



STATE OF INDIANA

OFFICE OF TECHNOLOGY

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TO: Governor Mitch Daniels

CC: Jim Corridan, Director of the Indiana Commission on Public Records

FROM: Chris W. Cotterill, Deputy Chief Information Officer

RE: Report to the Governor Relating to State Information Systems

DATE: December 31, 2007

Pursuant to IC 4-1-6-7 and on behalf of all state agencies,¹ the Indiana Office of Technology (IOT) submits this report identifying the state agencies that collect personal information; the categories and number of individuals affected; the source and types of personal information collected; and, the levels of access to the personal information. We are again proud to provide this report, as we feel it represents your administration's commitment to transparency of government action and to the security of information collected by state government.

I. Background

Each year, state agencies are required to file two reports detailing their collection of personal information.² The first, due December 1st to the General Assembly, requires the agency to recommend what, if any, personal information collected should be maintained on a confidential basis by statute. The second, due December 31st to the Governor, essentially requires the agency to detail what personal information is collected and the reasons for such collection.

With the Governor's decision to centralize IT in 2005, the Chief Information Officer took responsibility to coordinate all agency responses into a single set of reports. In the first year, 48 agencies responded. An automated process, with standardized categories for responses, was developed for the year 2006 with 66 agencies responding and expanding the scope to all IT systems to cover other related reporting requirements to minimize burden to the agencies. The Indiana Commission on Public Records was also engaged to ensure that agency requests for confidentiality are reviewed, coordinated, and rationalized prior to submission to the General Assembly.

¹ Indiana Code 4-1-6 applies to all state agencies except those in the legislative and judicial departments (a.k.a. branches), state police, institutions of higher education, and the separately elected officials (auditor of state, treasurer of state, secretary of state, attorney general, and superintendent of public instruction). The use of the term "state agency" in this report has the same meaning as set forth in IC 4-1-6-1(d).

² See IC 4-1-6-7 and IC 4-1-6-9, <http://www.in.gov/legislative/ic/code/title4/ar1/ch6.html>.

The Information Systems Inventory (ISI), an online database created in 2006, has been used to help coordinate responses, identify specific types of systems for risk assessment projects and is being used to help coordinate disaster recovery planning.

II. 2007 Information Systems Inventory Report

The ISI was expanded in 2006 to identify (1) all processes that collect personal information, *whether automated or manual*, and (2) all IT systems.³ (There are countless manual processes in state government that do not collect personal information, and these are excluded from the ISI.) This report is submitted to comply with IC 4-1-6-7; therefore, it focuses just on those systems that collect personal information.⁴ Specifically, the report identifies the state agencies that collect personal information; the categories and number of individuals affected; the source and types of personal information collected; and, the level of access to the personal information.

As noted above, the process for collecting information from the agencies was automated in 2006. This year, our team focused on refining the information in the ISI to make it more accurate. Thus, many of the changes in the numbers reported this year as compared to last year are attributable to the deletion of duplicate or irrelevant entries.

A. Personal Information Systems Identified

IOT identified 118 state agencies (as that term is broadly defined by statute³) that should respond. From the 67 agencies that responded, 807 personal information systems⁴ were identified. Agencies updated 96% of the records contained in the ISI. (Table 1 at the end of this report includes a listing of all responsive agencies and the number of personal information systems per agency.)

B. Categories of Individuals within the Personal Information

The 807 personal information systems are categorized into one or more of eleven categories of individuals for which data is collected. The following are the total number of systems in each category. (More than one category could be selected.)

▪ State Employees.....	244
▪ Patients.....	241
▪ Students.....	31
▪ Veterans.....	37
▪ Specific Professions.....	69
▪ Contractors.....	91
▪ Criminals/Victims.....	42

³ See footnote 1. See also IC 4-13.1-2-6(c).

⁴ To make the process manageable, IOT advised agencies to focus on those personal information systems that are unique to their agency or shared with a few other agencies. Thus, systems incidental to every agency, such as e-mail distribution lists or HR files, were generally not addressed by each agency.

- Licensees.....52
- Specific Organizational Affiliation.....28
- General Public.....148
- Other *163

C. Number of Individuals

The number of individuals for which there is personal information contained in a system fall in the following ranges.

- 0-10073
- 101-500202
- 501-100069
- 1001-300083
- 3001-500029
- 5001-10,00032
- 10,001-25,00031
- 25,001-50,00053
- 50,001-100,00034
- 100,001-500,00047
- 500,001-1,000,0009
- 1,000,001-2,000,0004
- 2,000,001-5,000,0005
- 5,000,001-10,000,0006
- >10,000,0001
- Indeterminable129

D. Categories of Personal Information

The categories of personal information collected in the 807 systems are categorized into one or more of eleven categories. The following are the total number of systems that collect information in each category.

- Systems collecting Personally Identifiable⁵ data689
- Systems collecting Educational data.....127
- Systems collecting Law Enforcement data.....68
- Systems collecting Religious data25
- Systems collecting Social Security Numbers305
- Systems collecting Financial data.....213
- Systems collecting Employment data207
- Systems collecting Health data255
- Systems collecting Political data0
- Systems collecting Credit Card Information.....5

* Many agencies provided more specific classifications of the types of individuals and data that is collected by using the other category.

⁵ The term “Personally Identifiable” includes data such as name, phone number, street address, and e-mail address.

- Systems collecting Other* data140

E. Source of Data

The source of the personal information is also categorized. The importance of this distinction is that if the information is received directly from the individual, the individual should know he or she is providing the information. If the information is drawn from another governmental agency, the individual may know he or she provided the information but not know that it is used for a different purpose. Finally, if the information is drawn from another source, the individual is likely not to know that the information is being used by government for any purpose.

- Directly from Individual321
- From Individual and Other Sources253
- From Sources Other than the Individual220
- Unknown13

F. Access to Data

The personal information systems were also categorized by the level of access to the system’s data. The State has the following number of systems in each category. (Each access level represents the minimum level of access. For example, if a system is available to the public, it is also available to every access level below it in the list.)

- Available to the Public103
- Available to the Other Government Agencies283
- Available to the Internal Agency Only419
- Unknown2

III. Conclusion

This report will be posted on the IOT website, along with the reports from years past. If you have any questions, please contact us.

TABLE 1

Responding Agencies and the Number of Personal Information Systems

Accounts, State Board of	2	Indiana Historical Bureau	1
Advisory Commission on Intergovernmental Relations, Indiana	0	Inspector General	0
Adjutant General's Office	1	Insurance, Department of	3
Administration, Department of	20	Labor, Department of	1
Agriculture, Indiana State Department of	4	Law Enforcement Academy	2
Alcohol & Tobacco Commission	5	Library, Indiana State	0
Animal Health, Board of	2	Lieutenant Governor, Office of	2
Arts Commission	4	Local Government Finance, Department of	1
Auditor of State	1	Management & Budget, Office of	0
Budget Agency, State	4	Motor Vehicles, Bureau of	6
Chemist and Seed Commissioner, Office of State	18	Natural Resources, Department of	12
Child Services, Department of	10	Personnel Department, State	1
Civil Rights Commission	6	Police, State	0
Correction, Department of	16	Ports Commission, Indiana	0
Criminal Justice Institute	12	Professional Licensing Agency	1
Economic Development Corp., Indiana	6	Proprietary Education, Commission on	2
Educational Employee Relations Board, Indiana	0	Protection and Advocacy Services Commission, Indiana	7
Education, Department of	4	Public Employees Retirement Fund	1
Energy & Defense Development, Office of	2	Public Records, Indiana Commission on	0
Environmental Management, Indiana Department of	5	Revenue, Department of	18
Ethics Commission, State	0	Rural Affairs, Office of	2
Fair Commission, Indiana State	6	School for the Deaf, Indiana	0
Family and Social Services Administration	325	Stadium and Convention Building Authority, Indiana	0
Finance Authority, Indiana	1	Student Assistance Commission of Indiana, State	11
Financial Institutions, Department of	20	Tobacco Use Prevention and Cessation, Indiana	0
Gaming Commission	2	Tax Review, Indiana Board of	2
Geologists, Board of	1	Teachers Retirement Fund, Indiana State	3
Grain Buyers and Warehouse Licensing Agency, Indiana	0	Technology, Indiana Office of	2
Health, State Department of	178	Transportation, Department of	11
Hispanic/Latino Affairs, Indiana Commission on	0	Utility Consumer Counselor, Office of	0
Homeland Security, Indiana Department of	20	Utility Regulatory Commission	2
Hoosier Lottery	11	Veteran Affairs, Department of	1
Housing and Community Development Authority, Indiana	4	Workforce Development, Department of	25