

OVERSIGHT COMMITTEE ON PUBLIC RECORDS
Regular Meeting November 17, 2010

10-11-17-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, November 17, 2010. The meeting was called to order by Chairperson Liz Keele, Designee for Todd Rokita, Secretary of State at 1:30 p.m. in Room 401, Indiana State Library. Members present constituting a quorum: Pam Bennett, Director, Indiana Historical Bureau; Caroline Bradley, Designee for Brian Arrowood, Chief Information Officer, 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; Andrew Kossack, Public Access Counselor; Connie Smith, Designee for Robert D. Wynkoop, Commissioner, Department of Administration. Members absent: Anita Samuel, Governor's Office. Commission staff in attendance: Ted Cotterill, Deputy Director; Wes Carmony and Amy Robinson, Records Management; Beverly Stiers, County and Local Government Records Management. Guests in attendance: Rudy Cansino, State Department of Health.

10-11-17-02

NEXT MEETING

Liz Keele announced the next meeting would be held December 15, 2010 at 1:30 p.m. in Room 401, Indiana State Library.

10-11-17-03

PREVIOUS MEETING

Caroline Bradley moved approval of the October 20, 2010 minutes as presented, seconded by Pam Bennett. Motion carried.

10-11-17-04

OLD BUSINESS

1. State Department of Health, Medical Radiological Services Division Retention Schedule
Jim Corridan stated this has been revisited by the Commission on Public Records in conjunction with Rudy Cansino from the State Department of Health and the changes made from what was originally proposed to the Oversight Committee on Record Series 79-3660 now lists the retention period as destroy 40 years after agency and division approval of application, where before it was destroy when the individual is deceased. Mr. Corridan stated there was some question about how the State Department of Health would necessarily know that someone had passed away. Mr. Corridan stated this will allow a trigger after 40 years. Pam Bennett stated she questioned this because Caroline Bradley brought this up last time, but on Record Series 85-167 on page 2, this is what she referred to as in the same schedule we were approving, this is the language we used – destroy/delete when the certified technologist has reached age 65 and has not renewed in two (2) renewal cycles (four (4) calendar years), which seems to be pretty straightforward. Caroline Bradley stated she thinks either one serves the purpose. Ms. Bradley asked if this was a one-time application and Mr. Cansino replied yes. Ms. Bradley asked if there are renewals on this and Ms. Cansino said yes. Ms. Bennett stated so there could be someone out there still working as a Health Physicist, but their application would be gone, is that correct? Mr. Cansino stated the original decision was to destroy when the individual is deceased, but you want something more solid, so the Director indicated that o.k. after 40 years and if Indiana State Department of Health does not hear from them it would be destroyed. Ms. Bennett said that is not stated in the retention period column for this record series. Mr. Corridan stated what he

would like to do is adopt the retention schedule as drafted for Record Series 79-3660 and then we will go back one more time and just verify whether this comes through renewals or what the process is and if we can get both languages to be the same. Mr. Corridan stated if there is a reason not to, that is o.k. and we will have to revisit, but if we can it will probably be cleaner to use the retention language as now stated for Record Series 85-167, Destroy/Delete when the certified technologist has reached age 65 and has not renewed in two (2) renewal cycles (four (4) calendar years.) Ms. Bennett asked if we want to just do that and Mr. Corridan stated to go ahead and adopt it. Amy Robinson stated it might be easier to amend retention period on 79-3660 to be same as 85-167 and then it would not have to be redone. Mr. Corridan stated there may be some reason why it is 40 years and they do not want the other language. Caroline Bradley said the other question is 40 years long enough. Mr. Corridan stated he had a brief conversation three (3) or four (4) months ago with the Director and he thought these were renewed every two (2) years, so that is why he would like to adopt this as submitted today and then we will bring it back next month as informational unless we correct them to both be the same. Pam Bennett asked if the motion would be to adopt this retention schedule as submitted today, and Mr. Corridan stated ICPR will return with additional information to the Oversight Committee, and this was his motion. Pam Bennett seconded this motion, motion carried.

2. State Department of Health, Long Term Care

Jim Corridan stated this morning a group met and Ted Cotterill reported everything is good on the deletions on which they talked; i.e. Record Series 84-264 on page 2 is covered by the Professional Licensing Agency database and he confirmed that with PLA's webmaster. Mr. Cotterill then reported Record Series 84-270 on page 3 is covered by GRACC 2 and that would have been under health finance. Mr. Cotterill stated Record Series 98-030 is the only one they would like to change and remove but keep the language exactly the same for the time being. Mr. Cotterill stated they will check on this as it appears those records are not in the PLA database. Caroline Bradley asked on Record Series 84-264, even though it is in the PLA database, we still do not have a Record Series for it and Amy Robinson said it is 90-118 on the PLA schedule. Mr. Corridan then asked about 98-030, and Mr. Cotterill stated it is on page 4, we would like to keep it as is, not removing it.

Jim Corridan moved adoption of State Department of Health, Long Term Care Retention Schedule with the one amendment presented to us which we will leave 98-030 as originally proposed, not deleting it. Andrew Kossack seconded, motion carried. Liz Keele asked Mr. Cotterill about 84-270 and Mr. Corridan stated this is covered by GRACC 2.

3. State Department of Health, Silvercrest

Jim Corridan stated the only issue from last month on this schedule was that Pam Bennett had suggested that language be added so that when the timeframes are gone, this does not have to come back to the Oversight Committee on Public Records for deletion. Amy Robinson stated there is just one (1) Record Series still at the Records Center so it will remain on the schedule until the last record is destroyed, which is Record Series 79-1096. Connie Smith made a motion to adopt Silvercrest Children's Developmental Center Retention Schedule, seconded by Andrew Kossack. Motion carried.

4. Secretary of State, All Divisions

Jim Corridan stated they anticipate having this before the Oversight Committee at the December meeting. Mr. Corridan stated they are still working with the Securities Division to make some additional changes.

5. Alcohol and Tobacco Commission, All Divisions

Jim Corridan stated they anticipate having this before the Oversight Committee at the December meeting.

10-11-17-05

DIRECTOR'S REPORT

Jim Corridan stated Pam Bennett suggested under the Old Business items we should list what record series is the issue instead of having to review the entire retention schedule again. Mr. Corridan stated that the Digital Archives continues to be well received and 80% of all the searches out of the 10 States for the month of October were Indiana searches. Mr. Corridan stated he has been asked to go to the Maryland State Archives to speak at the request of the Library of Congress to about 10 State Libraries and 10 State Archives about the Digital Archives project and he might also be asked to go to the West Coast to Washington State at some point, all paid for by the Federal Government. Mr. Corridan reported that Micrographics continues to do well and overall ICPR is o.k. Roberta Brooker asked how they are able to do so much in Micrographics and Mr. Corridan stated at the beginning of last year they have ramped up their projects because they have a number of Agencies that are taking microfilm and converting it to digital images and so that is all being added into the total. Mr. Corridan also reported they have increased their hardware capacity and he thinks they are going to be adding an additional scanning device. Mr. Corridan stated ICPR has tremendous scanning digitization and microfilming capacity which is all positive. Mr. Corridan stated they are running at 100% capacity on the Kodak archive writers which are the machines that take digital images and convert to microfilm. Mr. Corridan stated they have a massive backlog, so they are looking at purchasing additional equipment to accommodate IDEM's needs. Mr. Corridan stated the demand is building up faster than we can accommodate them right now. Mr. Corridan stated they can do large items now and he needs to bring the price schedule to the next meeting. Mr. Corridan stated it is going to depend on the price of the equipment, amount of labor, etc.

Jim Corridan reported that IOT and ICPR have been working on electronic content management program. Mr. Corridan stated it is going to be an enterprise wide system, so all of State Government could use the same Oracle based system to retain and access their electronic records, either items that are born digitally or scanned into the system. Mr. Corridan stated they are working with IOT to develop the necessary tools and then put the necessary data in to make this function across State Government. Mr. Corridan stated it looks like they will be putting all the physical storage at the Records Center will go into this program and he believes Agencies will have the ability to access that and see that they have a box out there and they want to retrieve a file, they can make a request on the system and retrieve that file. Mr. Corridan stated when it is set up it will automatically delete electronic records or send a notice to the owner of the records that these electronic records have met their retention period and will be prompted to delete those records and there will be a workflow to approve that process. Mr. Corridan stated we should, over time, end up cleaning up a lot of electronic records that are just being stored places. Mr. Corridan stated those records that should be kept permanently will be siphoned off the system and into an electronic records repository that the Archives will control and manage. Mr. Corridan stated there are a lot of significant things happening and in the next few months there will be a lot of front end work, probably take us a year or more to get everything figured out and in place. Mr. Corridan stated DOC, IDEM, INDOT are already all signed up and he thinks DNR is ready to go next. Mr. Corridan stated one of the issues they are dealing with is massive Agencies and it is going to take a lot of effort to get all pulled together. Mr. Corridan stated another thing is the system is created in such a way so that if Ms. Bradley always entered accounting records for IOT it would say is this a GRACC 1 or GRACC 2 record, those will be her options, she would not be able to say it is an IOT whatever. Mr. Corridan stated based on her active directory log-in we can get it down to a point where these are the kind of things she does or these are the only options she has to enter into the system which will immediately apply the right retention to the records as she enters them. Mr. Corridan stated this is part of the reason we have had the Oversight Committee working for the last three (3) years trying to simplify the retention schedules and record

series and getting the State down to a more manageable number because it is going to fall back on all of our employees to figure out how long something is supposed to be kept.

Jim Corridan stated the second issue is electronic records and through a partnership with the Office of Technology, IOT has purchased an enterprise wide electronic management system which will allow agencies to pay fees to IOT to manage their electronic records, digital images. Some agencies are scanning everything and then storing them on line for access, their ongoing business needs. Mr. Corridan stated there will be a massive repository and the product is coming from Oracle. Mr. Corridan reported the State has already made the purchase and IDEM, INDOT and DOC are all working toward implementation of this. Mr. Corridan stated it will create a significant opportunity and challenge for the Commission on Public Records to help manage the electronic records – we will need to be applying retention schedules into this system and it will automatically manage the records within the system then, so if INDOT has records and the retention comes up, it will be prompted – do you want to delete your accounting records at this point when they meet the retention schedule 10 years after the information was added. Mr. Corridan stated the concept is that the person who is entering data, because all of these electronic records are based on user initiated information; the user rather than the records clerk is entering all this information. Mr. Corridan stated the user will have a drop down box that will say is this kind of record, this kind of record, this kind of record, based on your active directory identification. Mr. Corridan stated Microsoft active directory will help identify it is an Indiana Historic Bureau employee and their role is accounting. Mr. Corridan stated those are the choices they use when they do their job versus someone from FSSA that is doing something else. Mr. Corridan stated there should be a lot of ways to scale this down so no one has to search through 5,000 record series to figure out what they are supposed to do. Mr. Corridan stated that should help us significantly in managing electronic records.

Mr. Corridan stated they are excited about the opportunity to get this moving and it should move us into a whole different realm and will be very interesting to see how complex this is. Mr. Corridan stated he is not sure what all this will mean as far as the Oversight Committee, our expectations that we will find a lot of records that do not exist on retention schedules that have been generated electronically or created electronically that need to come to the Oversight Committee so that retention schedules apply to them.

10-11-17-06

AGENCY REQUESTS-RECORDS RETENTION AND DISPOSITION SCHEDULES(S)

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

1. LEGISLATIVE SERVICES AGENCY

Indiana Administrative Code and Indiana Register

A motion was made by Pam Bennett and seconded by Caroline Bradley to approve Schedule No. 1 as submitted. Motion carried.

2. DEPARTMENT OF CORRECTION

Westville Correctional Facility

Jim Corridan stated there was no one present from the Department of Correction, but he wanted to mention that he has met with them and talked to them about all of their facility schedules. Mr. Corridan stated this is the first facility to come forward, but his intention is that by next month all of their facility schedules will be deleted and everything will move to the Department of Correction. Mr. Corridan stated right now nearly every facility has its own retention schedule and it is not necessary. Mr. Corridan stated there just needs to be a facilities retention schedule and they all have the same types of records, so again as part of

our streamline process, it is likely in the next couple of months we will have several deletions coming before the Oversight Committee from the Department of Correction and this is the first one. Caroline Bradley asked if we had adopted a general schedule for all of the facilities and Mr. Corridan stated they already exist. A motion was made by Pam Bennett and seconded by John Jacob to approve Schedule 2 as submitted. Motion carried.

10-11-17-07

NEW BUSINESS

Jim Corridan stated we are joined by a new member of our Records Management team, Wes Carmony. Mr. Corridan stated Wes comes from the State Archives and is working with different Agencies in the same capacity that Larry Hummel and Amy Robinson do to help develop the retention schedules. Larry Hummel is now working at the Records Center for the Archives processing records and using his knowledge to help ICPR sample the massive backlog of records there, so we can reduce our storage problems at the Records Center.

10-11-17-08

ADJOURNMENT

There being no further business, John Jacob moved that the meeting be adjourned. Caroline Bradley seconded. Motion carried. Meeting adjourned at 1:53 p.m.