STATE OF INDIANA

Mitchell E. Daniels Jr., Governor

OFFICE OF TECHNOLOGY
Brian Arrowood
Chief Information Officer

Indiana Government Center North
100 N. Senate Ave., Room N551
Indianapolis, IN 46204
(317) 232 - 3171

TO: Governor Mitch Daniels

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

FROM: Brian Arrowood, Chief Information Officer

RE: Report to the Governor Relating to State Information Systems

DATE: December 31, 2012

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. 2012 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 60 agencies that responded identifying 735 personal information systems[3]. Agencies updated all but a handful 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 735 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..234
- Patients..203
- General Public..143
- Contractors..92
- Licensees...66
- Specific Professions...63
- Criminals/Victims..38
- Veterans 37
- Students...28
- Specific Organizational Affiliation..20
- Other[*] 184

---

[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 64
- 101-500 164
- 501-1000 66
- 1001-3000 86
- 3001-5000 25
- 5001-10,000 28
- 10,001-25,000 28
- 25,001-50,000 48
- 50,001-100,000 32
- 100,001-500,000 56
- 500,001-1,000,000 17
- 1,000,001-2,000,000 4
- 2,000,001-5,000,000 4
- 5,000,001-10,000,000 8
- >10,000,000 1
- Indeterminable 104

D.   Categories of Personal Information

The categories of personal information collected in the 735 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 632
- Systems collecting Social Security Numbers 267
- Systems collecting Health data 222
- Systems collecting Financial data..210
- Systems collecting Employment data 197
- Systems collecting Educational data..128
- Systems collecting Law Enforcement data 67
- Systems collecting Religious data 22
- Systems collecting Credit Card Information...10
- Systems collecting Political data 0
- Systems collecting Other[*] data 150

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 Individual 283
- From Individual and Other Sources..270
- From Sources Other than the Individual...177
- Unknown...5

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..127
- Available to the Other Government Agencies..254
- Available to the Internal Agency Only...354

III. Conclusion

This year's agencies responses show continued movement away from the collection of personal information. The number of systems with personal information declined this past year to 735 from 739. 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.   If you have any questions, please contact us.

TABLE 1
Responding Agencies and the Number of Personal Information Systems

Agency	Total	Agency	Total
Accounts, State Board of (SBOA)	1	Insurance, Department of (DOI)	3
Adjutant General's Office (AGO)	2	Integrated Public Safety Commission	0
Administration, Department of (IDOA)	19	Labor, Department of (DOL)	1
Agriculture, Indiana State Department of (ISDA)	5	Law Enforcement Academy (ILEA)	2
Alcohol & Tobacco Commission (ATC)	7	Library, Indiana State	0
Animal Health, Board of (BOAH)	4	Lieutenant Governor, Office of	2
Arts Commission (IAC)	4	Local Government Finance, Department of (DLGF)	1
Auditor of State	1	Motor Vehicles Commission, bureau of	1
Budget Agency, State (SBA)	5	Motor Vehicles, Bureau of (BMV)	5
Chemist and Seed Commissioner, Office of State (OISC)	18	Museum, Indiana State (ISM)	2
Child Services, Department of (DCS)	8	Natural Resources, Department of (DNR)	17
Civil Rights Commission	6	Personnel Department, State (SPD)	1
Correction, Department of (DOC)	13	Ports Commission, Indiana	0
Criminal Justice Institute (ICJI)	12	Professional Licensing Agency (PLA)	8
Economic Development Corp., Indiana (IEDC)	4	Proprietary Education, Commission on	2
Education, Department of (DOE)	8	Protection and Advocacy Services Commission, Indiana (IPAS)	4
Energy & Defense Development, Office of	2	Public Records, Indiana Commission on (ICPR)	0
Environmental Management, Indiana Department of (IDEM)	2	Public Retirement System, Indiana (INPRS)	4
Fair Commission, Indiana State	8	Revenue, Department of (DOR)	17
Family and Social Services Administration (FSSA)	267	Rural Affairs, Office of	2
Finance Authority, Indiana (IFA)	1	Stadium and Convention Building Authority, Indiana	0
Financial Institutions, Department of (DFI)	21	Student Assistance Commission of Indiana, State (SSACI)	8
Gaming Commission (IGC)	2	Tax Review, Indiana Board of	2
Geologists, Board of	1	Technology, Indiana Office of (IOT)	2
Health, State Department of (ISDH)	124	Transportation, Department of (INDOT)	10
Homeland Security, Indiana Department of (IDHS)	17	Utility Consumer Counselor, Office of (OUCC)	0
Hoosier Lottery	8	Utility Regulatory Commission (IURC)	3
Housing and Community Development Authority, Indiana (IHCDA)	5	Veteran Affairs, Department of (DVA)	40
Indiana Historical Bureau	0	Worker's Compensations Board of Indiana	0
Inspector General	0	Workforce Development, Department of (DWD)	23