

OVERSIGHT COMMITTEE ON PUBLIC RECORDS  
Regular Meeting June 20, 2007

07-06-20-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, June 20, 2007. 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: Elizabeth Barrett, Designee for Carrie Henderson, Commissioner, Department of Administration; Pam Bennett, Director, Indiana Historical Bureau; Jim Corridan, Director & State Archivist, Indiana Commission on Public Records; Chris Cotterill, Designee for Gerry Weaver, Director, Indiana Office of Technology; Karen Davis, Public Access Counselor; Anita Samuel, Governor's Office; Nancy Turner, lay member. Members absent: Roberta Brooker, Interim Director, Indiana State Library; John Jacob, Designee for Bruce Hartman, State Examiner, State Board of Accounts. Commission staff in attendance: Jeff Roeder, Deputy Director, Commission on Public Records; Larry Hummel and Amy Robinson, Records Management. Guests in attendance: Carrie Stroud, Lottery Commission; Mike Pavese and Diane Mains, Department of Correction; J. Sebastian Smelko, Law Intern, Governor's Office.

07-06-20-02

NEXT MEETING

Liz Keele announced the next meeting would be held July 18, 2007 at 1:30 p.m. in E418, Indiana Government Center South.

07-06-20-03

PREVIOUS MEETING

Pam Bennett moved approval of the minutes of the May 16, 2007 meeting as presented. Jim Corridan seconded. Motion carried.

07-06-20-04

OLD BUSINESS

None

07-06-20-05

DIRECTOR'S REPORT

Jim Corridan reported in addition to the report filed in writing, the Department of Administration is finalizing a contract for the consolidation of print mail services for State Government across most of the Executive branch. Mr. Corridan stated there will be some impact on the Commission of Public Records related to forms management and forms distribution. These changes will save the state money and will allow ICPR to focus on the consolidation and improvement of forms. Print on demand will increase the speed and ease that the State does business.

Jim Corridan reported that the State Auditor's office and other offices that are in the Capitol that store records in the basement are having their records taken out of the basement of the Capitol building and being transferred to other locations, because of work that is being done in the Capitol. Mr. Corridan stated some of the records are going to the Records Center or Archives where they probably should have been anyway. Other records with active accessibility are at least being transferred to the State Library, where they have a room set up so the Auditor's employees can go through these documents. Because of the HVAC, there is a huge change in the way records will be stored at the Capitol building. Mr. Corridan stated what they are doing is pulling out all the records, putting them in Mayflower transportation trucks, shipping them up to Arab Pest Control, fumigating the trucks so they kill everything like spiders, mites, etc. On the following Monday or Tuesday, they drive them to the Records Center. This will be going

on for probably the next two (2) months, most of the Treasurer's records, all of the Auditor's records, they have already moved LSA records out of there.

07-06-20-06

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 CORRECTION.....05-03-07  
All Correctional Facilities
2. STATE PERSONNEL DEPARTMENT.....05-29-07  
Employee Relations Division
3. STATE DEPARTMENT OF HEALTH... ..06-05-07  
ERC/Vector Borne Disease Program
4. STATE LOTTERY COMMISSION.....05-01-07  
All Divisions
5. STATE DEPARTMENT OF HEALTH.....06-07-07  
Health Care Regulatory Services
6. STATE DEPARTMENT OF HEALTH.....06-07-07  
Public Health Policy Commission

In regard to Schedule No. 1, Department of Correction, All Correctional Facilities, Jim Corridan prefaced the discussion by explaining that the Department of Correction is making an effort to consolidate and standardize records series throughout the various DOC facilities. This effort is designed to creating the equivalent of a general retention schedule for facilities rather than what currently exists. Karen Davis asked based on what Jim Corridan stated, these have, more or less, come from individual facility records retention schedules – do they track them as far as the same retention periods for the same type of records? Mike Pavese, Department of Correction, stated they have standardized the retention period as much as possible and right now because the retention schedules that are in place were developed individually for each facility, they have some cases where the schedules vary from one location to another. Ms. Davis stated the reason she is asking this in particular is that it just seems like, and she cannot generalize, but some of these have no retention beyond that in the facility or the DOC, like in the Records Center or Archives. Ms. Davis stated the records are just destroyed two (2) calendar years after the date of the report with searches or escape records. Ms. Davis asked if that was general practice or how did you determine how long to keep these records. Mr. Pavese stated that their Commissioner wanted to try to keep records the shortest period necessary, and what they looked at was each individual record to try and determine how long they felt that record was needed. Mr. Pavese stated in some cases such as the escape records, much of the information generated in those records is also duplicated in the offender records that they maintain for a period of 10 years following discharge. Mr. Pavese stated they are trying to keep everything as short as possible, but most were based upon potential litigation. Ms. Davis stated one of the concerns she had for example, the escape records, it did look like a copy of the record was not maintained with the offender records, but there will be a copy in an offender record. Mr. Pavese stated yes and they also maintain in terms of escape they have records at their centralized facility that is a listing of all the offenders on escape status and that is maintained until the offender is returned to custody. Jim

Corridan stated he was glad these questions were being asked, because he had the same questions which led to the changes highlighted bold. This was to ensure no one misinterpreted the retention schedule to be regarding all records. Mr. Corridan stated the offender copies are the master copies and will not be destroyed, but the facility does not need to retain that copy internally, apparently they have no administrative need for it based on what Mr. Pavese has explained. Ms. Davis asked if that fairly takes into account some of the other records and the reply was yes, there are copies of the records somewhere else in the system. Mr. Pavese stated if you are going to retain a copy of it why worry about a retention schedule for any of them. Mr. Corridan stated they are in two (2) different record series, so this particular series, because it is retained locally at the facility and have no need for it after a certain point in time can be destroyed. The offender copy, the master copy, is retained for 10 years after the person is released and then transferred to the State Archives where we retain parts of it even longer.

Pam Bennett stated she is assuming that someplace you can gather statistics about how many things you have in that kind of fiche, so that these individual records end up with statistics as well someplace else.

There being no further questions or comments, a motion was made by Pam Bennett and seconded by Chris Cotterill to approve Schedule No. 1 as submitted. Motion carried.

In regard to Schedule No. 2, State Personnel Department, Employee Relations Division, Amy Robinson stated they are deleting one (1) record series and adding it to the General Retention Schedule, amending two (2) record series, and deleting one (1) because the report is no longer created by the Agency. There were no questions or comments. A motion was made by Pam Bennett and seconded by Anita Samuel to approve Schedule No. 2 as submitted. Motion carried.

In regard to Schedule No. 3, State Department of Health, ERC/Vector Borne Disease Program, there were no questions or comments. A motion was made by Nancy Turner and seconded by Karen Davis to approve Schedule No. 3 as submitted. Motion carried.

In regard to Schedule No. 4, State Lottery Commission, All Divisions, Larry Hummel introduced Carrie Stroud, the Information Coordinator for this Agency. Jim Corridan confirmed with Ms. Stroud that these records had already been transferred to the Records Center and asked if they lost their warehouse space. Ms. Stroud stated they did lose their warehouse space. There being no questions or comments, a motion was made by Jim Corridan and seconded by Chris Cotterill to approve Schedule No. 4 as submitted. Motion carried.

In regard to Schedule No. 5, State Department of Health, Health Care Regulatory Services, Mr. Hummel reported the one program is obsolete, the Public Health Policy Commission. There being no questions or comments, a motion was made by Pam Bennett and seconded by Karen Davis to approve Schedule No. 5 as submitted. Motion carried.

In regard to Schedule No. 6, State Department of Health, Public Health Policy Commission, there were no questions or comments. A motion was made by Pam Bennett and seconded by Elizabeth Barrett to approve Schedule No. 6 as submitted. Motion carried.

07-06-20-07  
NEW BUSINESS  
None

07-06-20-08

ADJOURNMENT

There being no further business, Chris Cotterill moved that the meeting be adjourned. Karen Davis seconded. Motion carried. Meeting adjourned at 1:54 p.m.