Samuel and seconded by Jim Corridan to approve Schedule No. 6 as submitted. Motion carried.

In regard to Schedule No. 7, State Department of Health, All but Division of Finance, there were no questions or comments. A motion was made by Elizabeth Lerch and seconded by Caroline Bradley to approve Schedule No. 7 as submitted. Motion carried.

In regard to Schedule No. 8, Board of Animal Health, Jim Corridan asked the members to please note the handout that was distributed, one loose leaf piece of paper, Official Red Meat Slaughter Reports, should be attached to the back of this schedule. Caroline Bradley had a question about this schedule and said it was kind of common to the next few they will be going through, where a lot of the record series are being deleted and they are not being replaced by the General Retention Schedule. It does not say how long ago the records were created and they have varying times they need to be retained, in some cases they are six (6) years, but they are retained by the Agency and how do we handle that from a record retention schedule to make sure they are retained for that period of time. Amy Robinson stated at least in this case they are all gone and they have not been created for long past all of their retention periods. Ms. Robinson stated that is why we include the Compliance Audit to show that there has been or has not been any recent compliance with the transfer to the Archives and Records Center. Jim Corridan stated the ongoing question is if we delete something in a schedule, what happens if those records still exist in the Agency? Caroline Bradley said right now it says destroy after six (6) years, it doesn't say it goes to the Records Center or anything like that, in some cases the Division has not been in existence for years, and sometimes there are comments to that effect, but she saw that it was the same in the next few schedules and she was wondering about that. Ms. Bradley stated she does not have a problem with deleting them, but it seems like there should be

a comment added there that these records have not been created for a long period of time or they have all expired past the retention schedule. Amy Robinson stated overall they do not do that, they do not delete a retention schedule when an Agency is still creating the record. Pam Bennett stated she thinks it would be good to put that in your statement at the top of the schedule like you do with the other ones when there are extenuating circumstances, i.e., there are no existing records.

Jim Corridan asked if Caroline Bradley was suggesting as part of her motion to approve this and Caroline Bradley stated maybe it should be amended to say these records are no longer in existence and Mr. Corridan stated include that in the motion. Amy Robinson stated that really won't be needed because there will not be anything on the schedule to begin with. Mr. Corridan stated the official minutes will request that the reason the records are being deleted because they no longer exist. Ms. Robinson stated they should make that a trend in future retention schedules they specify that it is no longer created by the Agency and has no remaining records. Ms. Bradley stated when there were so many and some that she knew that the area or division had not been around for at least 2-3 years. Ms. Robinson stated in the case where they have found records after the series is deleted, they would still be able to go back to ICPR or the online retention schedule database, because when they delete these from the database, they do not actually remove them, they just mark them out as a deleted record, it was deleted on certain date, so they would be able to find retention if they should need it. Ms. Bradley stated that answers her question.

In regard to Schedule No., 8, Board of Animal Health, Caroline Bradley made a motion to approve this schedule with an amendment stating the records series being deleted that are not replaced by the General Retention Schedule are no longer being created or being retained, seconded by Pam Bennett. Motion carried.

In regard to Schedule No. 9, State Department of Health, Handicapped Division, there were no questions or comments. A motion was made by John Jacob and seconded by Pam Bennett to approve Schedule No. 9 as submitted. Motion carried.

In regard to Schedule No. 10, State Department of Health, Division of Health Education, there were no questions or comments. A motion was made by Nancy Turner and seconded by Elizabeth Lerch to approve Schedule No. 10 as submitted. Motion carried.

In regard to Schedule No. 11, State Lottery Commission, Multiple Divisions, Larry Hummel introduced Cindy Thompson, Information Coordinator for this Agency. Mr. Hummel stated Ms. Thompson contacted him while this retention schedule was being routed for approval and wants to make another amendment to this schedule. Ms. Thompson stated Item No. 18, Record Series 2007-52, states the total retention period to be five (5) years, but they would prefer after studying this that this be 10 years. Jim Corridan asked if their interpretation called for 10 years and Ms. Thompson stated their interpretation is to stay with 10 years. Mr. Corridan stated the Commission on Public Records would have no objection to this being changed. Pam Bennett stated what is needed is a motion to approve Schedule No. 11, State Lottery Commission, Multiple Divisions, with the amendment on Record Series No. 2007-52 stating the retention period be for 10 years instead of five (5) years, seconded by Jim Corridan. Amy Robinson stated it should state the records should be transferred to the Records Center ninety (90) days after testing changes have been determined to be successful and then destroyed after nine (9) years and nine (9) months in the Records Center, total

retention being 10 years. Caroline Bradley stated there appears to be duplicates or from reading the record retention and they may be totally different things, but if you look at the record retention there are things that are multiple entries that have to do with transfer of tickets along with the transfer ticket. Ms. Bradley stated sometimes they are labeled different things, but they appear to be ticket logs. Ms. Thompson stated departments have different functions on those logs, security has their own issues, accounting has their own. Ms. Bradley stated that was her only question concerning documents being kept for different amounts of time or keeping the same document different ways. The motion was moved and seconded. Motion carried.

In regard to Schedule No. 12, Family and Social Services Administration, Dept. of Human Services, Administrative Services, Jim Corridan introduced Scott Huffman from this Agency. Caroline Bradley stated there were some instances where it is stated that record series were going to be deleted but obviously the records no longer exist. Mr. Huffman stated with this schedule most of those records were on the General Retention Schedule. Ms. Bradley stated most of them were, but there are a few that are not. Mr. Huffman stated those records are no longer created and as far as he knows they are created and kept for litigation. A motion was made by Caroline Bradley to approve Schedule No. 12 with an amendment stating the records series being deleted that are not replaced by the General Retention Schedule are no longer being created or being retained, seconded by Pam Bennett. Motion carried.

In regard to Schedule No. 13, Department of Child Services, Child Welfare Division, there were no questions or comments. A motion was made by Nancy Turner and seconded by Anita Samuel to approve Schedule No. 13 as submitted. Motion carried. Jim Corridan introduced Dawn Wilson from this Agency.

08-5-21-07

NEW BUSINESS

08-5-21-08

ADJOURNMENT

There being no further business, Pam Bennett moved that the meeting be adjourned. Nancy Turner seconded. Motion carried. Meeting adjourned at 1:57 p.m.