

STATE RECORDS COMMISSION

MINUTES

November 16, 2011

Springfield, Illinois

A meeting of the State Records Commission was held at 9:30 a.m., November 16, 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; Gary Stockton, the designee of State Historian's Office and Secretary of the commission; David Boyd, representing Malcolm E. Weems, Acting Director of the Department of Central Management Services; Jim Kramp, representing State Treasurer Dan Rutherford; and Steve Klokkenga, representing State Comptroller Judy Baar Topinka.

State Archives staff members present were: Steve Jones, Sandy Lucas, Gloria Huston, Rochelle Joseph, 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 October 19, 2011. Mr. Boyd moved to page three line three. He suggested adding "since this application is to destroy an accumulation of records," before the word "removing." Mr. Kramp moved to approve. Mr. Stockton seconded the motion. The motion carried and the minutes of the October 19, 2011 meeting were approved as amended.

The first item of old business was Application 10-58, Item #1 "Executive Correspondence Files" from the Illinois Department of Transportation (All). This Item was deferred August 17, 2011 pending resolution of an issue regarding minutes of public meetings in superseded application 91-52. Mr. Jones gave a summary of the changes made. He said after speaking with Diana Sternitzke, the Records Officer from the Department of Transportation, they concluded that the item did contain minutes and agendas from open meetings. The agency suggested removing minutes and agendas from the record series and writing a new application for the series. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 10-58 was approved as rewritten.

The next item on the agenda was Application 11-46 from the Illinois Health Facilities and Services Review Board (General Counsel). Mr. Boyd moved to item #1 "Illinois Health Facilities and Services Review Board Legal Case Files (Originals)." He noted the retention was

incomplete. He said “then destroy in a secure manner” should be added after “closure of case.” Mr. Kramp moved to approve. Mr. Boyd seconded the motion. The motion carried and Application 11-46 was approved as amended.

Application 11-58 from the Department of Human Services (Human Resources) was the next on the agenda. Mr. Boyd noted a typo in the retention of item #1 “Employee Medical Files.” Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-58 was approved as corrected.

The next item on the agenda was Application 11-43 from the Illinois Student Assistance Commission (General Counsel). Ms. Patton moved to item #2 “Statements of Economic Interest Files.” Ms. Patton asked if this series consisted only of forms, information required, and any attachments. She said the last sentence of the description states “these files do contain personal and confidential information,” and noted these statements are posted on the Secretary of State’s website. Ms. Lucas said the last sentence can be deleted. Mr. Klokkenga moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-43 was approved as amended.

The next item on the agenda was Application 11-52 from the Illinois Student Assistance Commission (All Divisions). Ms. Patton moved to item number 13 “Audio Recordings of Commission Meetings.” She suggested inserting wording used in the last month’s minutes “excluding verbatim records of executive sessions required under section 2.06 of the Open Meetings Act.” This also includes inserting “providing no review by the Attorney General’s Public Access Counselor is pending or anticipated” in the retention. Mr. Boyd said if these recordings are only retained for thirty days upon the approval of the minutes this could affect auditing of the recordings. Ms. Lucas said the standard retention is thirty days; the hard copy of the minutes should cover whatever is on the tape. After deliberation the Commission decided the thirty day retention was sufficient. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-52 was approved as amended.

Application 09-59A from the Illinois Toll Highway Authority (Finance) was the next to be considered. Mr. Boyd moved to approve. Mr. Kramp seconded the motion. The motion carried and Application 09-59A was approved as written.

The next Application on the agenda was 11-55 from Eastern Illinois University (V.P. for Business Affairs). Ms. Patton moved to item 100.01 “Board of Trustees Files.” Ms. Patton asked if these meetings were subject to the Open Meetings Act. Ms. Lucas said these are copies. She said “Duplicates” should be inserted in the title. Ms. Patton then moved to item 100.07 “Administrative Correspondence Files.” She said in the third line of the description there is reference to “minutes and agendas from other Administrative, Academic Service or University related organization.” She asked if these were covered by the “Open Meetings Act.” Ms. Lucas said these are duplicates. Ms. Huston suggested inserting duplicates in front of the word “minutes.” Ms. Patton agreed. Ms. Patton then moved to item 110.01 “Risk Management and Safety Surveillance and Regulation Files.” Ms. Patton noted that the word “Workman’s in the second line of the description should be amended to “Worker’s. Ms. Patton moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 11-55 was approved as amended.

Application 11-55A from Eastern Illinois University (V.P. for Business Affairs) was the next item on the agenda. Mr. Boyd moved to item #130.05 “External Annual Audit Reports.” Mr. Boyd moved to the clause in the retention which states “all adjustments necessary to correct negative audit finding(s) have been completed.” He said if there is an audit finding and it is a repeat it will show up in each audit, therefore this statement is not necessary. Ms. Lucas said the sentence should end with “no litigation is pending or anticipated.” Ms. Patton moved to 130.07 “Grant Correspondence Files.” She suggested adding “after completion or expiration of grant” to the recommendation. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 11-55A was approved as amended.

The next item on the agenda was application 92-78W from Eastern Illinois University (V.P. for Student Affairs). The Commission noted that a copy of this application was not in the meeting packets. Mr. Stockton moved to defer until the Commission has time to review the application. Mr. Klokkenga seconded the motion. The motion carried and Application 92-78W was deferred until next month.

The last item of business was Application 93-10C from Southern Illinois University School of Medicine (Office of Technology Transfer). Ms. Patton moved to item 700.01 “Office of Technology Transfer Files.” She asked if item number 2 in the retention referred only to

abandoned files or if there are any situations in which people have actually filed for a patent, copyright, or trademark. Mr. Jones said he was not sure. Ms. Patton said if it does contain the other files, the retention should be amended to “date of filing of the copyright or patent” instead of “abandonment.” Mr. Kramp moved to defer. Ms. Patton seconded the motion. The motion carried and Application 93-10C was deferred.

The date of the next scheduled State Records Commission meeting is Wednesday, December 21, 2011 at 9:30 a.m. in the John Daly Conference Room of the Margaret Cross Norton Building, Springfield, Illinois. Mr. Kramp moved to adjourn. Mr. Klokkenga seconded the motion and the November 16, 2011 State Records Commission adjourned at 10:00 a.m.

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

- 10-58 Illinois Department of Transportation
(All) (Item #1 “Executive Correspondence Files” which was deferred 8/17/11 pending resolution of issue regarding minutes of public meetings in superseded application 91-52.
Approved as Rewritten
- 11-46 Illinois Health Facilities and Services Review Board
(General Counsel)
Approved as Amended
- 11-58 Human Services
(Human Resources)
Approved as Corrected
- 11-43 Illinois Student Assistance Commission
(General Counsel)
Approved as Amended
- 11-52 Illinois Student Assistance Commission
(All Divisions)
Approved as Amended
- 09-59A Illinois Toll Highway Authority
(Finance)
Approved as Written
- 11-55 Eastern Illinois University
(V.P. for Business Affairs)
Approved as Amended
- 11-55A Eastern Illinois University
(V.P. for Business Affairs)
Approved as Amended
- 92-78W Eastern Illinois University
(V.P. for Student Affairs)
Deferred
- 93-10C Southern Illinois University – School of Medicine
(Office of Technology Transfer)
Deferred