

OVERSIGHT COMMITTEE ON PUBLIC RECORDS  
Regular Meeting August 20, 2014

14-8-20-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, August 20, 2014. The meeting was called to order by Chairman Caroline Bradley, Designee for Paul Baltzell, Chief Information Officer, Office of Technology, at 1:30 p.m. in Conference Room 10 Indiana Government Center South-First Floor. Members present constituting a quorum: Pam Bennett, Director, Indiana Historical Bureau; Adam Berry, Designee for Mike Pence, Governor; Mike Bozyski, Designee for Paul Joyce, State Examiner, State Board of Accounts; Caroline Bradley, Designee for Paul Baltzell, Chief Information Officer, Office of Technology; Luke Britt, Public Access Counselor; Jim Corridan, Director & State Archivist, Indiana Commission on Public Records; Fred Glynn, Lay Member; Erin Kellam, Designee for Jessica Robertson, Commissioner, Department of Administration. Members absent: Connie Bruder, Interim Director, Indiana State Library; Kristen Tucker, Journalism Lay Member; Mallory Wilson, Designee for Connie Lawson, Secretary of State. Commission staff in attendance: Ted Cotterill, Deputy Director; James Porter, Indiana SHRAP Intern; Amy Robinson, Records Management; Beverly Stiers, County and Local Government Records Management. Guests in attendance: None.

14-8-20-02

NEXT MEETING

Caroline Bradley announced the next meeting would be held September 17, 2014 at 1:30 p.m. in Conference Room 10, Indiana Government Center South, 1<sup>st</sup> Floor.

14-8-20-03

PREVIOUS MEETING

A motion was made by Jim Corridan and seconded by Pam Bennett to approve the minutes of the July 16, 2014 meeting. Motion carried.

14-8-20-04

OLD BUSINESS

None

14-8-20-05

DIRECTOR'S REPORT

Jim Corridan stated there the Commission on Public Records is doing fine. Mr. Corridan stated the Digital Archives has been completed and has been moved from Washington State to Indiana to IOT's website and so the Digital Archives is now hosted in Indiana. Mr. Corridan stated there is new functionality along with that and there are some new databases that have been included. Mr. Corridan stated that are about 1.2 million records available to be searched on line as part of that project.

Jim Corridan stated we are continuing to work with County Records and doing some visits across the State, consulting with them on cleaning up their courthouses and making sure they are not throwing things away they should be keeping.

Jim Corridan stated the State Archives is still in the midst of the inventory process and they have now finished the first phase of inventorying all of the paper records at the Archives. Mr. Corridan reported they have now begun inventorying the microfilm holdings.

14-8-20-06

## AGENCY REQUESTS-RECORDS RETENTION AND DISPOSITION SCHEDULES(S)

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

### 1. GENERAL RETENTION SCHEDULE FOR ALL STATE AGENCIES

A motion was made by Pam Bennett and seconded by Luke Britt to approve Schedule No. 1 as submitted. Jim Corridan stated they were fixing one item in this schedule in GRACC 2 and the issue was how long paper checks needed to be kept and there was not the capacity for remote capture checks, but we do have this on the local level. A vote was then taken and motion carried.

### 2. AUDITOR OF STATE

A motion was made by Jim Corridan and seconded by Mike Bozymski to approve Schedule No. 2 as submitted. Motion carried.

### 3. DEPARTMENT OF EDUCATION

Educator Licensing and Development

A motion was made by Luke Britt and seconded by Pam Bennett to approve Schedule No. 3 as submitted. Motion carried.

### 4. DEPARTMENT OF EDUCATION

Superintendent of Public Instruction

A motion was made by Pam Bennett and seconded by Erin Kellam to approve Schedule No. 4 as submitted. Motion carried.

### 5. DEPARTMENT OF REVENUE

Enforcement/Collection

A motion was made by Pam Bennett and seconded by Mike Bozymski to approve Schedule No. 5 as submitted. Motion carried.

### 6. COUNTY/LOCAL GENERAL RETENTION SCHEDULE (GEN)

A motion was made by Pam Bennett and seconded by Jim Corridan to approve Schedule No. 6 as submitted. Ted Cotterill reported on the first page the Instructions have been edited on this schedule and all other County/Local schedules. Mr. Cotterill said the verbiage has been changed in Item No. 2 and Item No. 4 has been added. Mr. Cotterill stated moving into the Record Series, on page 2 of 8, GEN 10-5 and GEN 10-6, the bold language is being added and one struck language deleted. On page 3 of 8, GEN 14-1, this item is being added. On page 4 of 8, GEN 10-25, bolded language is being added, GEN 12-1, specifically includes items referring to paper checks and remote capture checks which was just approved in the General Retention Schedule for All State Agencies, GEN 10-27, bolded language being added. Caroline Bradley stepped down as Chair and stated it is her understanding that drug tests are considered a medical record and the personnel files should never include medical records. Mr. Cotterill stated between GEN 10-27 and GEN 10-31, we have drug test results for employment applications not hired, so they would not have employee medical records, and the drug tests are done prior to hiring. Luke Britt stated the personal health information would be confidential but the personnel file is not confidential, it is discretionary. Ms. Bradley stated this is something we might want to look into further. Ms. Bradley then stated we could approve it and make a note that we are going to do more research to make sure we have it categorized. Jim Corridan stated another issue we have here is if it is in the personnel file we keep it for 75 years and if it is the medical records, it states destruction seven (7) years after employee leaves, so we need to make sure we

understand what the ramifications are and if there is some obligation for it to be retained in the personnel file. Mr. Cotterill stated as it stands right now, they have to list these on a PR-1 to request destruction and receive approval. Ms. Bradley stated she does not want to table the whole schedule, she just wants to make sure the drug test results are being put in the right record series.

Concerning GEN 10-31, since the employee is not being hired, they will not have a medical file, so that record series is ok as changed, and we can always take a look at it.

Fred Glynn made a motion to table Record Series No. 10-27 in Retention Schedule No. 6, seconded by Pam Bennett. Motion carried.

A vote was then taken on adoption of Retention Schedule No. 6, motion carried.

#### 7. NON-JUDICIAL COUNTY CLERK (CL)

A motion was made by Luke Britt and seconded by Erin Kellam to approve Schedule No. 7 as submitted. Ted Cotterill reported that on page 3 of 6, Record Series CL 10-19, a correction was made to a reference to a record series in the retention period and on page 5 of 6, Record Series 10-30, we removed a provision that requires County Records Commission or Indiana Commission on Public Records approval. Mr. Cotterill stated we talked to the Indiana Election Division and that is consistent with their reading of the law. A vote was then taken and motion carried.

#### 8. TOWNSHIP TRUSTEE (TT)

A motion was made by Pam Bennett and seconded by Fred Glynn to approve Schedule No. 8 as submitted. Ted Cotterill reported that there is one addition to this schedule, Record Series No. TT 14-1. A vote was then taken and motion carried.

Ted Cotterill stated the Oversight Committee needs to adopt the changes in the Instructions section of the cover sheet for each of the County/Local Retention Schedules, such changes mentioned earlier when discussing Retention Schedule No. 6, County/Local General Retention Schedule (GEN). A motion was made by Jim Corridan and seconded by Luke Britt to approve the changes. Motion carried.

14-8-20-07

NEW BUSINESS

None

14-8-20-08

ADJOURNMENT

There being no further business before the Committee, Luke Britt moved that the meeting be adjourned. Mike Bozymski seconded. Motion carried. Meeting adjourned at 1:49 p.m.