

STATE RECORDS COMMISSION

MINUTES

December 21, 2011

Springfield, Illinois

A meeting of the State Records Commission was held at 9:30 a.m., December 21, 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; 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.

Records Officers in attendance were Diana Sternitzke, Bob Boots, and Lindsay Faulkner from the Department of Transportation and Kristi Owens from Southern Illinois University-School of Medicine.

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 November 16, 2011. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and the minutes of the November 16, 2011 meeting were approved as written.

Mr. Joens moved to new business Application 93-10C from Southern Illinois University School of Medicine (Office of Technology Transfer). A records officer was present to answer questions. This Application was deferred 11/16/11 to research whether number 2 of the retention contains situations where people have filed for a patent, copyright, or trademark. Ms. Owens summarized the retention of item number 700.01 "Office of Technology Transfer Files." Ms. Owens said number 1) would cover situations where intellectual property has not been filed. In numbers 2 and 3 some sort of patent, copyright, or trademark would have been filed. Number 2 deals with files that have actually issued intellectual property and 3 would cover files that are pending and abandoned before the issue came up. Ms. Patton asked if the correct terminology for number 2 was "abandoned" since they were actually submitted. Ms. Owens said once

intellectual property is actually issued there are still statement fees which have to be paid. The department may decide not to pay the fees and then the patent would expire before they get filed. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 93-10C was approved as written.

Next the Commission moved to Application 10-58A from the Illinois Department of Transportation (All). Records Officers were present to answer questions. This application was deferred 5/18/11 to review the supersession of several applications which include records not pertaining to administrative correspondence. Ms. Sternitzke said DOT has approximately 500 applications on file. The agency is trying to combine many of the existing applications which deal with the same record series into single applications. There are still some of the records series, such as policy files, which have not been approved yet. Mr. Joens said the supersession clause in this application pertains to some applications that are only partially superseded. Mr. Boyd asked for clarification of Application 10-58 and 10-58A. Mr. Jones explained 10-58 was approved except for item 1 "Executive Correspondence Files." Some of the records in this file were not considered correspondence so those records were pulled out and will be made into separate applications. Mr. Boyd said the supersession clause was the same except there was no mention of application 92-21M which was in the previous application. Ms. Lucas explained this application referred to minutes which were made into a separate record series/application. Ms. Patton suggested inserting "This item supersedes general correspondence schedules contained in the following State Records applications". Mr. Joens said since the items contained more than general correspondence the supersession clause should read "This item supersedes those portions of the listed State Records Applications general correspondence items that capture routine correspondence" Ms. Lucas noted that "delete from the system" should be added to the retention to address any type of electronic general correspondence. She also said 24 gigabytes should be added to the volume and 4 gigabytes should be added to the annual accumulation. Mr. Boyd moved to approve. Mr. Stockton seconded the motion. The motion carried and Application 10-58A was approved as amended.

Next the Commission moved to Application 11-53 Illinois Department of Transportation (Traffic Safety). Mr. Boyd moved to item 1 "Vehicle Inspection Reports (VIR) and School Bus Inspection Reports." He said in the second sentence of the recommendation "in the agency's

Vehicle and School Bus and Truck Inspection System (GVI)” should be deleted. He said the wording is too specific in regards to the electronic storage system, which may be changed in the future. He suggested amending the retention to “Scan hard copies upon receipt, then retain hard copies for 60 days, then destroy in a secure manner. Retain electronic data for seven (7) years, then delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Mr. Boyd then moved to item #2 “Vehicle Testing Stations Files.” He asked if the supersession clause pertained to school buses. Ms. Faulkner yes. Ms. Faulkner explained that trucks, buses, and trailers fall under a vehicle inspection form and school buses have a separate vehicle inspection form. Mr. Boyd asked if “school bus” should be inserted in the supersession clause. Ms. Faulkner said yes. She said all other buses would fall under the vehicle inspection form. Mr. Stockton moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 11-53 was approved as amended.

The next item was Application 92-78W from Eastern Illinois University (V.P. for Student Affairs). This application was deferred 11/16/11 to give Commission members a chance to review the contents. Mr. Boyd moved to item 180.23 “Student Medical Records.” Mr. Boyd said in the recommendation “then destroy in a secure manner or” should be deleted. Ms. Patton then moved to item 180.26 “X-Ray Files.” Ms. Patton questioned the use of “probability thereof” in 1) of the retention. Mr. Jones said this phrase was taken from the previous application. After deliberation the Commission suggested deleting “probability thereof” in the first sentence of number 1 of the retention. After deliberation the commission decided to amend the retention to “Retain in the system for five (5) years, then delete from the system provided no litigation is pending or anticipated except: 1) “Retain all original (normal and abnormal) films pertaining to cases in litigation until the litigation is concluded or for twelve (12) years, whichever is longer, then delete from the system.” 2) Dispose of any remaining accumulations of hardcopy X-rays that have already been scanned into the system pending approval of this State Records Application.” Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and Application 92-78W was approved as amended.

Application 11-03 from the Department of Revenue (All) was the next to be considered. Mr. Boyd moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 11-03 was approved as written.

The next item on the agenda was Application 11-29 from the Department of Revenue (Local Government Services Bureau). Ms. Patton moved to approve. Mr. Stockton seconded the motion. The motion carried and Application 11-29 was approved as written.

Application 11-61 from the Office of the Secretary of State (Police) was the next on the agenda. Mr. Boyd moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 11-61 was approved as written.

The next item on the agenda was Application 11-56 from the Illinois Student Assistance Commission (College Illinois! Investments). Mr. Boyd noted in the retention audit should be amended to “audits.” Ms. Patton asked in the retention what “after termination” referred to. She asked if it was when the person who set up the account exhausts the investment money or when the investment fund has been terminated. After deliberation the Commission decided it pertained to the investment fund termination. Mr. Boyd moved to approve. Mr. Klokkenga seconded the motion. The motion carried and Application 11-56 was approved as corrected.

The next item of business was Application 11-57 from the Illinois Student Assistance Commission (General Counsel). Ms. Patton suggested adding “of the contract” in the retention after the word “termination”. Mr. Stockton moved to approve. Ms. Patton seconded the motion. The motion carried and Application 11-57 was approved as amended.

Application 11-59 from the Illinois Toll Highway Authority (Administration) was the next on the agenda. Ms. Patton moved to approve. Mr. Boyd seconded the motion. The motion carried and Application 11-59 was approved as written.

Application 11-36 from the Illinois Toll Highway Authority (Administration) was next on the agenda. Mr. Boyd moved to approve. Ms. Patton seconded the motion. The motion carried and application 11-36 was approved as written.

The last item on the agenda was the Tentative Meeting Dates for 2012. Mr. Klokkenga moved to approve. Mr. Stockton seconded the motion. The motion carried and the tentative meeting dates for 2012 were approved as written.

The date of the next scheduled State Records Commission meeting is Wednesday, January 18, 2012 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. The motion carried and the December 21, 2011 State Records Commission adjourned at 10:10 a.m.

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

- *10-58A Illinois Department of Transportation
(All) This Item was deferred 5/18/11 to review the supersession of several applications which have records series not considered as administrative correspondence.
Approved as Amended
- *93-10C Southern Illinois University School of Medicine
(Office of Technology Transfer)
Approved as Written
- 92-78W Eastern Illinois University
(V.P. for Student Affairs)
Approved as Amended
- *11-53 Department of Transportation
(Traffic Safety)
Approved as Amended
- 11-03 Department of Revenue
(All Divisions)
Approved as Written
- 11-29 Department of Revenue
(Local Government Services Bureau)
Approved as Written
- 11-61 Office of the Secretary of State
(Police)
Approved as Written
- 11-56 Illinois Student Assistance Commission
(College Illinois! Investments)
Approved as Corrected
- 11-57 Illinois Student Assistance Commission
(General Counsel)
Approved as Amended

11-59 Illinois Toll Highway Authority
(Administration)
Approved as Written

11-36 Illinois Toll Highway Authority
(Administration)
Approved as Written