

**Indiana Commission on Public Records
Agency Overview, FY2014-15 Biennial Budget**

The Indiana Commission on Public Records (ICPR) assists state and local governments in the efficient and effective management of public records by providing services throughout the life cycle of records, including creation, distribution, use, storage, and disposition. The Agency's departments include: Forms Management, Records Management (both state and local), the Micrographics and Scanning Lab, the Record Center, the State Archives, and Administration.

Program Functions and Prioritized List:

1. *State Archives:* The State Archives is responsible for maintaining and preserving Indiana's most precious historical and significant government documents. It provides public access to the government's permanent records. It holds records ranging from the State's Constitutions to court records, state hospital patient records, and military records.
2. *Records Management:* This division reviews, revises, creates, and deletes record series and retention schedules for the review and approval of the Oversight Commission of Public Records, both at the state and local levels of government.
3. *Records Center:* The Records Center, located at 30th Street with the State Archives, stores records that remain property of an agency, housed temporarily at the Records Center while awaiting their final disposition (destruction or permanent retention). The staff also provide records pickup, destruction, shredding, and retrieval services for state agencies.
4. *Micrographics and Scanning:* ICPR's microfilming and scanning facilities provide the State with a cost effective mechanism (about 35% less than market cost) to create and convert microfilm and digital images to reduce the storage costs and space necessary to maintain long-term records. Any net revenue generated from micrographics and scanning is deposited into the Photo Laboratory Fund, which supports the State Archives per Indiana Code 5-15-5.1-5.3.
5. *Forms Management:* This division updates, creates, deletes, and revises state forms following the established standards for Indiana State forms. They maintain the state form catalog (www.IN.gov/forms) and work with agencies to maintain version control of forms. Prior to the creation of the Forms Management division, Indiana had more than 68,354 forms, and ICPR has reduced that number to 11,241.

Accomplishments and Challenges Over the Past Two Years:

The State Records Center expanded the confidential documents shredding program to include 17 agencies, with 150 paper bins in the field. To accommodate increasing demand for the storage of paper records, the Records Center expanded its storage capacity by about 75,000 boxes (cubic feet).

The State began using the new Indiana Digital Archives in early 2010, a project of the Library of Congress and Washington State Archives. Indiana has nearly 2 million indexed fields online as part of the project and is the leading partner regarding searches of the materials. Indiana is the only state in America housing its archives in a warehouse, which remains an ongoing threat to the records and history of the State. In the past year, Indiana has begun to address the development of an electronic records repository to store and maintain documents and has received part of a federal grant awarded to the Indiana State Library to temporarily fund parts of the program.

On average, the Micrographics and Scanning Lab has produced more than a million images per month for the past two years. Microfilm remains one of the most efficient and cost effective methods of preserving long-term or permanent records. However, the demand for these services is declining, which has resulted in a significant (30%) decline in associated revenues to the Photo Laboratory Fund. These revenues are used to support the State Archives' records preservation programs.

The Forms Management division has been tasked with consolidating the forms catalog and establishing a central repository for all official state forms. The project has resulted in the elimination of many unnecessary or outdated forms and has provided the opportunity for more print-on-demand options for agencies and the public.

Records Management has been busy consolidating the 11,000 record series down to 3,687, far exceeding ICPR's goal of falling below 5,500. These efforts continue to be undertaken to simplify retention requirements for state employees when determining the disposition of electronic records. Retention schedules have been rewritten for all local government entities, except for the public schools.

It should be noted that ICPR has had Worker's Compensation expenses in excess of \$259,000 over the past three and one half years from employees at the Records Center. We believe these have been rectified; however, all payments have been taken from the ICPR's non-reverting fund, which has left the Agency without the ability to fully develop the State's electronic records program.

Goals and Objectives for the FY2014-2015 Biennium:

- *Create Remaining Local Retention Schedules* – No record retention schedule exists for certain local offices, including local law enforcement agencies, prosecutors, and surveyors. ICPR will work to develop schedules for these remaining offices. Adopting these schedules is vital to safeguarding records; some of these documents could prove the guilt or innocence of citizens.
- *Electronic Records Initiative* – ICPR has begun exploring electronic records archiving with IOT to retain electronic data in compliance with retention schedules and the interests of the State Archives. The State may not be currently retaining all new formats of data, like the Legislature’s webcasts or the Supreme Court’s history webcasts, in addition to standard electronic records.

ICPR is concerned that it is substantially underfunded to sustain an electronic records program and is requesting an increase to its general fund appropriation to cover operating expenses that have been shifted to the Photo Laboratory Fund in recent years. Freeing up the revenue in the Photo Laboratory Fund would allow ICPR to better support its electronic records initiative. This request is discussed in greater detail in a later section.

- *Enterprise Electronic Content Management* – ICPR is working with other state agencies to explore options with IOT to implement a content management solution to allow Indiana agencies to access all records electronically.
- *Revenue Opportunities at Records Center* – ICPR is looking into the feasibility of implementing a storage fee for records stored at the Records Center. The revenue would be used to support the Records Center, State Archives, and state electronic records programs.

Key Performance Indicators:

ICPR has three Key Performance Indicators (asterisked below) to measure particular activities affecting ICPR and an additional six general performance measures:

*Backlog of unprocessed records at the State Archives (in cubic feet)
*Turnaround time (in days) for record pick up from agencies
*Percent of agencies with records in compliance
Percent of counties with records in statutory compliance (annual local commission meetings held)
Average turnaround time (in days) from form request to completion
Incoming archives documents received (in cubic feet)
Total archives documents processed (in cubic feet)
Turnaround time (in days) for Record pulls from Records Center
Number of images microfilmed

ICPR continues to see a growth in the backlog of archival records needing to be processed and accessioned into the State Archives indexes and catalog of holdings. The turnaround for pickups has improved significantly over the past four years and has now stabilized. ICPR has made significant strides to meet with every agency in the last 30 months to bring records retention schedules up to date and push for agency compliance.

Additional measures assist ICPR in determining if local county commissions are meeting. ICPR has seen significant improvement in compliance at the local levels and expects this trend to continue. Forms Management has been measuring the turnaround time it takes for ICPR to accept, modify, or create and complete a form for a state agency. The next two measures (related to archival records) help derive the backlog at the State Archives. Agencies request documents from the State’s Records Center, and the pulling of this information is a measurement of the number of days a request is submitted until the agency receives the file or box of records. The final measure is the number of images microfilmed or scanned by the ICPR’s micrographics division.

FY2014-15 Budget Requests:

ICPR requests a change package to help increase its financial stability:

In recent years, ICPR has been relying on the revenue generated in the Photo Laboratory Fund to support general operating costs. Revenue has been used to aid the Agency in meeting its reversion targets and covering normal operating expenditures. The revenue generated is declining rapidly, down nearly 35% from last year. To reach a more stable financial situation, ICPR requests an operating budget increase of \$100,552/yr in the

next biennium. This will provide the funds necessary for ICPR to meet its statutory duties. This figure does not include new staffing, nor does it fund any vacant positions.

The following are current expenditures which have been shifted to the Photo Laboratory Fund that we are requesting be returned to the Operating Fund: \$51,316 for temporary Records Center employees to manage the facility and pick-up records, \$30,159 to cover maintenance for ICPR equipment, \$9,622 to be used to cover IOT Seat charges and miscellaneous IOT fees, and the remaining \$9,455 for other miscellaneous office expenses. The \$100,552 change package request for the main operating fund would cover these costs.

While no programs will be reduced, eliminated, or replaced in the coming years, the Commission on Public Records is working to streamline existing operations and will be reassigning staff to alleviate backlogs of unprocessed records, work toward compliance with records laws and rules, and assist in the development of electronic records initiatives through the next biennium. The Indiana Commission on Public Records respectfully requests consideration of the proposed change package to help improve its capacity to meet its mission.

Respectfully Submitted,

Jim Corridan
Director & State Archivist
Indiana Commission on Public Records