



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: Gerry Weaver, Chief Information Officer

RE: Report to the Governor Relating to State Information Systems

DATE: December 31, 2009

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. The scope was expanded to all IT systems covering other related reporting requirements and minimizing the burden on 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>.

II. 2009 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 had 67 agencies that responded identifying 764 personal information systems³. Agencies updated 100% 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 764 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.....	237
▪ Patients.....	215
▪ General Public.....	149
▪ Contractors.....	92
▪ Specific Professions.....	65
▪ Licensees.....	63
▪ Criminals/Victims.....	45
▪ Veterans.....	38
▪ Students.....	29
▪ Specific Organizational Affiliation.....	24
▪ Other *.....	168

³ 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	68
▪ 101-500	180
▪ 501-1000	65
▪ 1001-3000	89
▪ 3001-5000	29
▪ 5001-10,000	32
▪ 10,001-25,000	27
▪ 25,001-50,000	45
▪ 50,001-100,000	34
▪ 100,001-500,000	55
▪ 500,001-1,000,000	14
▪ 1,000,001-2,000,000	5
▪ 2,000,001-5,000,000	6
▪ 5,000,001-10,000,000	6
▪ >10,000,000	1
▪ Indeterminable	108

D. Categories of Personal Information

The categories of personal information collected in the 764 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 ⁴ data	653
▪ Systems collecting Social Security Numbers	288
▪ Systems collecting Health data	231
▪ Systems collecting Financial data	211
▪ Systems collecting Employment data	204
▪ Systems collecting Educational data	128
▪ Systems collecting Law Enforcement data	66
▪ Systems collecting Religious data	26
▪ Systems collecting Credit Card Information	7
▪ Systems collecting Political data	0
▪ Systems collecting Other* data	151

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,

⁴ 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 Individual299
- From Individual and Other Sources268
- From Sources Other than the Individual191
- Unknown.....6

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.....117
- Available to the Other Government Agencies267
- Available to the Internal Agency Only380

III. Conclusion

This year’s agencies responses show continued movement away from the collection of personal information. The number of systems with social security numbers declined this past year to 764 from 777. This is down from a high of 850 in 2006. The trend likely reflects increased agency awareness regarding the security risks associated with collecting personal information. Wider adoption of PeopleSoft statewide also had a positive impact as smaller, less secure systems were replaced. 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**

Accounts, State Board of	2	Law Enforcement Academy	3
Adjutant General's Office	1	Library, Indiana State	0
Administration, Department of	19	Lieutenant Governor, Office of	2
Agriculture, Indiana State Department of	5	Local Government Finance, Department of	1
Alcohol & Tobacco Commission	7	Motor Vehicles, Bureau of	6
Animal Health, Board of	2	Natural Resources, Department of	17
Arts Commission	4	Personnel Department, State	1
Budget Agency, State	4	Ports Commission, Indiana	0
Chemist and Seed Commissioner, Office of State	18	Professional Licensing Agency	7
Child Services, Department of	10	Proprietary Education, Commission on	2
Civil Rights Commission	6	Protection and Advocacy Services Commission, Indiana	4
Correction, Department of	15	Public Employees Retirement Fund	1
Criminal Justice Institute	12	Public Records, Indiana Commission on	0
Economic Development Corp., Indiana	5	Revenue, Department of	19
Education, Department of	4	Rural Affairs, Office of	2
Educational Employee Relations Board, Indiana	0	School for the Deaf, Indiana	0
Energy & Defense Development, Office of	1	Stadium and Convention Building Authority, Indiana	0
Environmental Management, Indiana Department of	4	Student Assistance Commission of Indiana, State	11
Fair Commission, Indiana State	6	Tax Review, Indiana Board of	2
Family and Social Services Administration	285	Teachers Retirement Fund, Indiana State	3
Finance Authority, Indiana	1	Technology, Indiana Office of	2
Financial Institutions, Department of	21	Tobacco Use Prevention and Cessation, Indiana	0
Gaming Commission	2	Transportation, Department of	10
Geologists, Board of	1	Utility Consumer Counselor, Office of	0
Health, State Department of	131	Utility Regulatory Commission	2
Hispanic/Latino Affairs, Indiana Commission on	0	Veteran Affairs, Department of	42
Homeland Security, Indiana Department of	19	Workforce Development, Department of	24
Hoosier Lottery	8		
Housing and Community Development Authority, Indiana	4		
Indiana Historical Bureau	1		
Indiana State Police	0		
Inspector General	0		
Insurance, Department of	3		
Labor, Department of	2		