

OVERSIGHT COMMITTEE ON PUBLIC RECORDS
Regular Meeting July 14, 2010

10-07-14-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, July 14, 2010. The meeting was called to order by Vice Chairperson, Caroline Bradley, Designee for Brian Arrowood, Chief Information Officer, Office of Technology, at 1:35 p.m. in Room 401, Indiana State Library. Members present constituting a quorum: Pam Bennett, Director, Indiana Historical Bureau; Roberta Brooker, Director, Indiana State Library; Jim Corridan, Director & State Archivist, Indiana Commission on Public Records; Andrew Kossack, Public Access Counselor; Anita Samuel, Governor's Office; Connie Smith, Designee for Robert D. Wynkoop, Commissioner, Department of Administration. Members absent: John Jacob, Designee for Bruce Hartman, State Examiner, State Board of Accounts; Liz Keele, Designee for Todd Rokita, Secretary of State. Commission staff in attendance: Ted Cotterill, Deputy Director; Larry Hummel and Amy Robinson, Records Management; Beverly Stiers, County and Local Government Records Management. Guests in attendance: Maureen Bennett, Professional Licensing Agency; Kara Vetter, Department of Natural Resources, Indiana State Museum.

10-07-14-02

NEXT MEETING

Caroline Bradley announced the next meeting would be held August 18, 2010 at 1:30 p.m. in Room 401, Indiana State Library.

10-07-14-03

PREVIOUS MEETING

Pam Bennett moved approval of the June 23, 2010 minutes as presented, seconded by Andrew Kossack. Caroline Bradley stepped down from the Chair and stated she had a couple of corrections to last month's minutes. She stated in two places in AGENCY REQUESTS-RECORDS RETENTION AND DISPOSITION SCHEDULES(S), Schedule No. 5 and No. 12, it stated there were no questions or comments, and then it was followed by questions and comments. Pam Bennett moved that the original motion be amended to approve the minutes as corrected, seconded by Andrew Kossack. Motion passed.

10-07-14-04

OLD BUSINESS

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

Jim Corridan stated there is no action on this.

2. Public Libraries Retention Schedule

Jim Corridan stated the Indiana Public Library Association has a meeting on July 22, at which time we are presenting to them and discussing with them the proposed Public Libraries Retention Schedule. Mr. Corridan stated we anticipate it to be on the August OCPR Agenda.

3. State Department of Health, Medical Radiological Services Division Retention Schedule

Jim Corridan stated that has not yet been resolved.

4. State Department of Health, Long Term Care

Jim Corridan stated that has not yet been resolved

Connie Smith asked how long the FSSA Request for Waiver from OCPR Policy Mo. 06-01 has been on the Agenda and Jim Corridan stated for a long time. Ms. Smith then asked about the Public Libraries Retention Schedule and was told this was a new item and she would not have anything on this yet.

10-07-14-05

DIRECTOR'S REPORT

Jim Corridan stated Pam Bennett asked about Schedule No. 12 in the June Minutes, the alteration of the State's General Retention Schedule for certain accounting records with the retention period changing from five (5) years to six (6) years. Mr. Corridan stated we did check with the State Board of Accounts which is what the Minutes reflect. Mr. Corridan stated for the record the State Board of Accounts had no opposition to this change for GRACC 2 records. Mr. Corridan stated in addition at the end of the fiscal year Micrographics did meet the objective of making just over 12,000,000 images for the year of records microfilmed and scanned. Mr. Corridan stated the other thing that is of some interest is that the State Archives and the State Library are involved with the Library of Congress digital archives collection program. Mr. Corridan stated it is a grant we received and Indiana's collection is the most searched collection of any of the State partners, there are nine (9) States involved, this excludes Washington State which really created the whole thing and their entire Archives is already in it, so everyone else is trying to catch up. Mr. Corridan stated Indiana's collection has three (3) times more searches than all the other states combined which is impressive. Mr. Corridan stated they also received National publicity in the last month in that we were in USA Today and that generated 17,000 searches in that one day for the digital archives. Mr. Corridan stated the reason for the article is the fact that they have added the 213,000 Civil War records to the digital archives. Mr. Corridan stated it is extraordinarily popular and up until last month we did not even have the most records on line, Colorado was way ahead of us and now we have caught up with them due to the Civil War records.

10-07-14-06

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 NATURAL RESOURCES.....06-16-10
Indiana State Museum and Historic Sites

A motion was made by Jim Corridan and seconded by Anita Samuel to approve Schedule No. 1 as submitted. In regard to this schedule, Pam Bennett had some questions in terms of some of the records both in the old schedule and the new one, the first one being No. 3, Record Series 81-08, Loan Receipts which has gone from a paper copy which was microfilmed and the amendment states to destroy five (5) calendar years after the loan is completed. Ms. Bennett stated her comment is rather than destroying them after five (5) calendar years, she thought there could be a possibility of value in keeping these and digitizing them, in part because it is the history of the Museum itself and what it has done and in addition Ms. Bennett thinks there have been cases where items have been loaned and something happened to them after that, there was a point at which the ownership had been established via the loan. Ms. Bennett stated she thought we might want to keep these Loan Receipts for a longer period of time. Larry Hummel introduced Kara Vetter from this Agency. Ms. Vetter stated she agreed with Ms. Bennett's statement and she thinks now it is more of a question of microfilming or digitizing and how long of a period they would accumulate them, 5, 6, 10 years. Ms. Vetter stated they do not create that much, maybe one (1) banker's box for every two (2) to three (3) years or so. Ms. Vetter stated they could definitely adjust the retention schedule for that and it is just a matter of what the OCPR Committee preferred. Jim Corridan asked if they have gone back to those records and Ms. Vetter stated they have occasionally, only for matters of dispute

of when items had been returned, if they had been returned at all, so this would actually be a good idea to continue to keep them and microfilm them and keep hard copies and send the film to the State Archives. Mr. Corridan asked Ms. Vetter if they would keep the paper and she replied yes and then Mr. Corridan stated plus there would be a roll of microfilm. Amy Robinson asked if that was not the original retention and Ms. Vetter stated she thought so and thought it could be moved back to the original retention. Mr. Corridan asked if the suggested change came from DNR and Ms. Vetter said yes, at this point she cannot remember why they decided to destroy. Mr. Hummel stated he contacted Tim Dunwoody from the State Archives when they were working on this, and Mr. Dunwoody did not see archival value. Mr. Corridan stated the issue is it is all still stored in the Museum, and they have had multiple conversations and they want to make sure that there is appropriate backup so that if something were to happen to these files, we would still know what was loaned out and what the Museum owned.

Pam Bennett stated she had one (1) more question and it had to do with language, No. 5, Record Series No. 81-11; the comment on the original Interdepartmental Receipt stated how the process actually carried through; the amendment indicates that ISM is transferring something; in many areas, transfer means that an actual change of custody has taken place. Ms. Bennett indicated it could be a problem if the record is destroyed. Ms. Bennett said her concern is whether “completed” here means the item has been returned. Ms. Vetter stated that was correct. Ms. Bennett stated she does not think everybody looking at that might feel that way. Ms. Vetter stated it is a temporary transfer, so if the wording could be amended to be a temporary transfer between divisions, this form is only used between the State Museum and historic sites and not used anywhere else. Items that are transferred from the Museum to the historic sites are always returned to the Museum. Ms. Vetter stated they keep track of it on their online electronic database. Ms. Bennett stated just clarifying the fact that items have been returned is what governs the whole thing.

Jim Corridan made a motion to amend the original motion to alter this Retention Schedule as follows:

Item No. 3, Record Series 81-08 retention requirements read microfilm alphabetically by year at three (3) year intervals, transfer security roll of microfilm to the Commission on Public Records, State Archives Division vault in place of what currently reads destroy five (5) calendar years after the loan is completed; and Item No. 5, Record Series 81-11 to read destroy two (2) calendar years after the transferred item is returned. Pam Bennett seconded the motion. Motion carried.

2. DEPARTMENT OF NATURAL RESOURCES.....06-16-10
Entomology Division

Amy Robinson stated there were a couple of typographical errors to correct – on page 1 of 2, Item No. 3, it lists the amended item as Nursery Inspection File Pockets and should be Packets, and on page 2 of 2, Record Series No. 85-898, this should be 85-598. A motion was made by Andrew Kossack and seconded by Jim Corridan to approve Schedule No. 2 with the typographical errors corrected. Motion carried.

3. PROFESSIONAL LICENSING AGENCY.....06-24-10

Amy Robinson introduced Maureen Bennett from this Agency. In regard to this schedule, 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.

4. COUNTY CORONER RETENTION SCHEDULE.....07-09-10

In regard to this schedule, there were no questions or comments. A motion was made by Pam Bennett and seconded by Connie Smith to approve Schedule No. 4 as submitted. Motion carried.

5. DEPARTMENT OF WORKFORCE DEVELOPMENT.....07-07-10
U. I. Tax Division

In regard to this schedule, a motion was made by Anita Samuel and seconded by Andrew Kossack to approve Schedule No. 5 as submitted. Pam Bennett stated on page 21 of 30, Item No. 56, Record Series 94-08, if they are still out there, the CD's and electronic files, should all formats be used or should it be more specific. Jim Corridan stated his preference would be that we get away from using formats at all, so whatever exists should be destroyed after 10 State fiscal years, which the instructions do state. Larry Hummel stated he had contacted the Records Coordinator at the Department of Workforce Development and said this was some proposed alternate retention instructions and he said he would accept them. Mr. Hummel stated they still have paper left at the Records Center and in fact there are 311 boxes, so eventually it will all be destroyed. Jim Corridan stated his preference is the way Mr. Hummel wrote it, because it is not media specific, so he would rather they try to get away from saying we are going to do this with the electronic files and this with the paper files and this with the CD's. Amy Robinson stated "Destroy/Delete" is something she introduced into it and that is why to just cover the bases and not have to specify what records in particular. Ms. Bennett stated she was fine with the explanation. Motion carried.

10-07-14-07

NEW BUSINESS

1. Readoption of 60 IAC 2 – Jim Corridan stated it only really needs the signature of Liz Keele, but he wanted to put it on the Agenda and alert the Committee of what it being done. Mr. Corridan stated because of the timeframes required to go through this whole rule, we need to readopt this rule. We already have an extension from the Governor for this year which will lapse at the end of December, and Mr. Corridan wants the Chairman to sign off on the readoption of the rule which puts in place all the microfilming standards in the State, such as requirements needed for the microfilm to meet State standards. Mr. Corridan stated separately from that they are working with a committee to modify those standards and end up including scanning and electronic records borne digital formats and how we plan to deal with them through an administrative rule. Mr. Corridan stated that rule will not be completed in time to go through the process so we will wind up with a gap of time where there will be no rule in place if we do not readopt this now. Mr. Corridan stated this was more of an FYI to have the OCPR Committee authorize this. Pam Bennett made a motion for the approval of readoption of 60 IAC 2, seconded by Connie Smith. Motion carried.

2. Used Box Fee – Jim Corridan stated the Department of Administration is renegotiating the fee for the cost of Records Center boxes and it has changed the structure of the way we deliver those boxes. Mr. Corridan stated in the past Forms Distribution used to distribute boxes to Agencies within the Government Center (before that ICPR did it, DOA did it, then ICPR did it) and now the Department of Administration has recommended and decided that they would prefer to have the vendor provide the boxes directly to the Agencies that need them. Mr. Corridan stated there are now two (2) issues – the RFP is done but the contract has not been finalized and there are no boxes left,, which is causing a problem. Mr. Corridan stated the State Archives has collected some boxes that we would like to be selling for one-half off the regular price of a box that are used boxes, so we flatten the boxes and deliver them to the Agencies needing them. Mr. Corridan stated we are trying to recoup some of our cost for the delivery of the boxes, and we will charge \$1.00 for a used box if an Agency wants a used box. Anita Samuel asked how long do we think it will be before we have the new boxes and Mr. Corridan stated we ran out of boxes around June 20 and they anticipated they would be done in two (2) to three (3) weeks, they would have the contract done then. Mr. Corridan stated he is guessing sometime in August. Caroline Bradley asked Mr. Corridan if he had checked with the State Board of Accounts if it was o.k. to charge a fee for a used box. Mr. Corridan stated this Committee has authority to set fees for the Archives, to charge fees. Ms. Samuel asked if a box would be \$2.00 and Mr. Corridan said a new box would be \$2.00. Pamela Bennett made a motion to adopt the used box fee of \$1.00, seconded by Jim Corridan. Motion carried.

10-07-14-08

ADJOURNMENT

There being no further business, Connie Smith moved that the meeting be adjourned. Anita Samuel seconded. Motion carried. Meeting adjourned at 2:00 p.m.