

STATE RECORDS COMMISSION
MINUTES
May 18, 2011
Springfield, Illinois

A meeting of the State Records Commission was held at 9:30 a.m., May 18, 2011 in the John Daly conference room of the Margaret Cross Norton Building in Springfield.

Commission members present were: Chairman David Joens, designee of Secretary of State Jesse White; Lynn Patton, representing Attorney General Lisa Madigan; Steve Klokkenga, representing State Comptroller Judy Baar Topinka; David Boyd, representing James Sledge, Director of the Department of Central Management Services; and Gary Stockton, the designee of State Historian Thomas F. Schwartz and Secretary of the commission.

State Archives staff members present were: Steve Jones, Sandy Lucas and Lynn Kahbeah. Agency representative in attendance was Tony White of the Illinois Department of Transportation.

The meeting was called to order by Mr. Joens at 9:30 a.m. Mr. Joens called for the approval of the minutes of the meeting held on April 20, 2011. Mr. Boyd noted a few minor corrections to the minutes. Mr. Boyd moved to approve the minutes as amended. Mr. Stockton seconded the motion. The motion carried and the minutes of the April 20, 2011 meeting were approved as amended.

Chairman Joens moved to the first item of New Business Application 10-58 from the Department of Transportation (All). An agency representative was in attendance to answer questions. Ms. Patton moved to item #2 "Routine Miscellaneous Correspondence." Ms. Patton said based on the description the contents contain records of general correspondence and not policy related materials. She said in reviewing the superseded applications the descriptions of some of them seem to contain records not covered under correspondence. She said, for example, Application 71-15M contains design and construction information about structures. Mr. Jones said he would need to confer with the records officer but he thinks the originals would have been retained under the project construction files. Ms. Patton said if the records are contained elsewhere there is no concern. She noted the following applications could have the same problem: 71-16 (contains financial transactions). 72-13M (contains court decisions), subject files, legal opinions; 72-46 (includes information related to budget request); 72-52

(contains information related to daily work reports and daily attendance reports); 73-44 (includes personnel information, budget information and land acquisition records); 74-49 (listed as subject file – why is it not included in item number 3); 85-136 (includes plans and bids); 87-1M (contains information related to bills and claims, contract maintenance and leave request forms). Ms. Patton moved to defer until the above questions are answered. Mr. Boyd seconded the motion. The motion carried and application 10-58 was deferred.

The next Application on the agenda was 11-12 from the Department of Insurance (Consumer). Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 11-12 was approved as written.

Application 87-61K from Southern Illinois University – Carbondale (Office of the President) was the next to be considered. Mr. Boyd moved to item 110.11 “General Administrative Files.” Mr. Boyd noted that the superseded Application 87-61 has a weed clause but the new application does not. Ms. Lucas said the University does not weed these records but intends to keep the microfilm permanently. Mr. Boyd noted the second sentence of the supersession clause on item 110.12 “Grievance Files” was inadvertently copied from item 110.11 and should be deleted. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 87-61K was approved as amended.

The next item of new business was Application 87-61L from Southern Illinois University – Carbondale (Office of the President). Mr. Joens moved to item 160.03 “Administrative Correspondence Files.” Mr. Joens noted there is a definition for “routine documents” but routine documents is not used in the description. Mr. Joens said for consistency the wording should also be in the description. He suggested inserting “routine administrative correspondence” and deleting the word “general” from the description. Ms. Patton suggested making the description match the definition. She also suggested amending the retention to include “after litigation or investigation.” Ms. Patton moved to item #160.01 “Revolving Door Acknowledgement Forms.” Ms. Patton said she believes the description is correct for the people that are addressed but does not cover everyone subject to the revolving door provision. She suggested in line three deleting “a certain type of.” She also suggested in line four amending “employee” to “employees” (in both places); after the second word “employees” inserting “holding qualifying positions”; changing the words in parentheses to read (their spouses or

immediate family members); and deleting “if the state employee, in the past year, made regulatory/licensing decisions or awarded contacts.” Ms. Patton moved to approve. Mr. Stockton seconded the motion. The motion carried and application 87-61L was approved as amended.

The next Application on the agenda was Application 87-64AA from Southern Illinois University – Carbondale (Vice Chancellor for Student Affairs and Enrollment Management). Mr. Boyd moved to item 140.11 “Student Health Program Accounting Records.” Mr. Boyd noted since the records are being both microfilmed and scanned, the word “or delete” should be inserted after the word “destroy” in the recommendation. Mr. Boyd asked if these records contained any sensitive data. Ms. Lucas said no. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 87-64AA was approved as amended.

Application 87-64CC from Southern Illinois University – Carbondale (Vice Chancellor for Student Affairs and Enrollment Management) was the next to be considered. Mr. Boyd moved to approve. Mr. Klokkenga seconded the motion. The motion carried and application 87-64CC was approved as written.

The next Application on the agenda was 87-66PP from Southern Illinois University – Carbondale (Vice Chancellor for Administration and Finance). Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 87-66PP was approved as written.

The next Application on the agenda was 87-66QQ from Southern Illinois University – Carbondale (Vice Chancellor for Administration and Finance). Mr. Stockton moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 87-66QQ was approved as written.

Application 97-43OO from Southern Illinois University – Carbondale (Provost and Vice Chancellor) was the next to be considered. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 97-43OO was approved as written.

Application 97-43PP from Southern Illinois University – Carbondale (Provost and Vice Chancellor) was next on the agenda. Mr. Boyd moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 97-43PP was approved as written.

The next to be considered was Application 97-43RR from Southern Illinois University – Carbondale (Provost and Vice Chancellor). Mr. Stockton moved to approve. Mr. Klockenga seconded the motion. The motion carried and Application 97-43RR was approved as written.

Application 97-43SS from Southern Illinois University –Carbondale (Provost and Vice Chancellor) was next on the agenda. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 97-43SS was approved as written.

Application 97-43TT from Southern Illinois University – Carbondale (Provost and Vice Chancellor) was the next on the agenda. Mr. Boyd noted a typographical error in the retention of 846.06 “Job Search Files.” Mr. Joens noted item 846.01 “Administrative Correspondence Files.” He said for consistency to amend the description and definition to “routine administrative correspondence” such as described in Application 87-64AA. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 97-43TT was approved as amended.

The last Application on the agenda was 07-09C from Southern Illinois University-Edwardsville (Vice President for Academic Affairs). Ms. Patton moved to 950.004 “Faculty Licenses.” She asked if these were dental licenses for the faculty members issued by the Department of Professional Regulations. Mr. Jones said he was not sure. Ms. Patton asked for verification. She said if they are dental licenses she would like this clarified in the description. She also suggested amending the wording in the first line of the description to read “issued” instead of “administered”. Ms. Patton also noted in the 2nd line of the description the correct department name is “Financial and Professional Regulations.” Mr. Boyd moved to item 950.001 “Patient Records.” He asked where the microfilm is coming from. Mr. Jones said these records are still in hard copy and microfilm format. Mr. Boyd suggested adding “if microfilmed dispose of hardcopy in a secure manner.” to the recommendation of item 950.001 and 950.002 “Student Files and Grades.” Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 07-09C was approved as amended.

The date of the next scheduled State Records Commission meeting is Wednesday, June 15, 2011 at 9:30 a.m. in the John Daly Conference Room of the Margaret Cross Norton Building, Springfield, Illinois. Mr. Boyd moved to adjourn. Mr. Klokkenga seconded the motion and the May 18, 2011 State Records Commission adjourned at 10:15 a.m.

The following applications were submitted to the State Records Commission members for consideration:

- *10-58 Department of Transportation
 (All)
 Deferred

- 11-12 Insurance
 (Consumer)
 Approved as Written

- 87-61K Southern Illinois University –Carbondale
 (Office of the President)
 Approved as Amended

- 87-61L Southern Illinois University–Carbondale
 (Office of the President)
 Approved as Amended

- 87-64AA Southern Illinois University-Carbondale
 (Vice Chancellor for Student Affairs & Enrollment)
 Approved as Amended

- 87-64CC Southern Illinois University-Carbondale
 (Vice Chancellor for Student Affairs & Enrollment)
 Approved as Written

- 87-66PP Southern Illinois University-Carbondale
 (Vice Chancellor for Administration and Finance)
 Approved as Written

- 87-66QQ Southern Illinois University-Carbondale
 (Vice Chancellor for Administration and Finance)
 Approved as Written

- 97-43OO Southern Illinois University-Carbondale
 (Provost and Vice Chancellor)
 Approved as Written

- 97-43PP Southern Illinois University-Carbondale
 (Provost and Vice Chancellor)
 Approved as Written

- 97-43RR Southern Illinois University-Carbondale
(Provost and Vice Chancellor)
Approved as Written
- 97-43SS Southern Illinois University-Carbondale
(Provost and Vice Chancellor)
Approved as Written
- 97-43TT Southern Illinois University-Carbondale
(Provost and Vice Chancellor)
Approved as Amended
- 07-09C Southern Illinois University – Edwardsville
(Vice President for Academic Affairs)
Approved as Amended