STATE OF INDIANA

Mitchell E. Daniels Jr., Governor

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TO: Governor Mitch Daniels

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

FROM: Gerry Weaver, Chief Information Officer

RE: Report to the Governor Relating to State Information Systems

DATE: December 31, 2008

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.

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 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.

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[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.

II. 2008 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.

A. Personal Information Systems Identified

IOT identified 118 state agencies (as that term is broadly defined by statute[3]) that should respond. From the 67 agencies that responded, 777 personal information systems[4] were identified. Agencies updated 98.6% 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 777 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 232
- Patients 223
- General Public 143
- Contractors 86
- Specific Professions 66
- Licensees 61
- Criminals/Victims 41
- Veterans 39
- Students 30
- Specific Organizational Affiliation 27
- Other[*] 117

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[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.

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

C. Number of Individuals

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

- 0-100 70
- 101-500 194
- 501-1000 63
- 1001-3000 81
- 3001-5000 29
- 5001-10,000 30
- 10,001-25,000 27
- 25,001-50,000 48
- 50,001-100,000 34
- 100,001-500,000 54
- 500,001-1,000,000 15
- 1,000,001-2,000,000 5
- 2,000,001-5,000,000 5
- 5,000,001-10,000,000 6
- >10,000,000 1
- Indeterminable 115

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 Identifiable[5] data 663
- Systems collecting Social Security Numbers 289
- Systems collecting Health data 234
- Systems collecting Financial data 204
- Systems collecting Employment data 204
- Systems collecting Educational data..128
- Systems collecting Law Enforcement data..64
- Systems collecting Religious data 24
- Systems collecting Credit Card Information...6
- Systems collecting Political data 0
- Systems collecting Other[*] data 77

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,

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

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 Individual 307
- From Individual and Other Sources...250
- From Sources Other than the Individual..213
- Unknown..7

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 Public..112
- Available to the Other Government Agencies...272
- Available to the Internal Agency Only 393

III. Conclusion

This year's agencies responses show continued movement away from the collection of personal information. The total number of personal information systems declined. In addition, the number of systems collecting social security numbers has declined, which is likely a reflection of the relatively new legislation regarding security breeches. IOT will continue to work with agencies to improve the security of personal information systems, as well as assist with agency's desires to limit the personal information stored or required by their systems. 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

Agency	Count	Agency	Count
State Board of Accounts	2	Indiana Historical Bureau	1
Indiana Advisory Commission on Intergovernmental Relations	0	Inspector General	0
Adjutant General's Office	1	Department of Insurance	3
Department of Administration	17	Department of Labor	1
Indiana State Department of Agriculture	3	Law Enforcement Academy	3
Alcohol & Tobacco Commission	7	Indiana State Library	0
Board of Animal Health	2	Office of Lieutenant Governor	2
Arts Commission	4	Department of Local Government Finance	1
Auditor of State	0	Office of Management & Budget	0
State Budget Agency	4	Bureau of Motor Vehicles	6
Office of State Chemist and Seed Commissioner	18	Department of Natural Resources	15
Department of Child Services	9	State Personnel Department	1
Civil Rights Commission	6	State Police	0
Department of Correction	15	Indiana Ports Commission	0
Criminal Justice Institute	12	Professional Licensing Agency	7
Indiana Economic Development Corporation	5	Commission on Proprietary Education	2
Indiana Educational Employee Relations Board	0	Indiana Protection and Advocacy Services Commission	4
Department of Education	4	Public Employees Retirement Fund	1
Office of Energy & Defense Development	1	Indiana Commission on Public Records	0
Indiana Department of Environmental Management	5	Department of Revenue	18
State Ethics Commission	0	Office of Rural Affairs	2
Indiana State Fair Commission	6	Indiana School for the Deaf	0
Family and Social Services Administration	299	Indiana Stadium and Convention Building Authority	0
Indiana Finance Authority	1	State Student Assistance Commission of Indiana	11
Department of Financial Institutions	20	Indiana Tobacco Use Prevention and Cessation	0
Gaming Commission	2	Indiana Board of Tax Review	2
Department of Gaming Research	0	Indiana State Teachers Retirement Fund	3
Board of Geologists	1	Indiana Office of Technology	2
Indiana Grain Buyers and Warehouse Licensing Agency	2	Department of Transportation	12
State Department of Health	131	Office of Utility Consumer Counselor	0
Indiana Commission on Hispanic/Latino Affairs	0	Utility Regulatory Commission	3
Indiana Department of Homeland Security	20	Department of Veteran Affairs	43
Hoosier Lottery	8	Department of Workforce Development	25
Indiana Housing and Community Development Authority	4		