

OVERSIGHT COMMITTEE ON PUBLIC RECORDS

Regular Meeting May 19, 2010

10-05-19-01

CALL TO ORDER AND ROLL

A regular meeting of the Oversight Committee on Public Records was held Wednesday, May 19, 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 Gerry Weaver, Director, Indiana 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; Anita Samuel, Governor's Office; Connie Smith, Designee for Mark W. Everson, Commissioner, Department of Administration. Members absent: None. 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: Rudy Cansino, State Department of Health; Scott Huffman, Family and Social Services Administration; Lea Ellingwood and Kesha Rich, Indiana Gaming Commission.

10-05-19-02

NEXT MEETING

Liz Keele announced the next meeting would be held June 16, 2010 at 1:30 p.m. in Room 401, Indiana State Library.

10-05-19-03

PREVIOUS MEETING

Pam Bennett moved approval of the April 26, 2010 minutes, seconded by Caroline Bradley. Motion carried.

10-05-19-04

OLD BUSINESS

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

Jim Corridan stated there is no action on this.

2. County/Local General Retention Schedule

A. Auditor's Schedule as presented is fine except we were notified of a request to add some additional language to this schedule which has not yet been done – this would preclude them from regularly filing PR-1's to destroy exemption forms- mortgage, homestead, etc. – this record series will have a three (3) year retention. We would like to put this under Old Business for next month.

B. County/Local General Retention Schedule – mimics now in many facets the General Retention Schedule for State Agencies. There is a section for each of the following: Administrative, Accounting and Finance, Personnel, Publications and Reports, and Miscellaneous Media (audio, video). In adopting this Retention Schedule, parts of the old Retention Schedules become obsolete. Mr. Corridan stated one of the things that is happening with the adoption of this schedule is that under Finance, we are moving some records to five (5) and ten (10) year retentions and they used to be three (3), four (4), and six (6) years. We are trying to standardize a lot of this so that the GRACC 1 and GRACC 2 record series for State Government are equivalent on the County/Local records side. Mr. Corridan stated this is actually required by State law or implied through State law, so we have not had the County/Local government units following the proper retention based on Indiana code.

A motion was made by Pam Bennett and seconded by Connie Smith to approve the County/Local Retention Schedule as submitted. John Jacob stated CLGRS 7, Building Permits, does not have the standard State Board of Accounts language “and after receipt of State Board of Accounts Audit Report and satisfaction of unsettled charges.” John Jacob moved that this be amended to include this language, seconded by Jim Corridan. Motion carried. The original motion to adopt the County/Local General Retention Schedule as amended then carried.

Jim Corridan stated their intent is these schedules will go into effect July 1, 2010, so the Counties have an opportunity to see them in advance and they should then be sent to their local Commission of Public Records as well.

C. Miscellaneous Non-Judicial County Clerks’ General Retention Schedule – some of the items had been combined so that what had been Distress Sales Book has now been consolidated when retention period is the same with the other Distress Sales items. Pre-marital Examination Certificates were eliminated, because they are no longer created and it is an obsolete record. They had to be retained for three (3) years and then destroyed, but we are well beyond the three (3) years since the law was changed. Jim Corridan also reported that a new section on Election Records was added to this schedule to stipulate how those should be handled on a local level and this was based on input from the Election Division of the Secretary of State’s office. A motion was made by Connie Smith and seconded by John Jacob to approve the Miscellaneous Non-Judicial County Clerks’ General Retention Schedule. Motion carried.

D. County Recorders’ Retention Schedule – Jim Corridan reported there are a couple of changes here and the first is related to land transfers. They have all been consolidated so that instead of listing the original deed record, the index to the original deed record, the index to the official deed record, they have all been consolidated into one because they all have the same retention requirements. Mr. Corridan reported the same is true of what had been Record Series 11, 14 and 15 – all being consolidated. The same is true for Record Series No. 19, 20 and 21. Mr. Corridan stated Record Series No. 23 and 24 are being removed completely, Chattel Mortgage Record and Index to Chattel Mortgage Record, These records have not been created since 1935 and they are also obsolete and well past their retention. Mr. Corridan reported this also affects Record Series No. 26, 27, and 28. The Lien Records are all consolidated. Pam Bennett asked even though the Chattel Mortgages are no longer being created, what happens to the ones that did exist. Mr. Corridan stated they should have been microfilmed and sent to the State Archives and the key here because they will not be on the schedule, legally in order to destroy the records they would have to request permission and then we would get the records. Ms. Bennett then asked what happened at the Recorders’ Conference in regard to the concern about State Archives making copies of their records stored at the Archives. Jim Corridan stated the meeting was fine and it is not going to directly impact the schedules. There are still some discussions about how best to handle this and the options and it has more to do about where the microfilm is stored than whether or not it should be on microfilm. Mr. Corridan stated it has more to do with the policy the Oversight Committee passed in 2009 than any of the retention requirements. Ms. Bennett stated what we are doing is storing the master roll of film, and we would not be making copies from it anyway at the Archives. Mr. Corridan stated this was correct and they have tried to make that clear to them. Mr. Corridan stated there is some concern and we may have to enter into an agreement with the Recorders’ Association to placate some of those fears and we are trying to work out some of the anxieties they have on this issue. Mr. Corridan stated they are fine with the schedule changes. The last item on there is the Fee Docket Book on the last page which is another accounting record getting moved to the County/Local General Retention Schedule. A motion was made by Pam Bennett and seconded by John Jacob to approve the County Recorders’ Retention Schedule. Motion carried.

E. County Treasurers' Retention Schedule – Jim Corridan stated this schedule is significantly altered – there are no new additions being added to it, but because of the number of accounting items in it, over half of the schedule will be eliminated and transferred to the County/Local General Retention Schedule. A motion was made by John Jacob and seconded by Caroline Bradley to approve the County Treasurers' Retention Schedule. Motion carried.

F. Cities and Towns General Retention Schedule – Mr. Corridan stated based on the feedback from the people who work with local government at the State Board of Accounts and our own review of the information, we have consolidated the Cities and Towns Above 5,000 Population and Towns Below 5,000 Population into one (1) uniform schedule. Mr. Corridan stated cities and towns were concerned about the retention requirements for their accounting records. Mr. Corridan stated there is almost nothing left on this particular schedule, we have Utility Forms, Barrett Law, Ledgers and Registers and Public Safety Pension Records. Mr. Corridan stated it is likely we will be adding to this Retention Schedule once we have gone through this whole process and bring it up to date as far as other records that cities and towns are creating. A motion was made by John Jacob and seconded by Pam Bennett to approve the Cities and Towns General Retention Schedule. Motion carried.

G. Special Districts General Retention Schedule – Jim Corridan stated this schedule is significantly altered because of the number of accounting items in it being transferred to the County/Local General Retention Schedule and nothing has been added to this schedule. A motion was made by Connie Smith and seconded by John Jacob to approve the Special Districts General Retention Schedule. Caroline Bradley had a question – looking at this schedule there seems to be multiple records in a record series, i.e. Form 53, Form 358 and 359 with different retention requirements. Ms. Bradley asked if these should be separate record series numbers. Mr. Corridan stated this is the way it was originally set up when the Schedule was created. Mr. Corridan stated they would look into this and he stated it would be much better if we went to a different system which we did not consider based on year which is done with the State. Mr. Corridan stated what is going to happen is we are combining records, some are going to disappear, they are totally out of sequence now. Mr. Corridan stated we will come back with a recommendation on that and asked that the Schedule be adopted and it will be fixed. Motion carried.

H. Township Trustee General Retention Schedule – Mr. Corridan stated this is the last one at this time and there are the same types of situations, most of the records being removed from this Schedule are financial or payroll records. Mr. Corridan stated the records remaining on this Schedule with a different retention because some of them are Permanent. Mr. Corridan stated there is nothing being added to this Schedule. A motion was made by Caroline Bradley and seconded by John Jacob to approve the Township Trustee General Retention Schedule. Motion carried.

Jim Corridan stated at the next meeting we hope to have the Auditors' Schedule revised, we will look at a better system to structure the records within a record series with different retention periods, and then we will likely have the Public Library Retention Schedule for your consideration under New Business.

3. State Department of Health, Medical Radiological Services Division Retention Schedule
Jim Corridan reported it is not ready for action this meeting, but he did have a conversation with the Director of the Radiology Division to clearly understand what all they are keeping and the different systems they are keeping them in and the needs both administrative and also research based that would

be required for those records. Mr. Corridan stated action will probably be taken on this at the next meeting.

4. Indiana Department of Labor, Indiana Occupational Safety Standards Commission Retention Schedule

A copy of this was distributed for review. Jim Corridan stated at the last meeting, the Department of Labor was asked to divide these variances into temporary and permanent because of different types of retention. Mr. Corridan stated the last page reflects what will be the appropriate retention for those based on what was discussed and conversations with the Agency. Mr. Corridan stated basically they will keep the paper files for five (5) years and every five (5) years have them microfilmed, which will allow them to accumulate enough to create a roll of microfilm and the temporary variances will have to be retained for five (5) years after the variance was issued. Mr. Corridan stated we are allowing them to be scanned, microfilmed and a CD copy will be made available to the Agency if they want one. Jim Corridan made a motion to adopt the Indiana Department of Labor, Indiana Occupational Safety Standards Commission Retention Schedule amendment as proposed, seconded by Pam Bennett. Motion carried.

10-05-19-05

DIRECTOR'S REPORT

Jim Corridan stated other than what is in the Director's Report sent to the OCPD Committee, Micrographics will probably come close to having 12,000,000 images this year, last year they had about double that which is just a factor of the amount of business we are bringing in from Agencies. Mr. Corridan stated they are also working on tweaking some of our metrics to measure some other things that might be more valuable for the Governor's metrics system. Mr. Corridan reported they have about 325,000 cubic feet of records space in the Records Center now and maybe somewhere around 125,000 cubic feet of archival record space which is a significant amount of records that are now being stored by the Commission on Public Records.

10-05-19-06

AGENCY REQUESTS-RECORDS RETENTION AND DISPOSITION SCHEDULES(S)

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

1. FAMILY AND SOCIAL SERVICES ADMINISTRATION.....04-16-10
Division of Family Resources, Bureau of Child Care

In regard to this schedule, there were no questions or comments. Amy Robinson introduced Scott Huffman from this Agency. A motion was made by Caroline Bradley and seconded by John Jacob to approve Schedule No. 1 as submitted. Motion carried.

2. INDIANA UNIVERSITY.....03-24-10
Indiana Medical Education Board

In regard to this schedule, there were no questions or comments. A motion was made by Pam Bennett and seconded by John Jacob to approve Schedule No. 2 as submitted. Motion carried.

3. INDIANA GAMING COMMISSION.....05-07-10

In regard to this schedule, there were no questions or comments. Lea Ellingwood and Kesha Rich were introduced from this Agency. A motion was made by Caroline Bradley and seconded by Connie Smith to approve Schedule No. 3 as submitted. Motion carried.

4. STATE DEPARTMENT OF HEALTH.....05-07-10

Maternal and Child Health-Oral Health

In regard to this schedule, there were no questions or comments. Rudy Cansino was introduced from this Agency. A motion was made by John Jacob and seconded by Anita Samuel to approve Schedule No. 4 as submitted. Motion carried.

10-05-19-07

NEW BUSINESS

None

10-05-19-08

ADJOURNMENT

There being no further business, John Jacob moved that the meeting be adjourned. Pam Bennett seconded. Motion carried. Meeting adjourned at 2:00 p.m.