

STATE RECORDS COMMISSION
MINUTES
June 15, 2011
Springfield, Illinois

A meeting of the State Records Commission was held at 9:30 a.m., June 15, 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; David Boyd, representing James Sledge, Director of the Department of Central Management Services; Jim Kramp, representing State Treasurer Dan Rutherford; 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, Gloria Huston and Lynn Kahbeah.

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 May 18, 2011. Mr. Kramp moved to approve. Ms. Patton seconded the motion. The motion carried and the minutes of the May 18, 2011 meeting were approved as written.

The first item of old business was Application 98-2K from Office of the State Treasurer (Accounting). This application was deferred April 20, 2011 to confer with the agency regarding the microfilm retention. Mr. Kramp said he had talked to the accounting manager and the records officer within the division and they do want a permanent retention. Mr. Kramp moved to approve. Mr. Boyd seconded the motion. The motion carried and Application 98-2K was approved as written.

The first item of new business was Application 11-18 from the Department of Central Management Services (Bureau of Benefits). Mr. Boyd moved to approve. Mr. Stockton seconded the motion. The motion carried and application 11-18 was approved as written.

The next item on the agenda was Application 11-07 from Healthcare and Family Services (Bureau of Fiscal Operations). Mr. Boyd said the retention states "Microfilm as generated from original digital data..." He asked if we should address the digital data. Mr. Jones said no, he believes the agency is maintaining the digital data permanently. Mr. Kramp moved to approve.

Ms. Patton seconded the motion. The motion carried and application 11-07 was approved as written.

Application 11-11 from the Department of Human Services (Forms Management) was the next item on the agenda. Mr. Boyd moved to item #2 “Central Management Services (CMS) Graphic Design Job Request Form Files.” Mr. Boyd said the retention as written is incomplete. Ms. Lucas said it should say “after superseded or obsolete.” Ms. Patton asked what “copies of payments” refer to. Mr. Boyd said the record is an “agency record copy” so the original would be maintained elsewhere. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 11-11 was approved as amended.

The next Application to be considered was 11-15 from Office of the Secretary of State (Personnel). Mr. Boyd moved to item 1 “Proof of Educational Status Files.” He said the recommendation refers to originals, but since the record series consists of transcripts and diplomas, these are probably not the original records. Ms. Lucas suggested removing the reference to “original” in the recommendation. Mr. Joens asked if the word “copies” should be added to the description. Ms. Lucas said no, when you receive a transcript from the school they are in a sealed envelope, and some are notarized or stamped depending on the school. Mr. Boyd asked in the retention, “retain 75 years from what.” Ms. Lucas said “it should read the date received.” Mr. Stockton moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-15 was approved as amended.

The next item of new business was Application 11-22 from the Department of Transportation (Quality Compliance and Review). Mr. Boyd said the retention should be amended to include “destroy in a secure manner.” Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-22 was approved as amended.

Application 11-23 from the Department of Transportation (Finance and Administration) was the next on the agenda. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 11-23 was approved as written.

Application 11-19 from the Illinois Toll Highway Authority (Administration) was the next on the agenda. Mr. Boyd moved to the retention of item 300.02 “Outside Consultant Badge Authorizations.” Mr. Boyd said the retention states “after date of last access.” He said he believes it will be too time consuming to find out the date of last access. He suggested changing

the wording of the retention. Mr. Jones suggested removing “the date of last access.” Ms. Huston said since the file is dealing with giving outside consultants access to Illinois Tollway buildings, the commission could add “after expiration of contract.” Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-19 was approved as amended.

The next item on the agenda was Application 11-24 from the Department of Veterans’ Affairs (Human Resources). Mr. Boyd moved to the retention of item #1 “Employee Medical Files.” He said “in a secure manner” should be deleted from both paragraphs. Mr. Kramp moved to approve. Mr. Stockton seconded the motion. The motion carried and application 11-24 was approved as amended.

The next item on the agenda was Application 84-66DD from Eastern Illinois University (V.P. for Business Affairs). Ms. Patton moved to approve. Mr. Boyd seconded the motion. The motion carried and Application 84-66DD was approved as written.

Application 07-11A from Southern Illinois University – Edwardsville (Vice Chancellor for Administration) was the next to be considered. Mr. Boyd moved to item 260.06 “Commercial Driver’s License (CDL) Drug Testing Files.” He asked what the difference was between a “list of employees” and a “listing of employees eligible for testing.” Mr. Jones said the sentence should read “The files include a list of employees eligible for testing....” Ms. Patton asked what happens to the positive test results. Mr. Jones said he was not sure. Mr. Joens asked how often these tests are performed. Mr. Jones said he thought every year but would have to check with the agency. Mr. Kramp suggested deferring the application until staff finds out what happens to the positive test results. Mr. Boyd seconded the motion. The motion carried and Application 07-11A was deferred.

The last Application on the agenda was 85-148I from Western Illinois University (Vice President of Student Affairs). Mr. Boyd moved to item 500.04 “Prescription Files.” Mr. Boyd suggested removing “provided a copy of the physician’s order and prescription records is filed in the patient’s” file from the retention. He said this is already clarified in the description. Mr. Boyd then moved to the retention of item 500.05 “X-Rays and X-Ray Interpretations.” He said the retention states “Retain all films in their original state etc....” He suggested adding “after termination.” Mr. Jones noted the retention referred to students and the retention used is

normally “5 years after graduation or last attendance.” Ms. Patton noted that employees are referenced in the 2nd paragraph. Mr. Boyd said the first paragraph states “delete from system” but this is not noted in either of the other paragraphs. Mr. Jones said it should be added. Mr. Boyd suggested adding it to paragraphs 1) and 2). Ms. Patton said if the first paragraph is amended to state “5 years after graduation or last attendance” it would not cover every situation since these also are employee files. Mr. Jones said he would have to check into it. Ms. Patton then moved to 500.03 “Student Medical Records.” She stated the retention is six years or, if the patient is a minor, four years after age of majority. She said if there is a 17 year old the records would be retained until they were 21 but if you had an 18 year old the record would be retained until they were 24. She suggested adding “Retain for four years after the age of majority, whichever is later,” to the retention. Mr. Boyd moved to defer. Mr. Kramp seconded the motion. The motion carried and Application 85-148I was deferred.

The last item on the agenda was a discussion on House Resolution 417. Mr. Joens gave a brief summary. He said during the last week of session the University of Illinois had this resolution introduced in the house. The resolution sought to create a commission to look into the best practices on electronic records management. Mr. Joens said he would like to meet with officials from the University and get their input on managing electronic records. He asked the commission for permission to do so. Mr. Boyd said he didn’t think Mr. Joens needed the Commission’s permission and that he thought it would be a part of Mr. Joen’s duties. The rest of the commission agreed. Mr. Joens said he would meet with University of Illinois on this issue.

The date of the next scheduled State Records Commission meeting is Wednesday, July 20, 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. Stockton seconded the motion and the June 15, 2011 State Records Commission adjourned at 10:05 a.m.

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

- 98-2K Office of the State Treasurer
 (Accounting)
 Approved as Written

- 11-18 Central Management Services
 (Bureau of Benefits)
 Approved as Written

- 11-07 Healthcare and Family Services
 (Bureau of Fiscal Operations)
 Approved as Written

- 11-11 Human Services
 (Forms Management)
 Approved as Amended

- 11-15 Office of the Secretary of State
 (Personnel)
 Approved as Amended

- 11-22 Department of Transportation
 (Quality Compliance and Review)
 Approved as Amended

- 11-23 Department of Transportation
 (Finance and Administration)
 Approved as Written

- 11-19 Illinois Toll Highway Authority
 (Administration)
 Approved as Amended

- 11-24 Veterans Affairs
 (Human Resources)
 Approved as Amended

- 84-66DD Eastern Illinois University
 (V.P. for Business Affairs)
 Approved as Written

07-11A Southern Illinois University-Edwardsville
(Vice Chancellor for Administration)
Deferred

85-1248I Western Illinois University
(Vice President of Student Affairs)
Deferred