

# ARTICLE 6.1. PUBLIC RECORDS; CONFIDENTIAL INFORMATION; CONFIDENTIALITY AGREEMENTS

## Rule 1. Purpose and Applicability

### 329 IAC 6.1-1-1 Purpose

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3; IC 13-14-11-5

Sec. 1. The purpose of this article is to provide the following:

- (1) The policy of the solid waste management board, to be followed by the department, in making public records available for public review and copying in accordance with IC 5-14-3 unless the information is determined to be confidential.
- (2) The provisions for protecting legitimate interests in the confidentiality of certain information.
- (3) The criteria to be used for determining the legitimacy of confidentiality claims in accordance with IC 5-14-3.
- (4) The procedures that the commissioner shall use in making determinations on the confidentiality of information.
- (5) The form of confidentiality agreements required by IC 13-14-11-5 from employees of the department and from persons under contract to the department.

*(Solid Waste Management Division; 329 IAC 6.1-1-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 557; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

### 329 IAC 6.1-1-2 Applicability

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-14-11

Sec. 2. This article applies to the following:

- (1) Information received on or after the effective date of this article from a person requesting confidential treatment of that information. The information may be either:
  - (A) treated as a single unit of information even if the information is comprised of a collection of individual items of information; or
  - (B) separated into two (2) or more categories to afford different treatment to the information in each category because the claim covers only a portion of the information.
- (2) Employees of the department and contractors who:
  - (A) make the confidentiality determination;
  - (B) handle the confidential information; or
  - (C) maintain the file of confidential information.

*(Solid Waste Management Division; 329 IAC 6.1-1-2; filed Nov 4, 1999, 10:19 a.m.: 23 IR 557; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

## Rule 2. Definitions

### 329 IAC 6.1-2-1 Definitions

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-11-2

Sec. 1. The definitions in this rule apply throughout this article. *(Solid Waste Management Division; 329 IAC 6.1-2-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 557; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

### 329 IAC 6.1-2-2 "Available to the public" defined

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3

Sec. 2. "Available to the public" means a public record, as defined by IC 5-14-3, but excluding public records described in 329 IAC 6.1-3-1(b), that the department shall furnish to any member of the public upon request, or may otherwise make public. *(Solid Waste Management Division; 329 IAC 6.1-2-2; filed Nov 4, 1999, 10:19 a.m.: 23 IR 557; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-2-3 "Board" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-11-2-17

Sec. 3. "Board" means the solid waste management board. *(Solid Waste Management Division; 329 IAC 6.1-2-3; filed Nov 4, 1999, 10:19 a.m.: 23 IR 557; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-2-4 "Claim of confidentiality" or "claim" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3-4; IC 13-14-11

Sec. 4. "Claim of confidentiality" or "claim" means a claim or assertion that information be treated as confidential because the information is excepted from disclosure under IC 5-14-3-4(a) or IC 5-14-3-4(b). *(Solid Waste Management Division; 329 IAC 6.1-2-4; filed Nov 4, 1999, 10:19 a.m.: 23 IR 557; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-2-5 "Commissioner" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-11-2-35

Sec. 5. "Commissioner" means the commissioner of the department. *(Solid Waste Management Division; 329 IAC 6.1-2-5; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-2-6 "Contractor" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-14-11

Sec. 6. "Contractor" means:

(1) any:

- (A) person;
- (B) association;
- (C) partnership;
- (D) corporation;
- (E) business;
- (F) educational institution;
- (G) governmental body; or
- (H) other entity;

performing work under contract as an authorized representative of the department; and

(2) includes a subcontractor of the contractor and employees or officers of the contractor and subcontractor, which have been authorized by the department through the contract to have access to confidential information.

*(Solid Waste Management Division; 329 IAC 6.1-2-6; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-2-7 "Department" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-11-2-51

Sec. 7. "Department" means the department of environmental management. (*Solid Waste Management Division; 329 IAC 6.1-2-7; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

**329 IAC 6.1-2-8 "Information" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3; IC 13-14-11

Sec. 8. "Information" means any of the following, regardless of physical form or characteristics, without limitation:

- (1) Written or printed material.
- (2) Data processing card decks, printouts, and tapes.
- (3) Maps.
- (4) Charts.
- (5) Paintings.
- (6) Photographs.
- (7) Drawings.
- (8) Engravings.
- (9) Sketches.
- (10) Samples.
- (11) Working notes and papers.
- (12) Reproductions of such things by any means or process.
- (13) Sound, voice, or electronic recordings in any form, in the possession of the department by which knowledge has been preserved and may be retrieved.
- (14) Any other material.

(*Solid Waste Management Division; 329 IAC 6.1-2-8; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

**329 IAC 6.1-2-9 "Person" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-11-2-158

Sec. 9. "Person" has the meaning set forth in IC 13-11-2-158(a). (*Solid Waste Management Division; 329 IAC 6.1-2-9; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

**329 IAC 6.1-2-10 "Public record" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3-2

Sec. 10. "Public record" has the meaning set forth in IC 5-14-3-2. (*Solid Waste Management Division; 329 IAC 6.1-2-10; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

**329 IAC 6.1-2-11 "Trade secret" defined**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 24-2-3-2

Sec. 11. "Trade secret" has the meaning set forth in IC 24-2-3-2. (*Solid Waste Management Division; 329 IAC 6.1-2-11;*

*filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

### **Rule 3. Access to Public Records**

#### **329 IAC 6.1-3-1 Access to public records**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3-4; IC 5-14-3-8; IC 13-14-11

Sec. 1. (a) The provisions of IC 5-14-3 apply to all public records. All information received by the department is considered a public record.

(b) Public records are available to the public, except for any of the following public records:

(1) Received under or supporting a claim of confidentiality.

(2) Under review or appeal to determine if confidential under IC 5-14-3-4(a) or IC 5-14-3-4(b).

(3) The commissioner has determined to be confidential under IC 5-14-3-4(a) or IC 5-14-3-4(b).

(c) Public records that are available to the public may be copied by the department upon payment of a fee provided for in IC 5-14-3-8. The fee shall be paid to the cashier's office at the department. (*Solid Waste Management Division; 329 IAC 6.1-3-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 558; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

### **Rule 4. Confidentiality Claims**

#### **329 IAC 6.1-4-1 Confidentiality claims**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3-4; IC 13-14-11-3; IC 24-2-3-2

Sec. 1. (a) A person submitting information to the department for which confidential treatment is requested shall make a written claim of confidentiality under subsections (c) and (d) at the time of submittal of the information.

(b) A person may request confidential treatment of information at the time the information is acquired through the actions of the department, such as inspections. The written claim for confidential treatment may be broad, but must be sufficiently clear to allow for accurate identification of the information claimed to be confidential. The supporting information required under subsection (d) must be submitted to the commissioner within five (5) working days from the time the information claimed as confidential is acquired by the department.

(c) A person submitting a claim of confidentiality shall designate and segregate the information and the supporting information to which the claim applies in a manner that is sufficiently clear to allow the department to identify all confidential claim materials. One (1) of the following methods shall be used to indicate that the information and any of the supporting information under subsection (d) is claimed as confidential:

(1) Attaching a cover sheet instructing which information is to be treated as confidential.

(2) Marking each page or item of information as:

(A) confidential;

(B) confidential claim material;

(C) trade secrets; or

(D) confidential business information.

(d) The person submitting the claim shall provide supporting information to show that the information claimed as confidential is entitled to confidential treatment under IC 5-14-3, including the following:

(1) State that the information is a specific type of confidential information under IC 5-14-3-4(a) and IC 13-14-11-3(a)(1) or IC 5-14-3-4(b) and IC 13-14-11-3(a)(2). If the information is confidential under IC 5-14-3-4(a)(4), the person submitting the claim shall provide a narrative statement or documents supporting the claim that the information meets the necessary elements of a trade secret as defined at IC 24-2-3-2.

(2) State whether the information has previously been determined to be confidential by the commissioner.

(3) Indicate the portion of the supporting information claimed as confidential as specified in subsection (c).

(4) Specify the period of time for which confidentiality is requested if the period is to be other than seventy-five (75) years as provided in IC 5-14-3-4(e).

(5) Whenever the claim is based on the commissioner's discretionary power to grant confidential status to information under IC 5-14-3-4(b) and IC 13-14-11-3(a)(2), state all of the following:

(A) The statute, rule, permit, or other authority that requires the submission of such information.

(B) Facts demonstrating that the information may be treated as confidential under IC 5-14-3-4(b).

(e) The information and supporting information claimed as confidential shall be treated as confidential until the commissioner makes a determination under 329 IAC 6.1-5. (*Solid Waste Management Division; 329 IAC 6.1-4-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 559; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

## **Rule 5. Determinations on Claim of Confidentiality**

### **329 IAC 6.1-5-1 Determinations**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-21.5; IC 5-14-3; IC 13-14-11

Sec. 1. The commissioner shall make a determination on a claim of confidentiality submitted after the effective date of this article in accordance with this article. The determination shall be made in accordance with IC 5-14-3-4 and IC 13-14-11. (*Solid Waste Management Division; 329 IAC 6.1-5-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 559; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

### **329 IAC 6.1-5-2 Request for additional supporting information**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-21.5-3-1; IC 13-14-11

Sec. 2. (a) The commissioner may request additional supporting information regarding a claim of confidentiality. Any additional supporting information claimed as confidential shall be treated as confidential until the commissioner makes a determination as required by section 1 of this rule.

(b) If the commissioner intends to make a determination to deny a claim of confidentiality, the commissioner shall notify the person in writing by certified mail, with return receipt requested, stating the following:

(1) Additional supporting information shall be submitted in accordance with 329 IAC 6.1-4-1(c).

(2) The person has fifteen (15) days from the date of receipt of the notice to respond.

(3) A submission shall be completed in the time frames and by the methods specified by IC 4-21.5-3-1(f). The person shall notify the department by telephone or facsimile within the fifteen (15) day period under subdivision (2) that additional supporting information has been mailed or deposited with a private carrier.

(4) Failure to submit any additional supporting information within fifteen (15) days under subdivision (2) or within the time allowed under subsection (d) to provide additional information in support of the claim shall result in a determination based on the information and any supporting information already received.

(5) Any additional supporting information claimed as confidential shall be treated as confidential until the commissioner makes a determination as required by section 1 of this rule.

(c) The commissioner shall make a determination after receipt of the additional supporting information submitted under subsection (b). The commissioner shall notify the person under subsection (b) of the intent to deny a claim of confidentiality only once before making a determination under section 3 or 4 of this rule. If the person fails to submit additional supporting information in accordance with subsection (b), the commissioner shall make a determination based on the information and any supporting information already received.

(d) The commissioner may approve an extension of time for submitting additional supporting information if the person makes a request in writing within the fifteen (15) days allowed in subsection (b)(2) and (b)(3). The extension shall not exceed fifteen (15) days. (*Solid Waste Management Division; 329 IAC 6.1-5-2; filed Nov 4, 1999, 10:19 a.m.: 23 IR 559; errata filed Dec 6, 1999, 9:44 a.m.: 23 IR 813; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

**329 IAC 6.1-5-3 Approval determination**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-21.5; IC 13-14-11

Sec. 3. (a) If the commissioner determines that the information shall be held confidential for the full period requested by the person who made the claim under 329 IAC 6.1-4-1(d), the commissioner shall do all of the following:

- (1) Notify the person in writing of the determination.
- (2) Maintain the information as confidential for the period requested under 329 IAC 6.1-4-1(d) unless ordered by a court of competent jurisdiction to permit access to the information for inspection and copying.

(b) If the commissioner determines that the information is confidential but the period of confidential treatment shall be shorter than that requested by the person under 329 IAC 6.1-4-1(d), the commissioner shall notify the person in writing by certified mail, with return receipt requested, stating the following:

- (1) The basis for the determination.
- (2) The period of time of confidentiality, after which the information will be available to the public.
- (3) The right to appeal the commissioner's determination.
- (4) The procedure for appealing the commissioner's determination, including the time period provided by IC 4-21.5.

*(Solid Waste Management Division; 329 IAC 6.1-5-3; filed Nov 4, 1999, 10:19 a.m.: 23 IR 560; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-5-4 Denial of claim**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-21.5; IC 13-14-11

Sec. 4. If the commissioner determines that the information is not confidential based on 329 IAC 6.1-4, the commissioner shall notify the person who submitted the claim of such determination. The notification shall be in writing, sent certified mail, with return receipt requested, and must state the following:

- (1) The basis for the determination.
- (2) Notice that the person may appeal the commissioner's determination.
- (3) The procedure for appealing the commissioner's determination, including the time period provided by IC 4-21.5.
- (4) Notice that, if the determination is timely appealed, the information shall be treated as confidential until the petition for review is denied or the commissioner is ordered not to treat the information as confidential.
- (5) Notice that, unless the person timely appeals the determination, the information shall become available to the public.

*(Solid Waste Management Division; 329 IAC 6.1-5-4; filed Nov 4, 1999, 10:19 a.m.: 23 IR 560; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

**329 IAC 6.1-5-5 Modification of determinations**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3; IC 13-14-11

Sec. 5. (a) The commissioner's determination that information is confidential shall continue in effect for the period of time specified in the determination under section 3 of this rule unless the commissioner issues a revised determination stating that the determination under section 1 of this rule no longer accurately describes the information's confidentiality due to any of the following:

- (1) Change in applicable law.
- (2) Newly-discovered or changed facts.
- (3) A clearly erroneous previous determination.

(b) If the commissioner concludes that such a determination under section 1 of this rule is of questionable validity, the commissioner shall do the following:

- (1) Inform the person in writing by certified mail, with return receipt requested.

(2) Afford the person an opportunity to furnish additional information on pertinent issues on the matter in accordance with section 2(b) and 2(d) of this rule.

(c) After consideration of any information timely submitted under subsection (b)(2), the commissioner may make any of the following determinations:

(1) The information is not confidential.

(2) The period of entitlement to treatment as confidential information shall end at an earlier date than determined under section 1 of this rule.

(d) After the determination provided for by subsection (c) is made, the commissioner shall notify the person in writing by certified mail, with return receipt requested, stating one (1) of the following:

(1) That the claim of confidentiality has been approved as provided for in section 3 of this rule.

(2) That the claim of confidentiality has been denied as provided for in section 4 of this rule.

*(Solid Waste Management Division; 329 IAC 6.1-5-5; filed Nov 4, 1999, 10:19 a.m.: 23 IR 560; errata filed Dec 6, 1999, 9:44 a.m.: 23 IR 813; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

## **Rule 6. Appeals**

### **329 IAC 6.1-6-1 Administrative appeal**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-21.5-3

Sec. 1. An appeal of a determination shall be:

(1) in accordance with IC 4-21.5-3 and rules of the office of environmental adjudication; and

(2) made by filing a written petition for review with the office of environmental adjudication in accordance with IC 4-21.5-3.

A copy of the petition shall be served on the commissioner concurrent with such filing. *(Solid Waste Management Division; 329 IAC 6.1-6-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 561; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

### **329 IAC 6.1-6-2 Judicial review**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-21.5-5

Sec. 2. Judicial review of a final order of the environmental law judge shall be in accordance with IC 4-21.5-5. *(Solid Waste Management Division; 329 IAC 6.1-6-2; filed Nov 4, 1999, 10:19 a.m.: 23 IR 561; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

## **Rule 7. Authorized Disclosure of Confidential Information**

### **329 IAC 6.1-7-1 Authorized disclosure of confidential information**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 13-14-11-6

Sec. 1. Confidential information may be disclosed by the department only in accordance with IC 13-14-11-6. *(Solid Waste Management Division; 329 IAC 6.1-7-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 561; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

## **Rule 8. Wrongful Disclosure Penalties**

### **329 IAC 6.1-8-1 Wrongful disclosure penalties**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 4-15; IC 5-14-3-3; IC 5-14-3-10; IC 13-14-11; IC 35-50-3-2

Sec. 1. Penalties for wrongful disclosure of confidential information are contained in IC 5-14-3-10. (*Solid Waste Management Division; 329 IAC 6.1-8-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 561; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535*)

## **Rule 9. Confidentiality Agreements**

### **329 IAC 6.1-9-1 Confidentiality agreements**

Authority: IC 13-14-8; IC 13-14-9; IC 13-19-3

Affected: IC 5-14-3-10; IC 13-14-11-5

Sec. 1. (a) Persons employed, contracted, or subcontracted by the department, prior to accessing or being granted access to confidential information, must execute a confidentiality agreement enforceable by:

(1) the state; and

(2) the submitter of the information.

(b) The following is the confidentiality agreement form for state employees:

#### **CONFIDENTIALITY AGREEMENT FOR STATE EMPLOYEES**

I understand that I will have access to certain confidential information submitted to the Indiana Department of Environmental Management pursuant to state or federal statute or rule. This access has been granted in accordance with my official duties as an employee of the state of Indiana.

I understand that confidential information may not be disclosed except as authorized by rules of the board as contained in 329 IAC 6.1. My obligation not to disclose such confidential information includes disclosure to any other employee, officer, or authorized representative of the state or of the United States unless such employee, officer, or authorized representative is concerned with carrying out or implementing IC 13 or when the information is relevant in any proceeding related to enforcement.

I understand that, under Indiana statute IC 5-14-3-10, I am liable for a possible fine of up to five thousand dollars (\$5,000) or imprisonment for up to one (1) year, or both, if I knowingly or intentionally disclose confidential information to any person not authorized to receive it.

I understand that I may be subject to disciplinary action for violation of this agreement with penalties up to and including dismissal.

I understand that this agreement is enforceable by the state of Indiana and by the person who submits confidential information.

I agree that I will treat any confidential information furnished to me as confidential as established by the department.

(Signature) \_\_\_\_\_  
Name (Typed) \_\_\_\_\_ Date \_\_\_\_\_

(c) The following is the confidentiality agreement form for employees or officers of contractors:

#### **CONFIDENTIALITY AGREEMENT FOR CONTRACTED EMPLOYEE OR OFFICER**

I understand that as an employee or officer of \_\_\_\_\_, a contractor performing work for the Indiana Department of Environmental Management, I will have access to certain confidential information. This access has been granted to me in order that I can perform my work under the contract.

I understand that such confidential information may not be disclosed by me, except as authorized by a state or federal statute or rule. My obligation not to disclose such confidential information includes disclosure to any employee of the Indiana Department of Environmental Management, any employee or officer of any contractor, or any subcontractor unless such employee or officer has executed a confidentiality agreement.

I understand that, under Indiana statute IC 5-14-3-10, I am liable for a possible fine of up to five thousand dollars (\$5,000) or imprisonment for up to one (1) year, or both, if I knowingly or intentionally disclose confidential information to any person not authorized to receive it. In addition, I understand that I may be subject to disciplinary action for violation of this agreement up to and including dismissal.

I understand that this agreement is enforceable by the state of Indiana and by the person who submits confidential information.



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I agree that I will treat any confidential information furnished to me as confidential as established by the department.

(Signature) \_\_\_\_\_

Name (Typed)

\_\_\_\_\_ Date

*(Solid Waste Management Division; 329 IAC 6.1-9-1; filed Nov 4, 1999, 10:19 a.m.: 23 IR 561; readopted filed Jan 10, 2001, 3:25 p.m.: 24 IR 1535)*

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