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Records Management Reference Manual For Illinois State Government Agencies

2015

Office of the Secretary of State
Division of Archives & Records
Records Management Section–State Records Unit
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Introduction and Objectives

An important task for employees of the State of Illinois is the cost-effective and reliable maintenance of public records. Public records provide information about the distribution of millions of dollars in public funds, protect the rights of the citizens of the State of Illinois, and document administrative and statutory processes.

The Illinois State Records Act of 1957 (5 ILCS 160) (here after referred to as the Act) covers many areas of records management. The full text of this Act is located in the Appendices. The Act recognizes two record retention problem areas:

The first problem area is to avoid the accidental destruction of any record. The second problem area is to prevent the early destruction of state records. Both can result in disruption to the state's business by:

- Causing interruption to essential services;
- Causing accountability problems in the expenditure of public funds; and
- Causing the destruction of records with historic value.

The Act places three major responsibilities on each state agency:

First: No record may be destroyed without the approval of the Illinois State Records Commission.

Second: Each agency head must establish and maintain an active and continuing program of life cycle management for the records managed by their agency.

Third: The Act authorizes the Illinois Secretary of State to provide records management expertise and technological assistance to state agencies. This is done through the Illinois State Archives, Records Management Unit (here after referred to as the Unit). The primary purpose of the Unit is to assist state agencies in establishing and maintaining a comprehensive records management program that fully complies with the Act and the regulations of the State Records Commission.

The purpose of this manual is to outline the range of records management assistance available through the Unit.

Contact Information:

State Records Management Section
Illinois State Archives
Springfield, Illinois 62756
217-782-2647
217-557-1928 (fax)
https://www.cyberdriveillinois.com/departments/archives/records_management/home.html

Creating a Records Management Program

Every state agency must establish and maintain an active records management program. This overview provides implementation guidance for a compliant records management program under the Act. A state records officer from the State Records Unit can assist you with your program and provide the following:

- Expertise to support the economical and efficient management of agency records;
- Expertise for analyzing, developing and promoting procedures and techniques designed to improve the management of records;
- Expertise to establish appropriate retention recommendations for an agency's records;
- Expertise to support facilitating the segregation, storage and disposal of records with temporary value; and
- Expertise to ensure the maintenance and security of records deemed appropriate for permanent preservation.

Records Inventory

The first step in creating a records management program is to do a records inventory. A records inventory is vital to an effective records management program because it identifies the scope and quantity of an organization's records. The information that comes from the records inventory serves as the basis for all decisions concerning the direction a records program will follow. An agency can request that a Unit field representative from the Illinois State Archives conduct a records inventory of its agency. A field representative uses Inventory Worksheet (Form AR D 62.1) to collect essential information for a complete records inventory.

Instructions for Completing Inventory Worksheet AR D 62.1

The Inventory Worksheet requires the following information:

Date – When the worksheet was completed, ***not*** the date on the records.

Number – Necessary when completing more than one Worksheet.

Record Series – The title group of related records used/filed/evaluated as a unit for disposition purposes.

Dates – The first date for a record in the series. NOTE: When a specific date cannot be determined, an estimated date should be given for those records that are no longer created or required.

Volume – The total number of cubic feet of the records series in existence at the time of the inventory.

Annual Accumulation – The volume of records accumulated to date in total for the record series, and identifies the volume of records accumulated annually. When the records are on

paper, the volume is in cubic feet; when the records are digital, the volume is in bytes of data.

Number and Size of Files or Documents – Use this space to indicate the types of documents in the file. Either the physical measurements of the documents (length and width) or a description of the documents (IBM cards, 16mm microfilm, ledger sheets with size, ledger/minutes/journal bound in books, etc.).

Arrangement – Most records are arranged chronologically, alphabetically, numerically or by status (active/inactive/closed). Secondary or tertiary arrangements should be listed as follows: “chronological and alphabetical by license thereunder.”

Agency – The official designation of the state agency.

Division and Subdivision – The administrative subdivisions of the agency, when known, such as division, bureau, office or section.

Office Location – The location of the office of the person having responsibility for the records.

Representative – Provide the contact information for the person responsible for the record series (name/title/telephone).

Index or Finding Aids – Should be described briefly. Indicate the index media format, such as 3" x 5" index cards or microfilm.

Description – The detailed and accurate description of each record series. The description should contain enough detail to allow the State Records Commission to effectively appraise the value of the records series proposed for disposal. Records officers should be able explain in detail the function of the record, and identify it so that there are no misunderstandings about the record’s identity, use and information on the worksheet. The description is usually completed by the Unit field representative after the initial visit to the agency.

Recommendation – Dispositions should be specified in terms of years or months. When a specified retention depends upon the occurrence of an event or the completion of a transaction, the nature of the event or transaction should be indicated in the recommendation. It is at this point that the appraisal process begins. This process is a joint analysis of the records series by the agency personnel and the Unit field representative.

An example of a completed Inventory Worksheet (Form AR D 62.1) is in the appendices.

Appraising Records

Creating a records inventory tells an agency what records it has. The next step of the process is to appraise these records to help determine the minimum amount of time they must be kept (retained). An effective records management program requires a realistic appraisal of existing records. The appraisal process includes reviewing an agency’s functional process to define the records used in support of those functional processes.

The appraisal process:

- Establishes reasonable retention periods;
- Identifies records for immediate disposal;
- Identifies records for immediate transfer to the State Records Center; and
- Identifies records of lasting value for transfer to the Illinois State Archives (hereafter called the Archives).

The appraisal process assigns a value to the records:

Administrative Value: The primary administrative use for most records is exhausted when all the transactions related to them are completed. From that point they begin to lose their value quickly. However, records that contain the basic facts of an agency's origin, policies, functions, organization and significant administrative decisions are preserved long term to provide a historical perspective to understand the agency's operations.

Legal Value: Records have a legal value when they contain evidence of enforceable rights or obligations of the state. These records can include legal decisions and opinions; fiscal documents such as leases, titles and contracts; and records of actions such as claim papers and legal dockets.

Fiscal Value: (Financial Transactions) Records that have served their basic administrative function may still have sufficient fiscal value to justify their retention in storage for a defined life cycle for litigation or audit purposes.

Research, Historical or Archival Value: Records have enduring value when they reflect significant historical events or document the history and development of an agency or policy.

Establishing Retention Periods

Establishing a retention period is done after completing the appraisal process. An important factor impacting the retention period and record storage location is how often the records are used. For example:

A record that has a retention period of six years and has a lot of reference during the first two years, then almost no reference after that, will probably have a retention period that states:

> *"Retain two (2) years in office, then transfer to the state records center for four (4) years, after which dispose of ….."*

A record that has a retention period of 10 years and has a high reference rate for those 10 years will probably have a retention period that states:

> *"Retain ten (10) years in office, then dispose of…"*

A record that has an administrative reference value of three years, but also has an archival or historical value, will probably have a retention period that states:

> *"Retain three (3) years in office, and then transfer to the Illinois State Archives for permanent retention."*

NOTE: The term *"permanent,"* when used for archival and retention purposes, means *forever*. Using the term permanent to define a record's retention means that it has lasting value. The term permanent should not be confused with the term *"indefinite."* It should not be used when an agency actually means a very long period of time. Retention periods of 20 or 40 years for a record are not uncommon but such retention periods are not referred to as permanent.

Records Retention Schedule

Section 18 of the Act requires the agency head to submit to the State Records Commission (Commission) lists or schedules of records in their custody that the agency wants to dispose of or transfer to the State Records Center or Illinois State Archives. The function of the State Records Commission is to review the lists to determine what records may be disposed of and when. Records identified for destruction or transfer to either the State Records Center or Archives are submitted to the State Records Commission on an *Application for Authority to Dispose of State Records* (Application), which is also referred to as the "Records Retention Schedule."

The Application is the final version of the Inventory Worksheet that was discussed on Page 2 of this manual. It is developed by the agency and the State Records Unit. The Application is signed by the agency head, or their designee, prior to submission and approval of the State Records Commission. The Commission meets monthly in the Margaret Cross Norton Building in Springfield, and the meetings are open to the public. Agencies submitting Applications for Commission action may be requested to send representatives to the meeting in order to answer questions raised by members of the Commission. After the Commission has acted upon an agency's Application, a copy is returned to the agency with its action clearly indicated: Approved, Approved as Amended or Deferred. The Application then becomes the initiating instrument for an agency's on-going authority to carry through the terms of the recommendation (retention period). If an agency does not have an approved Application, it cannot legally dispose of a record. If a record series is not on an agency's Application, the agency cannot dispose of that record.

An example of an Application for Authority to Dispose of State Records is in the appendices for reference purposes only.

Records Life Cycle Management: Disposal and Retention

There are three ways for an agency to dispose of records once it has the authority to do so. All three methods require an agency to file a form with the State Records Unit before those records may be disposed of.

Agency Level Disposal: An agency's approved Application for Authority to Dispose of State Records may authorize the destruction of records stored in the agency's own office(s). If so, the agency must complete and have approved by the State Records Unit a State

Records Disposal Certificate (Form ARD 66.7) ***before*** the physical destruction of records. A Disposal Certificate is submitted no less than 30 days prior to the proposed destruction.

State Archives Transfer: An agency's approved Application for Authority to Dispose of State Records may authorize the transfer of its records to the Archives following its in-office retention period. If so, the agency will need to complete an Archives Records Transfer Sheet (Form AR D 50.1), and, when necessary, Archives Records Transfer Sheet Supplementary Page (Form AR D-109), to send with the records to the Archives. It is the responsibility of the agency to prepare and arrange for the physical transfer of the records to the Archives.

State Records Center Transfer: An agency's approved Application for Authority to Dispose of State Records may authorize the transfer of its records to the State Records Center following its in-office retention period. If so, the agency will need to complete Records Transfer Sheet (Form RM M 1.8), and, when necessary, Records Transfer Sheet Supplementary Page (Form RM M2), to send with the records to the State Records Center. It is the responsibility of the Agency to prepare and arrange for the physical transfer of the records to the State Records Center.

Agency Level Disposal

Most records maintained by an agency may be disposed of by that agency when the record's retention period has expired. After a record is kept for the recommended time period and there is no audit or legal hold on the record that requires the retention period be extended to meet the hold requirements, a State Records Disposal Certificate (Form ARD 66.7) must be submitted to the Unit for approval prior to disposing of the records.

This form is available at the Archives website, under State and Local Records Management: https://cyberdriveillinois.com/departments/archives/records_management/srmdisp.html
It can be downloaded from this site and filled out, or printed and typed. The form can also be requested from the Unit. When completed, two copies of the form are printed and signed at the agency, and then both are mailed to the Unit at the address provided on the form. A signed form can be faxed, or scanned and emailed to the Unit for approval.

Instructions for Completing State Records Disposal Certificate (Form ARD 66.7)

The State Records Disposal Certificate requires the following information:

Application # – The number of the Application.

State Agency – What is listed on the Application.

Address – Agency address.

Contact Telephone – Name and phone number of the individual filling out the form.

Contact Email – Email address of the individual filling out the form.

Item No. From Application – The number for the records listed on the Application.

Records Series Title – The title listed on the Application.

Inclusive Dates – The first date and last date for the records being disposed.

Volume of Records – When the records are on paper, the volume is measured in cubic feet; when the records are digital, the volume is measured in kilobytes, megabytes, gigabytes and so on.

Method of Disposal – How the records are to be destroyed, such as shred, incinerate or recycled.

Microfilm/Digitization Certification Block – This line must also be signed when records are being microfilm or digitized, and means the document conversion is in full compliance with 44 ILL Admin. Code 4400 (2015) requirements. *EXAMPLE:* A record has a three-year retention. The agency scans the record into a compliant document storage system 90 days after receipt. After the scanned image has been verified a true and accurate image, the originals can be disposed of providing the scanned document storage system is capable of managing the record for the balance of its life cycle. A Disposal Certificate is required when disposing of the original completing the Microfilm/Digitization Certification Block, and a second Disposal Certificate is required when the records are deleted from the document storage system. The same process is used when records are converted to microfilm, and the original record is disposed of.

Date – The date upon which the records are to be destroyed.

Signature – Individual disposing of the record, which is generally the point of contact.

Name/Title – Typed or printed name and title for the signature provided.

Approved – The submitted form has to be signed by the Chairman of the State Records Commission for approval. This is the final step in the disposal authorization process.

One copy of the form is kept at the Unit for permanent retention, and one is returned to the agency for permanent retention. The records can be destroyed at any time after the date provided on the form.

An example of a completed State Records Disposal Certificate (Form ARD 66.7) is in the appendices.

Transferring Records to the Illinois State Archives

Records with a permanent records retention may be transferred to the Illinois State Archives. The Illinois State Archives only accepts records that have been approved for permanent retention by the State Records Commission. All transferred records must have an approved Application for Authority to Dispose of State Records. Send a completed Archives Records Transfer Sheet (Form AR D 50.1) with the records. Any records that arrive without a completed Archives Records Transfer Sheet (Form AR D 50.1) will be returned to the originating office.

This form is available at the Archives website, under State and Local Records Management: http://www.cyberdriveillinois.com/publications/pdf_publications/ard50.pdf. It can be downloaded from this site and filled out, or printed and typed.

Since this is a legal transfer of custody, the Archives Records Transfer Sheet must be completed in detail. Doing so protects the transferring agency in that it clearly shows what records the agency is no longer responsible for.

Instructions for Completing Archives Records Transfer Sheet (Form AR D 50.1)

The Archives Records Transfer Sheet requires the following information:

Page Number – The page number of the form.

Records of – Agency name, division, bureau and office.

Contact – Name of individual transferring materials, address and phone number.

State Records Commission Application and Item Numbers – From the Application.

Box or Vol. No. – Contents of box or printed volume.

Dates of Records – The beginning and end date of records.

Title and Contents of Records – The title listed on the Application and additional identifying information concerning what is in the records.

After the records have been processed and accessioned by the Archives, a copy of the Archives Records Transfer Sheet will be signed and returned to the originating office. The form will have the record location within the Archives added. This will be the agency's confirmation that legal custody for the record has been transferred to the Archives, and should be retained by the agency permanently.

An example of a completed Archives Records Transfer Sheet (Form AR D 50.1) is in the appendices.

Transferring Records to the State Records Center

Some long-term agency records may be transferred to the State Records Center for storage. These records are still the property of the agency and can be accessed by the agency at any time by contacting the State Records Center 24 hours in advance.

The State Records Center stores records that have been approved for a defined retention period by the State Records Commission. All transferred records must be identified for transfer on an approved Application for Authority to Dispose of State Records. No records are accepted at the State Records Center until a completed Records Transfer Sheet (Form RM M 1.8) is submitted and approved prior to records transfer, and a Records Center Box Label (AR D 63) is completed and applied to the end of the box. Any records that arrive without this form and a box label will be returned to the originating office.

The Records Transfer Sheet form is available at the Archives website, under State and Local Records Management:
http://www.cyberdriveillinois.com/departments/archives/records_management/staterecordstransfer.html.
It can be downloaded from this site and filled out, or printed and typed.

Instructions for Completing Records Transfer Sheet (RM M 1.8)

The Application for Authority to Dispose of State Records (Application) has the necessary information to complete most of the Transfer Sheet. Use one Transfer Sheet for each item on the Application. One Application can have multiple items, so each item will need a separate Transfer Sheet.

The Transfer Sheet requires the following information:

Agency – Use the agency name as is appears on the Application.

Division – Use the Division name as it appears on the Application.

Date – When the Transfer Sheet was prepared.

Department – Use the Department name as it appears on the Application.

Individual to Contact – This is the agency records officer or records custodian for the record. It also could be who prepared the Transfer Sheet when different.

Phone –Telephone numbers for these individuals.

Agency Box Number – The agency assigns an Agency Box Number for those records being transferred to the State Records Center. It is recommended that the Agency Box Number be the next occurrence in a sequential series of shipments to the records center. Examples: The Agency Box Number could be 351-3, which indicates shipment number 351 to the State Records Center from that Agency, and box number 3 in that shipment. Another format includes a year group and then the box number within that shipment: 14-43 – year 2014, box number 43 of that shipment. The agency is responsible for the format and structure of the Agency Box Number.

Title and Date of Records – Use the Title that appears on the Application and the date span of the records (*NOTE – Ship only one year at a time unless the accumulation is under one cubic foot*). For each corresponding Agency Box Number on the Transfer Sheet, the specific contents of the box should be listed. The listing is generally a description of the arrangement of the records in the box, or a listing for the first and last file in the box (example: Claim #14-203 thru #14-763). T*he Records Center does* ***not*** *prepare a description of the box contents, so the Transfer Sheet must be complete and accurate so a specific record can be found later*.

Schedule Number – Located in the upper right corner of the Application (example 14:234).

Item Number – Identifies a specific records series on the Application.

When the Transfer Sheet is completed, put the name of the Agency Records Officer or custodian and contact information (email and phone number) on the sheet.

Transfer Sheet columns 1 thru 6, 18 and 19 are completed by the State Records Center staff.

After the records have been processed and accessioned by the State Records Center, a copy of the Records Transfer Sheet will be signed by Records Center staff and returned to the agency. This will be its confirmation that legal custody for the record has been transferred to the State Records Center. The record shelf location(s) within the State Records Center will also be added to this form. The agency must retain this form to provide access information for the record during its retention life cycle at the State Records Center.

An example of a completed Records Transfer Sheet (Form RM M 1.8) is in the appendices.

Records Box Label and Records Box Specifications

All records transferred to the State Records Center must be in appropriate boxes. Each box must have a completed Records Center Box Label (AR D 63) attached to it. These labels have a special adhesive that secures the label to the box. Contact the State Records Center for a supply of these labels. Only use a records storage box, 15" x 12" x 10" with an attached lid. Do not use the 24" x 12" x 10" or “bankers” box, or records boxes with a separate lid to transfer records to the State Records Center. If records arrive in any type of container other than what is recommended, or with any type of label other than AR D 63 – ***it will be returned to the originating agency.***

Instructions for Completing Records a Records Center Box Label (AR D 63)

The Records Center Box Label requires the following information:

Agency – The same as used on the Transfer Sheet.

Division – The same as used on the Transfer Sheet.

Agency Box Number – The same as used on the Transfer Sheet.

Records Schedule Number – The same Schedule Number as used on the Transfer Sheet.

Total Boxes this Transfer – The number of boxes in this shipment.

Title and Date of Records – The same as used on the Transfer Sheet.

Series This Box – The same as used on the Transfer Sheet – please be accurate.

Disposal Date/Date Accessioned/Records Center Box Number – These are assigned by the State Records Center following record processing.

An example of a completed Records Center Box Label (AR D 63) is in the appendices.

Requesting Files from the State Records Center

Records stored at the State Records Center are still owned by the agency. A record can be retrieved from the State Records Center at any time during its retention cycle by contacting the State Records Center 24 hours in advance. Both site pick-up and delivery of stored records to the agency are available.

Record Request – Please email the request to staterecordscenter@ilsos.net. Use this process when two or more record boxes are requested. The following information is necessary for a records request:

- Agency Name;
- Requestor's Name;
- Name of Individual to whom the box will be sent;
- Address to where the box will be sent;
- Requestor's Phone Number/Email address; and
- Records Center Box Number (from Transfer Sheet).

Telephone Request – The same information is required.

The information on the Transfer Sheet is necessary to retrieve the box or file. The State Records Center Staff will locate the box(es) or file(s) containing the records and remove them from storage. An authorization letter from the Agency's Records Officer designating an agency representative is required so that the individual can pick-up the record. There is a reference room in the State Records Center where the box can be searched, or the box can be taken back to the agency. Also, a box can be shipped to the Agency. It is the responsibility of the agency to return the record to the box, and the box(es) to the State Records Center.

Records Disposal at the State Records Center

When an agency's records complete their retention life cycle, the agency is contacted by the State Records Center for approval to dispose of the records. **It is the responsibility of the agency to know if the record identified for disposal is under a legal or audit hold**. A legal or audit hold suspends the disposal process. The agency must notify the State Records Center when a record is under a legal and/or audit hold. It must also notify the State Records Center when that hold is released.

The State Records Center provides secure record disposal and paper recycling services for those records stored within the facility.

Microimaging and Digital Imaging

Microimaging and digital imaging is the process of making digital files from information on either paper or microfilm. At this point in time only microfilm offers a storage medium that will last for centuries under the proper storage conditions. Those records that warrant permanent preservation are recommended for conversion to microfilm. Digital imaging is an effective method for storing records with a short or limited retention period.

Digitally imaged or "scanned" records are identified with metadata. They can be stored in document or content management systems and data warehousing applications. These software applications enhance record retrieval and search capabilities by utilizing that metadata. When records with a permanent retention are kept in these applications, it is recommended that only a copy of the record is used, and the permanent record copy is retained on microfilm. These software applications are not records management applications, and do not comply with 44 Ill. Admin. Code 4400.80 (2015) for the storage and management of electronic records. This document is included in the appendices.

44 Ill. Admin. Code 4400.50, 4400.60, 4400.70 and 4400.80 (2015) provide the standards and production processes for microfilm and digital conversion of records. This document is included in the appendices.

Microfilm Negative Copy Transfer to Illinois State Archives

When making a microfilm copy of a permanent record, the agency keeps one positive copy and the negative security copy is transferred to the Illinois State Archives. Use State Records Security Microfilm Transfer Sheet (AR D 61.5) to document microfilm transfer.

This form is available at the Archives website, under State and Local Records Management: http://www.cyberdriveillinois.com/departments/archives/records_management/smictran.html. It can be downloaded from this site and filled out, or printed and typed.

Instructions for Completing Records Security Microfilm Transfer Sheet (AR D 61.5)

The Records Security Microfilm Transfer Sheet requires the following information:

1. Records of – The complete name of the agency, division, bureau and section where the records originated.

   Send Receipt to – The name, address and telephone number of the individual who is to receive the receipt of the transfer process.

2. Total number of rolls of microfilm submitted.

3. Certification:

   - Application Number – Application for Authority to Dispose of State Records (Application) number (example: *14:012*). This number is located in the upper right corner of the Application.

- Signature and Date – The official responsible for meeting the microfilm requirements as provided in 44 Ill. Admin. Code 4400.50, 4400.60, 4400.70 (2015) must sign and date the Certification Section. The official's name and title should be printed or typed below the signature.

4. Microfilm Content Description:

    - Application Number – Used when a single Application has multiple items, so as to identify which item's records are associated with which roll.

    - Roll ID Number – Each roll of microfilm is numbered separately and listed in consecutive order on the Transfer Sheet.

    - Title of Records – List the titles in the same way they are on the Application.

    - Start and End of Roll – The records at the start and end of the microfilm roll must be listed to aid in locating a particular document on the roll. This may consist of the volume and page number at the beginning and ending of the roll, the inclusive letter of the alphabet or names, the inclusive dates of the records microfilmed, or other similar information.

    - Negative or Positive Microfilm – Enter an "N" for negative microfilm rolls, and a "P" for positive use copies.

5. Acknowledgment: The acknowledgment for the receipt of the microfilm is completed by Illinois State Archives personnel. A signed copy is returned to the record's originating agency.

After completing the online form, print and sign three copies. Send these with the microfilm to the Illinois State Archives. Please contact the Accessions and Control Unit at 217-782-4866 when assistance is needed for completing this form.

An example of a completed State Records Security Microfilm Transfer Sheet (AR D 61.5) is in the appendices.

Disaster Planning and Vital Records

Protecting and preserving the operational and historical records of the State of Illinois is critical for maintaining the basic functions of Illinois state government. It is a core responsibility of every agency. The focus of this section is how to prepare for a disaster in order to minimize damage to, or destruction of, those critical information assets.

The State Records Act (5 ILCS 160) assigns the Secretary of State with the responsibility for "security storage or relocation of essential state records in the event of an emergency." Each state agency is required under this Act to work with the Secretary to determine which records are essential for emergency and post-emergency government operation, and each agency is required to "establish and maintain an essential records preservation program."

The State Records Unit of the Illinois State Archives serves to implement the Secretary of State's mandate by working with each agency of state government. This is done by assisting agencies in the preparation of essential (vital) records lists for emergency and post-emergency governmental operations, and to aid agencies in the preparation of their disaster and recovery plans. After reviewing the general information contained in this section, please contact the State Records Unit at 217-782-2647 for assistance and guidance in preparing lists of vital records and disaster recovery plans.

Prevention – Risk Management

The focus of prevention is to identify the multiple risks to vital records and then find ways to prevent, or minimize, those risks from either occurring or limiting their damage if they occur. These risks are damage to, or destruction of the records by fire, water, wind, theft, sabotage, domestic violence and enemy action. Records storage must be in an environment that takes into account as many of these risk factors as possible. Here are some guidelines for consideration in planning a low-risk records storage environment.

Damage Risks

Fire: Preventing or eliminating this risk is a critical task in safeguarding records. Manage this risk by either (1) minimizing the chances that a fire will occur, or (2) maximizing the ability to extinguish a fire before the records are damaged or destroyed. The first approach is preferred.

Basic fire prevention tips for records storage areas:

- No smoking in the records storage area;
- Do not store records with chemicals, cleaning supplies or flammable scrap materials;
- Keep the records storage area organized, clean on a regular basis and do not use for general storage;
- Do not store records near a furnace, radiator or other type of heat source;
- Make sure all electrical wiring is safe;
- Check all fire extinguishers monthly and train all personnel on their use and location; and

- Follow all fire, electrical, heating, plumbing and construction codes.

Water: Preventing or eliminating this risk is a critical task in safeguarding records. Water damage occurs when records storage areas flood due to rain water, sewage backs up, or water supply, waste or fire suppression sprinkler lines/hoses fail.

Basic water damage prevention tips for records storage areas:

- Avoid storing records in a basement;
- Avoid storing records under or near water/sewage lines;
- Avoid storing records directly on a floor. Store records off the floor as high as possible;
- Avoid water based fire suppression systems in the records storage area; and
- Make sure roof and storm water drainage systems are in good repair.

Environmental: Preventing or eliminating this risk is a critical task in safe guarding records. It is recommended that a storage area have a positive flow ventilation to keep out contamination and reduce mold/mildew growth. Maintaining the environment for the record storage area requires consistency in the temperature, humidity, pollution and lighting.

Basic environmental damage prevention tips for records storage areas:

- Temperature: Ideal temperature for paper records is between 60-65 degrees Fahrenheit.

- Humidity: Ideal humidity is 40–45 percent for paper; 30-40 percent for microfilm. When stored together 40 percent is acceptable. High humidity causes mold/mildew growth.

- Pollution: Avoid storing records where there is dust, smoke or chemical fumes produced by paints, cleaners and manufacturing processes. Also monitor records for the presence of mold and/or mildew.

- Lighting: Bright sunlight or inside lighting produces higher levels of ultra-violet light that can degrade paper and microfilm. Limit the use of lighting to when the records are being accessed.

Storage and Handling: Preventing or eliminating this risk is a critical task in safeguarding records. Maintaining a records storage environment that provides for ease of access and an environment where access does not damage the records requires consistency in organization, storage and preservation.

Basic storage and handling tips for records storage areas and maintaining the provenance of the record:

- Organization: Records should always be stored in their record groups and never loose. Leave the records in their original folders and order when putting the records into boxes. When papers are removed from the box, they are removed with their associated file folder, not by individual sheet. Only use the 1.5 cubic foot records

storage boxes. Make sure boxes are properly labeled and inventoried as to shelf/storage location on a master listing.

- Storage:
  - Store record boxes on shelving rated for the load weight of the items stored;
  - Store record boxes at least 3 inches off the floor – 12 inches is better;
  - Store record boxes to allow for air circulation around them;
  - Stack record boxes no more than two high;
  - Do not allow food, beverages or plants in the record storage area to prevent insect and vermin infestation; and
  - Employees must keep their hands clean for handling paper and wear cotton gloves for microfilm records.

- Preservation: When records are identified for permanent retention, place the records in acid-free folders. Paper records should not be folded or rolled. Remove metal paper clips and rubber bands. Do not pack the boxes too tight.

Security Risks and Access

Preventing or eliminating security risks is a critical task in safeguarding records. A process must be in place to provide appropriate categories of access rights and restrictions based upon an agency's statutory, administrative, and risk analysis of the records it generates.

Reasonable Security: Reasonable security is a level of security that a reasonable person would believe is needed to protect the information from any unauthorized access. The access to records by users will depend upon the nature and size of the agency and the content and value of the information requiring security.

Access Classification:

- Identify the administrative activity the record documents;
- Identify the agency unit the record belongs to;
- Check the access and security classifications to find out if the activity and administrative area are identified as areas of risk, or have security considerations and/or statutory access restrictions;
- Provide the proper level of access or restriction for the records and specify controls for handling; and
- Record the access or security status of the records in a records system to signal the need for additional control measures.

Access Control: Access to records must be restricted to protect:

- Personal information and privacy;
- Intellectual property rights and commercial confidentiality;
- Security of property (physical and financial);
- Statutory requirements; and
- Legal and other professional privileges.

Record Access Guidelines: Consider these issues:

- Identify the legally enforceable rights of, and restrictions on, access to records and organizational information;

- Identify the areas at risk for breach of privacy, and of personal, professional or commercial confidentiality;
- Identify agency security issues;
- Rank the areas of risk for breach of security according to assessment of damage and likelihood of occurrence;
- Map the identified areas for risk and security issues to the agency's operational activities;
- Identify the appropriate levels of restriction for the areas of highest to lowest risk;
- Allocate access restriction levels to the respective classes of agency records according to their risk ranking; and
- Associate restrictions to functions such as activity classification systems, or thesauruses, used to describe records. This makes it easier to apply the access restrictions when the records are captured and registered within a records system or process.

Disaster Preparedness

A disaster is any event of unexpected timing that produces destructive results.

Basic disaster preparedness tips for mission critical records:

- Keep inventories current. Know what records are stored throughout the organization;
- Identify the locations of mission critical records;
- Prioritize records as "vital" or "essential";
- Maintain emergency contact list for restoration services or supplies necessary to restore essential and business operations; and
- Identify essential personnel and their assignments during a disaster situation.

Know where the records are: Maintain a current inventory of all agency records. The inventory will list the record volume and dates included within each record series. Use this information to prepare a map of where records are physically located within the organization.

Vital Records Plan: Each agency should tailor a vital records plan that complies with its statutory obligations and functional needs. The completed plan should prepare the agency to meet its statutory obligation under the State Records Act to successfully meet "any emergency arising from enemy attack or natural disaster." Agency leadership must decide what records are critical for the continuity of governmental functions during an emergency, and which records are essential for returning the agency to full operational capability after the emergency situation has passed.

Secure Off-site Records Storage and Duplicate Records: Agency leadership should consider duplicating records considered vital to agency operations that cannot be reconstructed from another source. This duplicate copy, or security copy, should be stored off-site. When vital records are maintained in a machine readable format, the equipment required to read the records must be available too. State agencies are encouraged to store a security copy of their vital records at a secure location off-site.

Identify Essential Personnel: Agency leadership should identify the duties of essential personnel regarding the preservation and protection of vital records during an emergency. A list of essential personnel should also have those contacts that can provide assistance and supplies for various emergency situations.

Personnel assigned responsibility to lead the recovery effort must have the following:

- Authority to direct the recovery effort;
- Ability to manage personnel and make decisions as they arise; and
- Freedom from other organizational obligations for the duration of the recovery.

When a disaster affects an agency's records, immediately contact the Illinois State Archives, State Records Unit staff at 217-782-2647. The staff can provide assistance with emergency record restoration and disposal.

Managing Paper and Electronic Records in the Office

A well organized filing arrangement is a basic requirement for any office. An agency should decide on a filing system and the necessary equipment to support that system. The primary role of having a filing arrangement is to find what has been stored.

Records/File Identification

Identify records that are to be considered for inclusion in a records management system. Place them into a records management system after an analysis of the regulatory/statutory and process/audit requirements, and the risks associated with not putting them into a records management system.

Record Identification Process:

- Identify statutory, administrative and functional requirements for the database processes;
- Develop a function-based classification scheme for the identification, location and linking of related reports;
- Keep links between reports and the context of their creation (metadata);
- Develop naming and indexing rules, and conventions for ease of report identification and maintenance over a period of time;
- Identify record ownership over a period of time;
- Work with the State Records Unit to determine appropriate retention periods for reports and development of disposition authorities;
- Develop risk management guidelines within the context of the database/system; and
- Identify the appropriate security/protection for records, and develop access permissions and security levels.

Records/File Administration: The agency is responsible for developing administrative procedures to govern their records. These administrative procedures must be in compliance with its statutory obligations, the Illinois State Records Act (5 ILCS 160), appropriate Joint Committee of Administrative Rules, and standards developed by the Records Management Division of the Illinois State Archives, Illinois Secretary of State.

Records/File Classification Tips: Classify administrative processes to provide a structure for understanding which processes generate reports, and how to manage these reports as public records. This includes:

- Identify the relationship between individual records to provide a continuous documenting of administrative activity;
- Name records in a consistent manner over time (consistent nomenclature);
- Group all records relating to a particular function or activity;
- Determine appropriate security protection and access for sets of records;
- Assign user permissions for access to, or action on a particular group of records;

- Assign management responsibility for record groups;
- Identify records requiring disposition action; and
- Assign recommended retention periods and disposition actions for those records.

Indexing Terms Tips: Appropriate allocation of indexing terms extends the possibilities of retrieving records across classifications, categories and media. Indexing terms maybe restricted to the terminology established in a classification process. A process for arriving at indexing terms could use this process:

- Identify the format or nature of the record;
- Identify the title of main heading of record;
- Develop subject content of the record, usually in accord with the agency activity;
- Develop an abstract of the record;
- Identify the dates associated with transaction records in the record;
- Identify the names of clients or organizations;
- Develop a heading or process requirement;
- Attach documentation not otherwise identified with the record; and
- Identify uses of the records.

Electronic Records Management

44 Ill. Admin. Code 4400.80 (2015) Management of Electronic Records addresses how to manage electronic records. Below are some key concepts and definitions to help in the area of electronic records management.

Metadata Creation: The metadata (data/file attributes) for an electronic record is necessary for defining the contextual information for record retention management and access over time. Metadata describe the record attributes in a way that enables their management and use/reuse. They also document the relationships between records and the agents that made and use them and the events, or circumstances in which the records are made and used. Metadata supports searching of information assets and maintaining their authenticity.

Metadata Model: The record metadata elements defined in this section are the minimum required for managing a report as a record and can apply to all record models. This model applies to database, unstructured and email content data. The model consists of the following elements (ISO 23081-2:2009, 8.1 Metadata Model):

- Record Identity: Identifies the record's originating entity. Examples of the metadata elements that appear in this category are entity type, aggregation and registration identifier.

- Record Description: Contains informational elements required for determining how the originating entity used this record information. Examples of metadata elements that appear in this category include title, abstract and external identifiers.

- Record Use: Contains information that facilitates long-term use/access by the originating entity. Examples of metadata elements that appear in this category include technical environment, access, rights and language.

- Record Retention/Event Plan: Contains information used by the originating entity to manage the record. The metadata in this group consist of linked sequences of metadata and independent metadata elements. Examples of metadata elements that appear in this category relevant to the records entity include type, description, date/time and relation (linked), event trigger and relation.

- Record Event History: Contains a sequential history/log of spontaneous and managed events (such as when the records were accessioned, updated, viewed, superseded, software version/database migration, and retention life cycle), by both the originating entity and records management metadata elements. The event history specifies the type of event, what happened, when the event took place, and who carried it out. The metadata in this category create a sequential record/log for documenting a specific event, or series of events. Examples of metadata elements that appear in this category include date/time, type description and relation (linked). **NOTE:** When metadata is managed as a record the *Event History* is used to establish chain-of-custody, suspension of retention guidelines (litigation hold) or maintain the record's provenance over a period of time

- Record Relation to Other Records: Describes an internal functional relationship or external relationships between the entity and other entities.

Databases: Use the following guidelines when developing a database compliant with records management concepts in this reference.

NOTE: *No record can be destroyed until the destruction process defined by the Illinois State Records Act is complete. Please review this process with the Illinois State Archives, State Records Unit, Illinois Secretary of State.*

- Database – Supporting Documents: When a database generates reports as a function of its operations, the reports are records under Act. A report can be in the form of a content list, a transactional record, a log/event history or an agency specific report generated from the data in compliance with statutory requirements. The data elements contained in the database must be limited to the process requirements for which the database is created. In that way, the reports should contain all relevant information contained within the database, and the associated administrative functions executed by the database. All reports must be listed on an Application for Authority to Dispose of State Records and disposed of in accordance with the Act.

- Database – No Supporting Documents/Reference only: When a database generates no reports as a function of its operation, then the database is a record. The individual data elements cannot be deleted from the database as the data elements are updated or become obsolete. The database must be listed on an Application for Authority to Dispose of State Records and disposed of accordingly. The exception is when the data elements are existing records covered under an Application, in which case this database is classified as reference material under the Act, and is not a record.

- Structured Data: Structured data are those defined digital data elements that exist within a managed database environment. These elements are retrieved from the database to generate specific reports/transactions or support process functionality.

These reports/transactions are records and defined by Act. Reports/transactions generated from a database are considered *unstructured* data for the purposes of this process. A report is tagged with the appropriate metadata and managed either within the database, or it can be maintained separately under a different subject classification and retention schedule.

- Database Organization for Financial Data Elements – When maintaining financial information manage digital data elements through at least two audit cycles as defined by the agency: Maintain the digital data elements for the first audit cycle in the active database. Maintain the digital data elements for the second audit cycle on tape storage. After completing the second audit cycle delete the digital data elements from the database after completing the disposal process, and providing there are no audits or litigation pending or anticipated.

- Database Organization for Non-financial Data Elements – When maintaining non-financial information manage digital data elements through at least two audit cycles as defined by the agency: Maintain the digital data elements for the first audit cycle in the active database. Maintain the digital data elements for the second audit cycle on tape storage. Should digital data elements become obsolete during the first audit cycle, move it immediately to the tape storage – do not maintain obsolete information in the active database. After completing the second audit cycle delete the digital data elements from the database after completing the disposal process, and providing there are no audits or litigation pending or anticipated.

NOTE: *Either of these database types can contain personal information (Social Security numbers, driver's license numbers, phone numbers, home addresses, etc.). The agency must follow approved guidelines for the removal of personal information from the database (see 44 Ill. Admin. Code 4400.40 (2008)).*

- Database Operating Software: The software/machine instructions used to initiate, control and manage the database are not records under the Illinois State Records Act. Most of these instructions are proprietary, and governed under licensing agreements and/or copyright law.

- Unstructured Data: Unstructured data are digital data elements that are not managed within a database. This includes documents produced from word processors, spread sheet, presentation, graphic and print applications. These documents are records and governed under the Illinois State Records Act. Reports generated from a database are considered *unstructured* data for the purposes of this process.

NOTE: *No record is destroyed until the destruction process defined by the Illinois State Records Act is complete. Please review this process with the Illinois State Archives, State Records Unit, Illinois Secretary of State.*

- Unstructured Data – Maintained in a Structured Database Retention: Recommendation: When unstructured data is tagged and maintained within a structured database, it must be tagged with the appropriate metadata and retained for the same periods required for structured data within that database.

- Unstructured Data – Maintained as Independent Data Files Retention: When maintaining unstructured data as independent data files, the file *properties* information (metadata) provided through the application must be completed. Manage the data files in the same manner as paper records. Create an electronic folder that has all the content and retention information included in the *properties* information section provided in the software application.

NOTE: *These files can contain personal information (Social Security numbers, driver's license numbers, phone numbers, home addresses, etc.). When they do, follow approved guidelines for the destruction of personal information.*

Email Guideline: "Email is an electronic means for communication in which (a) usually text is transmitted (but sometimes graphics and/or audio information), (b) operations include sending, storing, processing, and receiving information, (c) users are allowed to communicate under specific conditions, and (d) messages are held in storage until called for by the addressee (ANSI TI.523-2001)." The content of these communications can make them records and are governed under the Illinois State Records Act. Any attachments appended to the email are also part of that record.

NOTE: *No record maybe destroyed until the destruction process defined by the Illinois State Records Act is complete. Please review this process with the Records Management Division, Illinois State Archives, Illinois Secretary of State.*

- Email Management Organization Recommendation – General: Allow for selective retention by using the current records management organization for correspondence to establish a folder scheme and retention periods within the email application.

- Email Categorization Recommendation: Categorize each email by subject based upon its content, and then place it with other email containing similar subject matter. The goal is to organize email with a precision and specificity, while enhancing the ability to search based upon the subject category given it.

- Email Retention Recommendation – Record: The email communication subject category determines the email retention period. The retention period must be the same as paper records under the same subject heading.

- Email Retention Recommendation – Non-Record (Transitory Messages): Those emails that are non-categorical (not covered under a subject category), such as meeting notices, out-of-office reminders, meeting reminders, inter-office shared non-business information, are not subject to the disposal process defined by Illinois State Records Act, and deleted from the system at the discretion of the agency. They should have a short or no retention period (one year or less) and be purged from the email system when no longer needed.

Appendices

State Records Act

(5 ILCS 160/) State Records Act.

(5 ILCS 160/1) (from Ch. 116, par. 43.4)

Sec. 1. This Act may be cited as the State Records Act.

(Source: P.A. 86-1475.)

(5 ILCS 160/1.5)

Sec. 1.5. Purpose. Pursuant to the fundamental philosophy of the American constitutional form of government, it is declared to be the public policy of the State of Illinois (i) that government records are a form of property whose ownership lies with the citizens and with the State of Illinois; (ii) that those records are to be created, maintained, and administered in support of the rights of those citizens and the operation of the State; (iii) that those records are, with very few exemptions, to be available for the use, benefit, and information of the citizens; and (iv) that those records may not be disposed of without compliance to the regulations in this Act.

(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/2) (from Ch. 116, par. 43.5)

Sec. 2. For the purposes of this Act:

"Secretary" means Secretary of State.

"Record" or "records" means all books, papers, digitized electronic material, maps, photographs, databases, or other official documentary materials, regardless of physical form or characteristics, made, produced, executed or received by any agency in the State in pursuance of state law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its successor as evidence of the organization, function, policies, decisions, procedures, operations, or other activities of the State or of the State Government, or because of the informational data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of blank forms are not included within the definition of records as used in this Act. Reports of impaired physicians under Section 16.04 of the Medical Practice Act or Section 23 of the Medical Practice Act of 1987 are not included within the definition of records as used in this Act.

"Agency" means all parts, boards, and commissions of the executive branch of the State government including but not limited to State colleges and universities and their governing boards and all departments established by the "Civil Administrative Code of Illinois," as heretofore or hereafter amended.

"Public Officer" or "public officers" means all officers of the executive branch of the State government, all officers created by the "Civil Administrative Code of Illinois," as heretofore or hereafter amended, and all other officers and heads, presidents, or chairmen of boards, commissions, and agencies of the State government.

"Commission" means the State Records Commission.

"Archivist" means the Secretary of State.

(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/3) (from Ch. 116, par. 43.6)

Sec. 3. Records as property of State.

(a) All records created or received by or under the authority of or coming into the custody, control, or possession of public officials of this State in the course of their public

duties are the property of the State. These records may not be mutilated, destroyed, transferred, removed, or otherwise damaged or disposed of, in whole or in part, except as provided by law. Any person shall have the right of access to any public records, unless access to the records is otherwise limited or prohibited by law.

(b) Reports and records of the obligation, receipt and use of public funds of the State are public records available for inspection by the public, except as access to such records is otherwise limited or prohibited by law or pursuant to law. These records shall be kept at the official place of business of the State or at a designated place of business of the State. These records shall be available for public inspection during regular office hours except when in immediate use by persons exercising official duties which require the use of those records. Nothing in this section shall require the State to invade or assist in the invasion of any person's right to privacy. Nothing in this Section shall be construed to limit any right given by statute or rule of law with respect to the inspection of other types of records.

Warrants and vouchers in the keeping of the State Comptroller may be destroyed by him as authorized in "An Act in relation to the reproduction and destruction of records kept by the Comptroller", approved August 1, 1949, as now or hereafter amended after obtaining the approval of the State Records Commission.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/3.5)

Sec. 3.5. Confidentiality of foster placement records. All records concerning foster placement and foster parent identifying information shall be released only in accordance with Section 35.3 of the Children and Family Services Act.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/4) (from Ch. 116, par. 43.7)

Sec. 4. Any person shall have the right of access to any public records of the expenditure or receipt of public funds as defined in Section 3 for the purpose of obtaining copies of the same or of making photographs of the same while in the possession, custody and control of the lawful custodian thereof, or his authorized deputy.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/4a)

Sec. 4a. Arrest reports.

(a) When an individual is arrested, the following information must be made available to the news media for inspection and copying:

(1) Information that identifies the individual, including the name, age, address, and photograph, when and if available.

(2) Information detailing any charges relating to the arrest.

(3) The time and location of the arrest.

(4) The name of the investigating or arresting law enforcement agency.

(5) If the individual is incarcerated, the amount of any bail or bond.

(6) If the individual is incarcerated, the time and date that the individual was received, discharged, or transferred from the arresting agency's custody.

(b) The information required by this Section must be made available to the news media for inspection and copying as soon as practicable, but in no event shall the time period exceed 72 hours from the arrest. The information described in paragraphs (3), (4), (5), and (6) of subsection (a), however, may be withheld if it is determined that disclosure would:

(1) interfere with pending or actually and reasonably contemplated law enforcement proceedings conducted by any law enforcement or correctional agency;

(2) endanger the life or physical safety of law enforcement or correctional personnel or any other person; or

(3) compromise the security of any correctional facility.

(c) For the purposes of this Section, the term “news media” means personnel of a newspaper or other periodical issued at regular intervals whether in print or electronic format, a news service whether in print or electronic format, a radio station, a television station, a television network, a community antenna television service, or a person or corporation engaged in making news reels or other motion picture news for public showing.

(d) Each law enforcement or correctional agency may charge fees for arrest records, but in no instance may the fee exceed the actual cost of copying and reproduction. The fees may not include the cost of the labor used to reproduce the arrest record.

(e) The provisions of this Section do not supersede the confidentiality provisions for arrest records of the Juvenile Court Act of 1987.

(f) All information, including photographs, made available under this Section is subject to the provisions of Section 2QQQ of the Consumer Fraud and Deceptive Business Practices Act.

(Source: P.A. 98-555, eff. 1-1-14.)

(5 ILCS 160/5) (from Ch. 116, par. 43.8)

Sec. 5. The Secretary of State shall provide for a State Archives Division as a repository of State records. The State Archives may utilize space in the Archives Building or other buildings as may be necessary or appropriate for the purpose, in the opinion of the Secretary of State.

(Source: Laws 1957, p. 1687.)

(5 ILCS 160/6) (from Ch. 116, par. 43.9)

Sec. 6. The Secretary of State shall be the State Archivist and Records Administrator and he shall appoint such assistants, who shall be technically qualified and experienced in the control and management of archival materials and in records management practices and techniques, as are necessary to carry out his duties as State Archivist.

(Source: Laws 1957, p. 1687.)

(5 ILCS 160/7) (from Ch. 116, par. 43.10)

Sec. 7. Powers and duties of the Secretary.

(1) The Secretary, whenever it appears to him to be in the public interest, may accept for deposit in the State Archives the records of any agency or of the Legislative or Judicial branches of the State government that are determined by him to have sufficient historical or other value to warrant the permanent preservation of such records by the State of Illinois.

(2) The Secretary may accept for deposit in the State Archives official papers, photographs, microfilm, electronic and digital records, drawings, maps, writings, and records of every description of counties, municipal corporations, political subdivisions and courts of this State, and records of the federal government pertaining to Illinois, when such materials are deemed by the Secretary to have sufficient historical or other value to warrant their continued preservation by the State of Illinois.

(3) The Secretary, whenever he deems it in the public interest, may accept for deposit in the State Archives motion picture films, still pictures, and sound recordings

that are appropriate for preservation by the State government as evidence of its organization, functions and policies.

(4) The Secretary shall be responsible for the custody, use, servicing and withdrawal of records transferred for deposit in the State Archives. The Secretary shall observe any rights, limitations, or restrictions imposed by law relating to the use of records, including the provisions of the Mental Health and Developmental Disabilities Confidentiality Act which limit access to certain records or which permit access to certain records only after the removal of all personally identifiable data. Access to restricted records shall be at the direction of the depositing State agency or, in the case of records deposited by the legislative or judicial branches of State government at the direction of the branch which deposited them, but no limitation on access to such records shall extend more than 75 years after the creation of the records, except as provided in the Mental Health and Developmental Disabilities Confidentiality Act. The Secretary shall not impose restrictions on the use of records that are defined by law as public records or as records open to public inspection.

(5) The Secretary shall make provision for the preservation, arrangement, repair, and rehabilitation, duplication and reproduction, description, and exhibition of records deposited in the State Archives as may be needed or appropriate.

(6) The Secretary shall make or reproduce and furnish upon demand authenticated or unauthenticated copies of any of the documents, photographic material or other records deposited in the State Archives, the public examination of which is not prohibited by statutory limitations or restrictions or protected by copyright. The Secretary shall charge a fee therefor in accordance with the schedule of fees in Section 5.5 of the Secretary of State Act, except that there shall be no charge for making or authentication of such copies or reproductions furnished to any department or agency of the State for official use. When any such copy or reproduction is authenticated by the Great Seal of the State of Illinois and is certified by the Secretary, or in his name by his authorized representative, such copy or reproduction shall be admitted in evidence as if it were the original.

(7) Any official of the State of Illinois may turn over to the Secretary of State, with his consent, for permanent preservation in the State Archives, any official books, records, documents, original papers, or files, not in current use in his office, taking a receipt therefor.

(8) (Blank).

(9) The Secretary may cooperate with the Illinois State Genealogical Society, or its successor organization, for the mutual benefit of the Society and the Illinois State Archives, with the State Archives furnishing necessary space for the society to carry on its functions and keep its records, to receive publications of the Illinois State Genealogical Society, to use members of the Illinois State Genealogical Society as volunteers in various archival projects and to store the Illinois State Genealogical Society's film collections.

(Source: P.A. 95-331, eff. 8-21-07.)

(5 ILCS 160/8) (from Ch. 116, par. 43.11)

Sec. 8. The head of each agency shall cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency designed to furnish information to protect the legal and financial rights of the state and of persons directly affected by the agency's activities.

This section shall not be construed to prevent the legal disposal of any records determined by the agency and by the Commission not to have sufficient value to warrant

their continued preservation by the State or by the agency concerned.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/9) (from Ch. 116, par. 43.12)

Sec. 9. The head of each agency shall establish, and maintain an active, continuing program for the economical and efficient management of the records of the agency.

Such program:

(1) shall provide for effective controls over the creation, maintenance, and use of records in the conduct of current business and shall ensure that agency electronic records, as specified in Section 5-135 of the Electronic Commerce Security Act, are retained in a trustworthy manner so that the records, and the information contained in the records, are accessible and usable for reference for the duration of the retention period; all computer tape or disk maintenance and preservation procedures must be fully applied and, if equipment or programs providing access to the records are updated or replaced, the existing data must remain accessible in the successor format for the duration of the approved retention period;

(2) shall provide for cooperation with the Secretary in appointing a records officer and in applying standards, procedures, and techniques to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and

(3) shall provide for compliance with the provisions of this Act and the rules and regulations issued thereunder.

If an agency has delegated its authority to retain records to another agency, then the delegate agency shall maintain the same, or a more diligent, record retention methodology and record retention period as the original agency's program. If the delegate is from the legislative or judicial branch, then the delegate may use the same record retention methodology and record retention period that the delegate uses for similar records.
(Source: P.A. 97-932, eff. 8-10-12.)

(5 ILCS 160/10) (from Ch. 116, par. 43.13)

Sec. 10. Whenever the head of an agency determines that substantial economies or increased operating efficiency can be effected thereby, he may, subject to the approval of the Secretary, provide for the storage, care, and servicing of records that are appropriate therefor in a records center operated and maintained by the Secretary.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/11) (from Ch. 116, par. 43.14)

Sec. 11. Violation. All records made or received by or under the authority of or coming into the custody, control or possession of public officials of this State in the course of their public duties are the property of the State and shall not be mutilated, destroyed, transferred, removed or otherwise damaged or disposed of, in whole or in part except as provided by law. Any person who knowingly and without lawful authority alters, destroys, defaces, removes, or conceals any public record commits a Class 4 felony.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/12) (from Ch. 116, par. 43.15)

Sec. 12. The Secretary shall make continuing surveys of State records management and disposal practices and obtain reports thereon from agencies and their staff.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/13) (from Ch. 116, par. 43.16)
Sec. 13. The Secretary, with due regard to the program activities of the agencies concerned, shall make provision for the economical and efficient management of records of State agencies by analyzing, developing, promoting, coordinating, and promulgating standards, procedures, and techniques designed to improve the management of records, to insure the maintenance and security of records deemed appropriate for preservation, and to facilitate the segregation and disposal of records of temporary value. The Secretary shall aid also in promoting the efficient and economical utilization of space, equipment, and supplies needed for the purpose of creating, maintaining, storing, and servicing records.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/14) (from Ch. 116, par. 43.17)
Sec. 14. The Secretary shall establish standards for the selective retention of records of continuing value and assist agencies in applying such standards to records in their custody.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/15) (from Ch. 116, par. 43.18)
Sec. 15. The Secretary shall establish, maintain, and operate records centers for the storage, care, and servicing of records of State agencies pending their deposit in the State Archives or the disposition of such records in any other manner authorized by law. The Secretary may establish, maintain, and operate centralized microfilming and digital reproduction services for agencies.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/15a) (from Ch. 116, par. 43.18a)
Sec. 15a. The head of each agency shall establish a system for the protection and preservation of essential State records necessary for the continuity of governmental functions in the event of an emergency arising from enemy action or natural disaster and for the reestablishment of State government thereafter.
(Source: P.A. 85-414.)

(5 ILCS 160/15b) (from Ch. 116, par. 43.18b)
Sec. 15b. The head of each agency shall:
(1) Determine what records are “essential” for emergency government operation through consultation with all branches of government, State agencies, and with the State Civil Defense Agency.
(2) Determine what records are “essential” for post-emergency government operations and provide for their protection and preservation.
(3) Establish the manner in which essential records for emergency and post-emergency government operations shall be preserved to insure emergency usability.
(4) Establish and maintain an essential records preservation program.
The Secretary may provide for security storage or relocation of essential State records in the event of an emergency arising from enemy attack or natural disaster.
(Source: P.A. 85-414.)

(5 ILCS 160/16) (from Ch. 116, par. 43.19)

Sec. 16. There is created the State Records Commission. The Commission shall consist of the following State officials or their authorized representatives: the Secretary of State, who shall act as chairman; the State Historian, who shall serve as secretary; the State Treasurer; the Director of Central Management Services; the Attorney General; and the State Comptroller. The Commission shall meet whenever called by the chairman, who shall have no vote on matters considered by the Commission. It shall be the duty of the Commission to determine what records no longer have any administrative, fiscal, legal, research, or historical value and should be destroyed or disposed of otherwise. The Commission may make recommendations to the Secretary of State concerning policies, guidelines, and best practices for addressing electronic records management issues as authorized under Section 37 of the Government Electronic Records Act.
(Source: P.A. 97-249, eff. 8-4-11.)

(5 ILCS 160/17) (from Ch. 116, par. 43.20)

Sec. 17. Regardless of other authorization to the contrary, no record shall be disposed of by any agency of the State, unless approval of the State Records Commission is first obtained. The Commission shall issue regulations, not inconsistent with this Act, which shall be binding on all agencies. Such regulations shall establish procedures for compiling and submitting to the Commission lists and schedules of records proposed for disposal; procedures for the physical destruction or other disposition of records proposed for disposal; and standards for the reproduction of records by digital, photographic, or microphotographic processes with the view to the disposal of the original records. Such standards shall relate to the electronic digital process and format, quality of film used, preparation of the records for reproduction, proper identification matter on the records so that an individual document or series of documents can be located on the film or electronic medium with reasonable facility, and that the copies contain all significant record detail, to the end that the photographic, microphotographic, or digital copies will be adequate.

Such regulations shall also provide that the State archivist may retain any records which the Commission has authorized to be destroyed, where they have a historical value, and that the State archivist may deposit them in the State Archives or State Historical Library or with a historical society, museum or library.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/18) (from Ch. 116, par. 43.21)

Sec. 18. The head of each agency shall submit to the Commission, in accordance with the regulations of the Commission, lists or schedules of records in his or her custody and his or her proposal for the length of time each record series warrants retention for administrative, legal or fiscal purposes after it has been created or received by the agency.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/19) (from Ch. 116, par. 43.22)

Sec. 19. All lists and schedules submitted to the Commission shall be referred to the Archivist who shall ascertain whether the records proposed for disposal have value to other agencies of the State or whether such records have research or historical value. The Archivist shall submit such lists and schedules with his recommendations in writing to the Commission; and the final disposition of such records shall be according to the

orders of the Commission.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/20) (from Ch. 116, par. 43.23)
Sec. 20. Nonrecord materials or materials not included within the definition of records as contained in this Act may be destroyed at any time by the agency in possession of such materials without the prior approval of the Commission. The Commission may formulate advisory procedures and interpretation to guide in the disposition of nonrecord materials.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/21) (from Ch. 116, par. 43.24)
Sec. 21. The Archivist shall submit to the Commission, with his recommendations in writing, disposal lists of records that have been deposited in the State Archives as provided in subsections (1), (2), and (3) of Section 7 of this Act, after having determined that the records concerned do not have sufficient value to warrant their continued preservation by the State. However, any records deposited in the State Archives by any agency pursuant to the provisions of subsection (1) of Section 7 of this Act shall not be submitted to the Commission for disposal without the written consent of the head of such agency.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/22) (from Ch. 116, par. 43.25)
Sec. 22. Upon the termination of any State agency whose function or functions have not been transferred to another agency, the records of such terminated agency shall be deposited in the State Archives. The Commission shall determine which records are of sufficient legal, historical, administrative, or fiscal value to warrant their continued preservation by the State. Records that are determined to be of insufficient value to warrant their continued preservation shall be disposed of as provided in Section 17 of this Act.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/22a) (from Ch. 116, par. 43.25a)
Sec. 22a. There is hereby created the State Archives Advisory Board consisting of 12 voting members and 2 nonvoting members.
The voting members shall be appointed by the Secretary of State as follows: A member of the State Records Commission, a member of a Local Records Commission, a member of a local historical society or museum, a university archivist, a person in the field of education specializing in either history or political science, a genealogist, a research or reference librarian, a person who is employed or engaged as an archivist by a business establishment and 4 public members.
The nonvoting members shall be the Director of the State Library and the State Historian who shall serve ex-officio.
Four of the initial appointees shall serve a 1-year term; four shall serve 2-year terms; and the remaining 4 shall serve 3-year terms. The terms of the initial appointees shall be specified by the Secretary of State at the time of appointments. Subsequent to the initial appointments all members shall hold office for a period of 3 years. Vacancies shall be filled by appointment of the Secretary of State for the unexpired balance of the term. No person shall serve for more than 2 consecutive 3-year terms.
The State Archives Advisory Board shall elect from its own members one chairman and one vice chairman.

The members appointed to the Board shall serve without compensation but shall be reimbursed for necessary expenses incurred in the performance of their duties.
(Source: P.A. 83-523.)

(5 ILCS 160/22b) (from Ch. 116, par. 43.25b)
Sec. 22b. The State Archives Advisory Board shall meet at the call of the chairman, but not less than 3 times in each calendar year, and shall make recommendations to the State Archivist on such matters as: general policies regarding the operation of the State archives; budget policies relative to annual appropriations by the General Assembly; and policies for federal funded archives programs.
(Source: P.A. 83-523.)

(5 ILCS 160/22c) (from Ch. 116, par. 43.25c)
Sec. 22c. The State Archives Advisory Board shall also serve as the Illinois State Historical Records Advisory Board. This Board shall:

(1) serve as the State advisory body required by federal agencies to approve historical record grant applications;

(2) promote the identification, preservation, access to, and use of historical records in Illinois; and

(3) meet at least once each year.

The Director of the State Archives shall serve as the coordinator of this Board and assist the Board in its functions. The Secretary may appoint additional assistants, who must be technically qualified and experienced in records management and historic records preservation, as necessary to carry out the functions of this Board.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/23) (from Ch. 116, par. 43.26)
Sec. 23. “An Act creating the State Records Commission and defining its powers and duties,” approved July 23, 1943, as amended, is repealed, but all orders heretofore issued by the State Records Commission created by said Act shall stand and continue to be in full force and effect.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/24) (from Ch. 116, par. 43.27)
Sec. 24. Auditor General. The Auditor General shall audit agencies for compliance with this Act when conducting compliance audits and shall report his or her findings to the agency and the Secretary.
Any officer or employee who violates the provisions of subsection (b) of Section 3 of this Act is guilty of a Class B misdemeanor.
(Source: P.A. 92-866, eff. 1-3-03.)

(5 ILCS 160/25) (from Ch. 116, par. 43.28)
Sec. 25. The invalidity of any section or part or portion of this act shall not affect the validity of the remaining sections or parts thereof.
(Source: Laws 1957, p. 1687.)

(5 ILCS 160/26) (from Ch. 116, par. 43.29)
Sec. 26. Beginning July 1, 1984, the provisions of Sections 3 and 4 of this Act, as they relate to inspection and copying of records, shall apply only as to records and reports prepared or received prior to this date. Records and reports prepared or received on or after July 1, 1984, shall be covered under the provisions of “The Freedom of

Information Act", approved by the 83rd General Assembly.
(Source: P.A. 83-1013.)

JCAR Title 44, Part 4400 – State Records Act

TITLE 44: GOVERNMENT CONTRACTS, PROCUREMENT AND PROPERTY MANAGEMENT
SUBTITLE C: GOVERNMENTAL RECORDS
CHAPTER IV: STATE RECORDS COMMISSION
PART 4400 STATE RECORDS COMMISSION

Section 4400.10 General

a) *The State Records Commission* (Commission) *shall consist of the following State officials or their authorized representatives: the Secretary of State, who shall act as chairman; the State Historian, who shall serve as secretary; the State Treasurer; the Director of Central Management Services; the Attorney General; and the State Comptroller.* [5 ILCS 160/16]

b) *The Commission shall meet whenever called by the chairman, who shall have no vote on matters considered by the Commission.* [5 ILCS 160/16]

c) All meetings of the Commission shall be open to the public and will be held in the John Daly conference room of the Margaret Cross Norton Building, Springfield, Illinois, unless otherwise stated in the publicly-posted call for the meeting.

d) *It is the duty of the Commission to determine what records no longer have administrative, legal, fiscal, research, or historical value and should be destroyed or disposed of otherwise.* [5 ILCS 160/16]

e) *No record shall be disposed of by any agency of the State, unless approval of the State Records Commission is first obtained.* [5 ILCS 160/17] This includes original source documents that have been reproduced to another format via scanning, electronic microimaging or microfilming, as well as the reproductions themselves when they serve as the official record.

e) The Commission reserves the right to review, modify, or revoke approved records schedules if any changes occur in the records' administrative, legal, fiscal, research or historical value after initial scheduling for destruction. Reviews, modifications and revocations of existing records schedules may only take place after the head of each agency involved receives written notice two weeks prior to the Commission meeting stating time, date, and place of meeting and the reason for the proposed review. Commission meeting date, times and locations will be posted in the Margaret Cross Norton Building two weeks prior to each meeting and will be publicized in accordance with the Open Meetings Act [5 ILCS 120].

g) Non-record materials may be destroyed at any time by the agency in possession of those materials without the prior approval of the Commission. Whenever there is doubt that certain items are non-record

materials, the agency should consider them to be records until their status is determined

h) The head of each agency shall provide for compliance with provisions of this Part.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.20 Definitions

Act − The State Records Act [5 ILCS 160].

Administrative Value – Those aspects of records containing facts concerning an agency's administrative decisions that an agency needs for its immediate day-to-day function. This value almost always diminishes and is lost over time.

Agency – *All parts, boards, and commissions of the executive branch of the State government, including but not limited to all departments established by the Civil Administrative Code of Illinois.* [5 ILCS 160/2]

Analog Records – Records created and maintained on a physical medium. Examples include paper documents, analog motion picture film, analog photographs and analog audio tape.

Application for Authority to Dispose of State Records – Also referred to as a records retention schedule, the document stating the official retention, maintenance and disposition requirements for a record series, or type of record, based on administrative, fiscal, legal or archival values for the scheduled records. This schedule is of no force unless approved by the Commission (see Section 17 of the Act).

Authentic Copy – A reproduction of a record that duplicates the content of the original record and that has been certified as authentic by the creating agency so that it may be submitted as legal evidence.

Born-Digital Records – Records created in a digital format, as opposed to those created in other media and then converted to digital surrogates. Examples include word processing documents, electronic spreadsheets and digital photographs.

Chairman – Chairman of the State Records Commission.

Commission or SRC − The State Records Commission created by Section 16 of the State Records Act to determine what State agency records no longer have any administrative, fiscal, legal, research or historical value and should no longer be retained.

Database – A collection of data elements organized in such a way that a computer program can select desired pieces of data. A database is typically

used as an electronic filing system through which users can quickly sort and retrieve data as necessary.

Digital Surrogate – A reproduction of content on analog media that has been scanned, photographed, encoded or otherwise converted to a digital file that, when printed, viewed or played, replicates the original content.

Digitization Process – The methods, tools and procedures by which a digital surrogate is created for an original record. Examples include scanning and encoding of audio/video signals into digital data.

Electronic Microimaging − Any process in which digital documents or images (scanned or born-digital) are converted to permanent record microfilm.

Electronic Record − A record generated, communicated, received or stored by electronic means. Both born-digital records and digital surrogates of analog records are considered electronic records. Databases or components of databases may or may not be considered records, depending upon their function and contents. Electronic records can be contained in various storage media.

Field Representative − A representative in the State Records Unit of the Office of the Secretary of State.

Fiscal Value – Those aspects of records containing monetary information that accounts for the receipt or expenditure of funds.

Geographic Redundancy – The practice of replicating business data at two or more geographically distinct sites in order to protect against catastrophic data loss. Geographic redundancy can be provided through duplicate storage systems in different locations, or through contracting with vendors for remote or “cloud” storage.

Illinois State Archives – Department of the Archives and Records, Office of the Secretary of State, established pursuant to the State Records Act [5 ILCS 160].

Legal Value – Records that contain evidence of legally enforceable rights or obligations of the State, such as legal decisions and opinions; fiscal documents representing agreements, such as leases, titles and contracts; and records of actions in particular cases, such as claim papers and legal dockets.

List – An Application for the Authority to Dispose of State Records that have accumulated.

Metadata – Commonly referred to as “data about data”; structured data that describes, explains, locates or otherwise makes it easier to retrieve, use or manage an information resource. Metadata is typically organized into distinct categories, such as administrative, descriptive, preservation or structural.

Non-record Material − Types of non-record material include, but are not limited to:

Material not filed as evidence of administrative activity or for its informational content.

Extra copies of documents preserved only for convenience of reference.

Stocks of printed or reproduced documents kept for supply purposes, where file copies have been retained for record purposes.

Books, periodicals, newspapers, posters, and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes.

Private materials neither made nor received by a State agency pursuant to State law or in connection with the transaction of public business.

Perforated, magnetized and photographically coded cards and tapes, provided that documents containing the same information have been filed in the same office and such cards and tapes were not prepared as evidence of administrative decisions or transactions subject to audit.

Transitory messages, consisting of material that is created primarily to communicate information of short-term value. These can include messages sent via email, instant messaging (IM), text messaging (SMS) or paper correspondence. Examples of transitory messages include, but are not limited to, reminders to employees about scheduled meetings or appointments; most telephone messages (whether in paper, voicemail or other electronic form); announcements of office events such as holiday parties or group lunches; and recipient copies of announcements of agency-sponsored events such as exhibits, lectures, workshops, etc. Transitory messages are not intended to formalize or perpetuate knowledge and do not set policy, establish guidelines or procedures, certify a transaction or become a receipt.

Permanent – To be retained forever.

Permanent Record Film − A photographic camera original, or an exact copy of an original film, so composed and treated that the image and support will have maximum keeping quality under archival room storage conditions of 65-70° F and 30-40% humidity.

Raw Stock − Sensitized photographic material that has not undergone the process of development.

Records − All books, papers, digitized electronic material, maps, photographs, databases, or other official documentary materials, regardless of physical form or characteristics, made, produced, executed, or received by any agency in the State in pursuance of State law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the State or of the State Government, or because of the informational data contained therein. [5 ILCS 160/2]

Records Disposal Certificate – Same as State of Illinois Records Disposal Certificate

Records Retention Schedule or Schedule – Same as Application for Authority to Dispose of State Records

Records Series – A group of identical or related documents (either as to form or content) that is arranged under a single filing system or kept together as a unit because they consist of the same form, relate to the same subject, result from the same activity, or have certain common physical characteristics (i.e., maps, blueprints, etc.). A series may contain both forms and correspondence.

Research, Historical or Archival Value – Records that document a specific State program, a unique program, a departure from previous State policy, formation of public policy, the activities of an important government official, or a trend or movement by the citizenry.

Secretary – The Illinois Secretary of State.

State Archivist – The Illinois Secretary of State.

State of Illinois Records Disposal Certificate – Also known as the Records Disposal Certificate, the document on which all State government agencies list all records of which they wish to dispose. Agencies must file the certificate with the State Records Commission 30 days prior to the destruction of any records present on their approved Application for Authority to Dispose of State Records. Agencies may not dispose of records until the Certification has been approved and returned to them.

System Decommissioning – The removal of a system from service, such as when a system used to manage business records is shut down when it is no longer being utilized or is being replaced by a new system.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.22 Incorporations by Reference

a) No incorporation by reference in this Part includes any amendment or edition later than the date specified.

b) The following materials are incorporated in this Part:
The American National Standards Institute/Association for Information and Image Management

1819 L Street, NW
Suite 600
Washington, DC 20036

1) ANSI/AIIM MS23 (2004) − Recommended Practice − Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents

2) ANSI/AIIM MS62 (1999) − Recommended Practice for COM Recording System Having an Internal Electronic Forms Generating System − Operational Practices for Inspection & Quality Control

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.25 Record Management

a) The Act [5 ILCS 160] places with the Secretary of State the responsibility to provide the expertise and technical assistance necessary for State agencies to properly manage their records. The Secretary provides this service through the Illinois State Archives − Records Management Section.

b) The Act places three major responsibilities on State agencies:

1) No record shall be disposed of by any State agency unless the approval of the State Records Commission is first obtained.

2) The head of each agency shall establish and maintain an active, continuing program for the economical and efficient management of records of the agency.

3) The head of each agency shall submit to the Commission lists or schedules of records in his or her custody that are not needed in the transaction of public business and do not warrant further preservation. Any person who knowingly and without lawful authority alters, destroys, defaces, removes, or conceals any public record is guilty of a Class 4 felony as provided in Section 11 of the Act and Section 32-8 of the Criminal Code of 2012 [720 ILCS 5/32-8].

c) When requested by authorized State agency officials, the State Archives field representatives present the records management program to the agency and provide guidance in the implementation of records management practices. The field representatives personally contact the State agencies for the purposes of:

1) providing for the economical and efficient management of the records of an agency;

2) analyzing, developing, promoting, coordinating and promulgating standards, procedures and techniques designed to improve the management of records;

3) establishing retention policies for an agency's records;

4) facilitating the segregation, storage and disposal of records with temporary value; and

5) insuring the maintenance and security of records deemed for permanent preservation.

d) The Commission has set standards for the reproduction of public records by micrographic, digital and electronic microimaging processes. Standards regarding the quality of film, preparation and identification of records and proper certification of copies are provided in Sections 4400.50 and 4400.60. Standards for the reproduction of records using digital formats are provided in Section 4400.70.

e) The field representative will complete a records inventory for the State agency. The inventory serves as the basis for determining the records program required. The records inventory worksheet shall contain the following information:

1) the date the worksheet was completed;

2) the number of the worksheet;

3) the records series title;

4) the beginning date of the series or an estimated date for records no longer created or required;

5) the total record series in existence at the time of the inventory;

6) the accumulation of the record series for the most recent year;

7) the physical measurements of the documents or a description of the documents;

8) whether the series is arranged chronologically, alphabetically or numerically or by status (active, inactive or closed);

9) the official designation of the State agency and the division and/or subdivision if appropriate;

10) the location of the office of the person having responsibility for the records;

11) the name, title and phone number of the person responsible for the records;

12) a description of the index or finding aid for the records;

13) a detailed and accurate description of each record series; and

14) the recommendation regarding retention of records in terms of years or months.

f) The values considered by the State Archives in appraising records for retention purposes are as follows:

1) the administrative value;

2) the legal value;

3) the fiscal value; and

4) the research, historical, or archival value.

g) The State Archives will examine the records in light of the values listed in subsection (f) to determine if the records should be retained by the agency, transferred to the State Archives, or destroyed.

h) If the agency's approved Record Retention Schedule authorized the destruction of records stored in the agency's own offices, the Records Disposal Certificate shall be completed and approved by the Chairman of the Commission prior to the physical destruction of the agency's files. The Records Disposal Certificate shall be submitted to the Commission 30 days prior to the date of the proposed destruction unless the waiting period has been waived by the Chairman.

i) If the agency's approved Records Retention Schedule provides for the transfer of agency files to the State Archives after retention in the office, the Archives Records Transfer Sheet shall be completed and included with the records when they are transferred to the Archives.

j) All forms required for the actions noted in this Section shall be provided to agencies by the State Archives.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.30 Procedures for Compiling and Submitting Lists and Schedules of Records for Disposal

a) The head of each agency shall submit to the Commission lists or schedules of records in his or her custody that are not needed in the transaction of current business and that do not have sufficient administrative, fiscal, legal, research or historical value to warrant their further preservation.

b) New lists or schedules are required whenever the informational contents of a records series are changed.

c) An Application for Authority to Dispose of State Records shall be submitted to the Commission on forms available from the State Records Commission, Margaret Cross Norton Building, Springfield, Illinois 62756.

d) The Secretary of State *shall appoint such assistants, who shall be technically qualified and experienced in the control and management of archival materials and in records management practices and techniques, as are necessary to carry out his* or her *duties* [5 ILCS 160/6], including the preparation of lists and schedules of records.

e) Applications for Authority to Dispose of State Records must be received in the office of the State Records Unit of the Illinois State Archives at least five working days before a scheduled Commission meeting to be placed on the agenda of that meeting. If received after that time, applications will be placed on the agenda of the next Commission meeting.

f) The Commission will consider all applications presented at each meeting. The Commission may approve, amend, deny or defer approval of an application pending clarification, modification or deletion of information presented on any portion of the application. Once approved, applications are non-expiring.

g) During the review of each application, the Commission will consider if the description of the records series is complete and easily understandable with regard to how and why the record was created, what purpose it serves, where else the information can be found, and if the proposed retention is appropriate in light of the records' administrative, fiscal, legal, research or historical value.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.40 Procedures for the Physical Destruction or Other Disposition of Records Proposed for Disposal

a) Subject to statutory provisions, agencies may dispose of records authorized for destruction by the Commission.

b) All records for which disclosure is prohibited by law that contain social security, driver's license, or State identification number or that identify a person by name and birth date must be destroyed by a lawful, secure manner that does not allow for the reconstruction or reuse of the original record information.

1) Approved methods of destruction for paper based records for which disclosure is prohibited by law or that identify a person include: burning; shredding, in which either a crosscut shredder cutting to a maximum width of ⅜ inches or an industrial sized strip cut shredder is used, if it is incorporated with a baler or the shredded paper is further destroyed; pulping using standard wet process pulpers; or pulverizing using a dry destruction process that may

include the use of hammer mills, choppers, huggers or disintegrating equipment.

2) Approved methods of destruction for non-paper based records for which disclosure is prohibited by law or that identify a person include: burning in a pyrolytic furnace or other incinerator or incendiary device; destroying in a dry pulverizing system; shredding; grinding, which is defined as abrading through the surface of an optical disc (compact disc); milling; knurling; disintegration; or degaussing. Computer software or hardware must be overwritten, erased or wiped/sanitized in a manner that prevents retrieval.

3) The handling and transportation of the records designated for destruction must be done in a reasonably secure manner that is designed to prevent public access to the records.

c) Thirty days prior to disposal or destruction of any records, regardless of physical format or characteristics, the agency shall submit a Records Disposal Certificate to the Chairman of the State Records Commission and proceed with disposal only after a copy of that certificate has been reviewed and approved by the Chairman and returned to the agency. The original copy of this disposal certificate will be kept in the files of the State Records Commission and the duplicate copy approved and returned by the Chairman shall be retained by the disposing agency for its files.

d) In the case of records with scheduled retention of less than one year, a single Records Disposal Certificate may be used for more than one disposal event within a given year. Records Disposal Certificates submitted with this intent must include a schedule of proposed records disposal in addition to the normally required information. Agencies may not proceed with disposal of records until receiving approval from the Commission, as delineated in subsection (c).

e) If an agency's records have been damaged by water, fire, smoke, insects or vermin, mold or some other natural disaster that poses a health or safety risk to employees, an agency may apply to the Chairman of the State Records Commission for permission to dispose of those records ahead of the scheduled disposal date. The request must include a Records Disposal Certificate, accompanied by the agency's explanation why the records need to be disposed of early. The Chairman of the Commission may grant the request only after physically reviewing the damaged records.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.50 Standards for the Reproduction of Records by Microphotographic and Electronic Microimaging Processes with a View to the Disposal of the Original Records

a) Records proposed for microfilming or electronic microimaging with a view to dispose of the original records must be on a list or retention schedule approved by the State Records Commission.

b) In submitting lists or schedules of records scheduled for permanent retention for which microfilm copies are to be substituted, each agency shall certify that microfilm copies, made in accordance with standards of the Commission, will be adequate substitutes for the original records.

c) Computer Output Microfilm (COM) of born digital data is to be considered an original record and not a copy of an original record. Therefore, authentication requirements for source document microfilm as found in subsections (f) and (g) do not apply to COM. COM of scanned (electronic microimaging) digital images must include resolution charts as recommended in ANSI/AIIM MS62.

d) Quality of the Film Used. The film stock used must be silver halide and the processing of the film shall comply with the minimum standards of quality required by the Commission as set forth in Section 4400.60.

e) Preparation of the Records for Filming or Electronic Microimaging.

1) All documents in the file shall be microfilmed or scanned, unless their size or physical form prevents microfilming or scanning, in which case an explanation of their omission shall be microfilmed or scanned at the appropriate point on the roll of film and be worded substantially as follows:

" ___(Item Description)___ was omitted from this roll of film because _____.
It may be located _____."

2) Any records not filmed shall be maintained by the agency or transferred to the Archives under terms specified on the approved records retention schedule.

f) Integrity of the Original Records.

1) The integrity of the original records shall be preserved through a photographic or electronic microimaging process so that the image on film, or exact duplicates of the image, will be adequate substitutes for the original records in that they will serve the purposes for which the records were created or maintained and that the copies will contain all significant record detail needed for probable future reference and will not permit additions, deletions or changes to the reproductions of the original images.

2) Prior to microfilming or scanning, the original documents shall be prepared, arranged, classified and indexed to readily permit the subsequent location, examination and reproduction of the photographs. Any significant characteristics of the records that would not reflect photographically (e.g., that the record is indistinct or that certain figures are of a color not suited to recording on microfilm) shall be indicated by means of an explanatory target inserted to guide the

user. Any notations on the face or reverse side of any document shall be photographed and identified as forming an integral part of the original document. A significant characteristic is any part of the record necessary for its interpretation, including all words, numbers and illustrations.

A) Each film roll, camera negative, or sheet (including 105mm continuous fiche rolls, but not COM) shall be identified by or contain the following targets:

i) A technical target for measuring resolution.

ii) A film density target (8½" x 11" bond paper).

iii) A roll number START target in characters that can be read without magnification.

iv) A TITLE target giving name of the office having custody of the records, a brief title of the record series, dates, file arrangement, and the number of the schedule approved by the Commission authorizing the project.

v) Listed between the START file and END file targets must be explanatory targets for omission, deletion, misfiles, retakes, or any example given in Section 4400.50(f)(2).

B) At the end of each roll/sheet of film, after the document images, shall be targets as follow:

i) An END target containing the number of the list or schedule approved by the Commission authorizing the project.

ii) Roll number.

iii) Brief title of the record series.

iv) Beginning and ending file designations.

v) A camera/electronic microimaging operator's certificate as follows:

"I hereby certify that I have on this ____day of _____, 20 _____ photographed or electronically microimaged the documents appearing on this roll of film, that they are true copies of the documents found in the record file described above, and that the integrity of the above described record file has been maintained on

the film by microfilming or electronically microimaging each document in the exact order in which it was found in the file. Reproductions designed to serve as permanent records comply with the regulations and standards of the State Records Commission."

vi) Signature of camera operator.

vii) A film density target (8½" x 11" bond paper).

viii) A technical target for measuring resolution.

g) Security microfilm shall have no breaks, cuts or splices in the body of the film, which shall be the area following the START target and preceding the Camera/Electronic Microimaging Operator's Certificate. However, a retake of a length of film may be spliced ahead of the START target or after the Camera/Electronic Microimaging Operator's Certificate, providing that the retake be given its own START target and Camera/Electronic Microimaging Operator's Certificate. This shall be done in such a manner as not to overload a reel or cartridge. Exceptions to this rule are:

1) If the trailing end of a reel shall be fogged or unreadable, the camera or electronic microimaging operator shall rephotograph the original documents or obtain the corresponding electronically microimaged documents from a point 12 images in advance of the last readable image prior to the fogged or unreadable area. The retake will include a camera/electronic microimaging operator's certificate and will be spliced to the trailing end of the fogged or unreadable portion of the film.

2) When a court-ordered expungement of specific records is issued and deletions are made from the roll of film, the court expungement order and a certificate of deletion, illustrated below, must be photographed or electronically microimaged and the images spliced to the beginning of the film.

CERTIFICATE OF DELETION

This is to certify the deletion of microfilm images on this roll of microfilm occurred due to Court Order # _____, date _____, signed by Judge _____. No other images other than those listed in this order were deleted.

_____
Signature of Officer

h) The camera or microimaging system used to microfilm the records shall be one that accurately reproduces the content of the original records with sufficient photographic contrast and resolution to be readable through three generations of reproduction.

i) Each roll of original film or camera negative must be inspected after processing and before duplicate copies are made. The inspection must be conducted in such a manner as to reveal defects such as improper density, poor resolution, blurred or obscured images, improper document sequence, or improper identification targets. If a defect prohibits a clear, legible, hard copy print from the files, the original records must be re-photographed. One of the following methods is a suitable means of inspection:

1) randomly sampling the film, making sure that the samples include the beginning, middle, and end of the roll or microform. (It is suggested that this be done on all film as a minimum quality control.)

2) visually inspecting the film by passing each image through a reader and checking for overlapping, double or folded images, or other types of problems that would impair retrieving any information on the microimages.

3) performing all of the requirements of subsection (i)(2) plus counting the number of microimages on the film and comparing that against the number of documents that were to be microfilmed. (If the numbers coincide, the conclusion is made that every document has been microfilmed.)

4) individually comparing each document with each microimage that was actually created. (This visual verification provides the highest assurance that every document has been properly filmed.)

j) If more than 1% of the original images needs to be refilmed (approximately 30 images per roll), the entire roll must be refilmed.

k) Updateable Microfiche Systems
An agency considering using an updateable microfiche system should first contact the State Records Unit to review the proposed application. The application will be approved if the updateable microfiche meets the following specifications:

1) each microfiche must have the specified targets at the beginning and end of each fiche as required by subsection (f)(2)(A) and (B).

2) each time a microfiche is updated, either a camera operator's certificate must be inserted at the end of the added documents or annotated reference to the original camera operator's certificate must appear on each added image.

3) only records bearing retention periods of 10 years or less may be placed on updateable microforms.

4) if a court ordered expungement is necessary, a certificate of deletion must appear at the place of the deleted image.

l) Prior to the destruction of records scheduled for permanent retention that have been microfilmed under the authority of approved records schedules, the agency shall file a Records Disposal Certificate with the Commission that lists all records that are to be destroyed and certifies compliance with the rules in this Section.

m) Each film carton shall be identified by a label or exterior marking indicating:

1) Roll number.

2) Name of office.

3) Title of the record series.

4) Names of the file units at the start of the roll, at space targets, and at the end of the roll.

5) The number of the application authorizing the microfilming of the record/record series.

n) Inspection
Security or master films of permanent record microforms, and records microfilmed to dispose of the original record, shall be inspected every 2 years during their scheduled life. The inspection shall be made using a 1% randomly selected sample in the following categories: 70% – microforms not previously tested, 20% – microforms tested in the last inspection, and 10% – control group. The control group shall represent samples of microforms from the oldest microforms filmed through the most current.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.60 Minimum Standards of Quality for Permanent Record Photographic Original Microfilm

a) These standards are concerned with both raw stock for permanent record films and with the processed films ready for storage. They are not restricted to microfilm but apply equally to motion picture films, roll films, and sheet films. They reflect incorporations listed in Section 4400.22.

b) All such film stock shall be of approved permanent type polyester based film that includes an anti-halation dye system that meets the minimum specifications of ANSI/AIIM MS23.

c) Each frame of microfilm shall be exposed and processed so that every line and character on the document appears on the microfilm with sufficient clarity to permit reproducibility through three successive generations of reproduction. With regard to operational procedures, inspection, and quality control of silver gelatin microfilm, ANSI/AIIM MS23, shall apply.

d) The background photographic densities must be appropriate to the type of documents being filmed. Appropriate background densities are as follows:

Classification	Description of Documents	Background Density
Group 1	High-quality, high-contrast printed books and periodicals; black type face; fine-line originals; black opaque pencil writing; and documents with small, high-contrast print.	1.00 to 1.30
Group 2	Pencil and ink drawings; faded and very small print (for example, footnotes at the bottom of a printed page); scenic checks; documents with printed pictorial images; and newspapers.	0.90 to 1.10
Group 3	Low-contrast manuscripts and drawings; graph paper with pale, fine-colored lines; letters typed with a worn ribbon; poorly printed, faint documents.	0.80 to 1.00 (1:24 reduction or less)
Group 4	Very low-contrast (worse case) documents can require extremely low background density.	0.75 to 0.85 (1:24 reduction or less)
Group 5	COM	1.50-2.00

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.70 Digital Reproduction

a) Analog records may not be destroyed in favor of digital surrogates unless the digital surrogates are produced in compliance with this Section and unless done pursuant to a retention schedule approved by the Commission.

b) In submitting schedules of analog records scheduled for permanent retention for which digital surrogates are to be substituted, each agency shall certify that the copies will be made in accordance with the regulations of the Commission and will be authentic copies of the analog records.

c) Analog records scheduled for permanent retention may not be destroyed in favor of digital surrogates unless those surrogates are maintained in compliance with Section 4400.80. If the requirements of Section 4400.80 are not met, records must be additionally maintained either in original format or in a microfilm format that complies with Sections 4400.50 and 4400.60.

d) File Integrity – The integrity and authenticity of the analog records shall be preserved through the digitization process so that the images or surrogates will be authentic copies of the analog records. They must serve the purposes for which the original records were created or maintained and the copies must contain all significant record detail needed for probable future reference.

e) Digital surrogates of analog records must be created and stored in file formats approved by the Commission (see Appendix E). Such formats include, but are not limited to, PDF, PDF/A and TIFF.

f) Access – The digital surrogates shall be prepared, arranged, classified and indexed to readily permit subsequent location, examination and reproduction of individual records. Hardware, software and documentation must be maintained to allow ready access to each file.

g) External Vendors – Subject to the Illinois Procurement Code [30 ILCS 500], agencies may contract with external vendors to perform any of the tasks involved with the digitization of records. The vendors must comply with all State laws and rules governing the digitization process. The contracting agency will remain responsible for the proper management of records in the temporary custody of the vendor.

h) Technical Standards for Creation of Digital Surrogates

1) Quality Control – Prior to production, an agency shall assemble a sample set of source documents or records equivalent in characteristics to the source documents for the purposes of evaluating scanner results. Scanner quality must be evaluated in accordance with current industry best practices at the time of production, such as, but not limited to, Riley & Whitsel's "Practical Quality Control Procedures for Digital Imaging Projects" and the Federal Agencies Digitization Guidelines Initiative's "Technical Guidelines for Digitizing Cultural Heritage Materials: Creation of Raster Image Master Files." If agencies are uncertain as to whether they are following appropriate best practices, they should consult with the Illinois State Archives.

2) Quality Assurance – Before production, an agency shall develop written quality assurance procedures based upon the results of the pre-production quality sample. Before the original documents are destroyed, quality assurance must be conducted in accordance with current industry best practices at the time of production, such as, but not limited to, Riley & Whitsel's "Practical Quality Control Procedures for Digital Imaging Projects" and the Federal Agencies Digitization Guidelines Initiative's "Technical Guidelines for Digitizing Cultural Heritage Materials: Creation of Raster Image Master Files." If agencies are uncertain as to whether they are following appropriate best practices, they should consult with the Illinois State Archives.

3) Scanning Resolution – Scanning resolution must be adequate to ensure that no information is lost. A scanning resolution with a minimum of 200 dots per inch is required for recording documents that contain no type font smaller than six point. A minimum scanning resolution of 300 dots per inch is required for engineering drawings, maps and other documents with a type font smaller than six point or with background detail. The selected scanning resolution must be validated with tests on actual source documents.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.80 Management of Electronic Records

a) Born-digital Records – Born-digital records shall be subject to the same records schedules as those records originally created in other media.

b) Databases – Databases or components of databases may or may not be considered records, depending upon their function and contents. An agency's Records Retention Schedule, as approved by the Commission, will be used to make such a determination.

c) Permanent Records – Records scheduled for permanent retention must be stored in file formats approved by the State Records Commission (see Appendix E) at the time the records are permanently removed from the active system, at the time of active system decommissioning or at the request of the Commission.

d) Storage Media – Electronic records may be stored on a hard disk, magnetic tape, networks utilizing a combination of these, or other media approved by the Commission (see Appendix F). Stored records must be regularly migrated to new media in accordance with current industry best practices, such as, but not limited to, ANSI/ARMA 16-2007, The Digital Preservation Coalition's Digital Preservation Handbook and the University of Illinois' "Best Practices for Media Selection and Migration". If agencies are uncertain as to whether they are following appropriate best practices, they should consult with the Illinois State Archives.

e) Access – Electronic records must be maintained in such a way that each record is individually accessible for the length of the scheduled retention.

f) Backup Copies – A minimum of two total copies of all electronic records must be preserved for the length of scheduled retention. Copies must be stored according to current industry best practices for geographic redundancy, such as, but not limited to, NIST Special Publication 800-34 Rev. 1 – Contingency Planning Guideline for Federal Information Systems and the New York State Archives' "Records Advisory: Electronic Records Disaster Preparedness and Recovery." If agencies are uncertain as to whether they are following appropriate best practices, they should consult with the Illinois State Archives.

g) External Vendors –

1) Subject to the Illinois Procurement Code, agencies may contract with external vendors for the storage or management of electronic records. The vendors must comply with all rules in this Section. Contracting agencies will remain responsible for the proper management of records in the custody of vendors.

2) Contracts for the storage of electronic records by external vendors must allow for the return of all electronic data files and indexing

information to the agency at the expiration of the contract or upon vendor failure to comply with subsections (c) and (e).

h) Identification – Each electronic record must have a unique identifier to allow for ongoing management of that record. If electronic records are stored on discrete storage media, each physical unit must have a unique identifier.

i) System Requirements for the Management of Permanent Records −

1) Electronic Records Scheduled for Permanent Retention – These records must be stored and managed in accordance with subsections (d) through (j). If those requirements are not or cannot be met, then an additional microfilm or print copy must be created for permanent preservation. Microfilm copies must be created in accordance with Sections 4400.50 and 4400.60. Certain record types that are unsuitable for print or microfilm reproduction, such as audio or video files, are exempt from this requirement.

2) Classification – Systems used to store and access electronic records must allow records to maintain their relationships to one another.

3) Security − Systems used to store and access electronic records must not permit unauthorized additions, deletions or changes to the records. Access to the system must be limited and strictly controlled.

4) Access – Systems used to store and access electronic records must allow for the retrieval of individual records and their associated metadata in a timely manner.

5) Metadata – Systems used to store and access electronic records must capture relevant structural, descriptive and administrative metadata at the time a record enters the system. The system must generate additional metadata whenever a record is moved within the system or migrated to another format or storage medium.

6) Format Migration – Systems used to store and access electronic records must allow for the migration of stored records, and their associated metadata, notes and attachments, from one file format to another.

7) System Maintenance – Each agency shall ensure that hardware, software and documentation (including maintenance documentation) used to store and access electronic records are retained for the entire life of that system.

8) System Changes – If hardware, software and/or documentation used to store and access electronic records is replaced, or if the electronic records are migrated to a new system, the agency must ensure that the replacement hardware, software and/or documentation meets all requirements mandated in the approved records schedule and in this Section.

j) Legacy Systems − Agencies must make efforts to bring existing systems used for the storage of electronic records into compliance with this Section. If systems are unable to accomplish some of the required functions, agencies must attempt to achieve the same results through separate processes. Vendor contracts for the storage or management of government electronic records must be updated for compliance when possible.

(Source: Amended at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.APPENDIX E Sustainable File Formats for Electronic Records − A Guide for Government Agencies

Electronic records are produced and kept in a wide variety of file formats, often dictated by the type of software used to create and access a record. Accessibility and user convenience are also common factors that determine the use of one format over another. When dealing with electronic records that have retention requirements past their initial use, however, one must also take into consideration the sustainability of the format used.

Sustainability in this context refers to continued accessibility over time. For example, will a given electronic record be available for users in ten years? What about twenty? Fifty? While no file format can guarantee perpetual accessibility, certain formats have distinct advantages over others in this regard. These formats are often referred to as “sustainable” formats. Sustainable formats often include the below features:

1) Published Documentation and Open Disclosure: Specifications for the format are published and accessible to the public. This means that anyone who wants to create tools to work with the format can do so with no restrictions of copyright. Formats that share these characteristics are commonly called “open-source” or “non-proprietary”. Because anyone can create tools to access such formats they have a low chance of becoming inaccessible in the future, even if the formats themselves become obsolete.

2) Widespread Adoption and Use: The more widely a format is used, the more likely it is to have multiple tools used to access and manipulate it. This reduces the chance of a format becoming inaccessible due to one software publisher going out of business. Widespread adoption also serves as an indicator of general format stability, and serves as a safeguard against loss of accessibility. A wider user base means more stakeholders who have a vested interest in keeping a format going.

3) Self-describing Formats: These formats contain metadata (data about the data) within their structure that interprets the content, context and structure of the file. This means that descriptive information (the file name, date of creation, identification of data within the file, for example) can be kept within the file itself, and external documentation is not required. When discussing long-term preservation this is particularly important, since records often become disassociated from their original software environment and accompanying files. The more self-contained a format is, the better the chances of the data contained within being accessible down the road.

4) Unencrypted Files: Electronic records with long-term retention should not be encrypted in any way, as this can severely compromise the future accessibility of those records. Encryption methods change dramatically over time, and the specific software tools needed to access current encrypted records may not exist in the future. A good electronic records management system can handle security, restricting access to records as needed, while leaving the records themselves unchanged.

The following is a list of formats currently recommended for long-term preservation by the Illinois State Archives.

TEXT

Best Choice:

PDF/A (Portable Document Format / Archives): A variant of PDF that is specifically aimed at long-term preservation, its specifications are published in the standard ISO 19005-1:2005. It sacrifices certain functions, such as the ability to have external hyperlinks or embed audio or video, for the sake of greater reliability. The most notable different between PDF and PDF/A is the latter's ability to embed all necessary fonts within the file itself. This makes the file totally self-extracting, without any need to access external font information to properly present the formatting of the document. PDF/A also embeds descriptive metadata within the file itself, making it self-describing. These two factors make PDF/A the preferred format for long-term preservation of textual electronic records, both born-digital and digitized. Files can be converted to PDF/A by a number of different software tools and plug-ins to existing word-processor software.

Other Options:

PDF (Portable Document Format): A format commonly used to present formatted, page-oriented documents. PDFs can contain text, images, graphics, video and audio, as well as hyperlinks to outside documents. Originally created by Adobe Systems as a propriety format, the source code for PDF and its variants have since been made freely available, making it an open-source format. PDF is widely adopted around the world. Some later versions of PDF can include self-describing metadata. PDFs are acceptable for short to medium-term storage, but are not suitable for long term (20+ years) or permanent preservation. For long-term applications the PDF/A variant is preferred.

XML (Extensible Markup Language): A standard format for structured documents and data on websites, XML is also a preferred format for the preservation of metadata associated with records. XML is maintained and developed by the World Wide Web Consortium (W3C), but is open-source. XML enjoys nearly universal adoption, and can be accessed and worked on by scores of freely available software tools. XML is self-describing, but requires association with an appropriate schema (also freely available) in order to properly render all formatting.

HTML (Hypertext Markup Language): A standard format for structured documents and data on websites currently maintained and developed by the World Wide Web Consortium (W3C). HTML is open-source, and is universally adopted. Unlike XML, HTML does not contain descriptive metadata headings. This limits the machine-readability of HTML, particularly when attempting to perform advanced search functions within files.

Plain Text: The most basic form of text file, plain text can be rendered by any software that can read text, across any platform. Plain Text renders only basic characters, spaces and punctuation, however, and does not preserve formatting such as italics or bold letters. It is therefore typically used only for relatively small amounts of information such as software instructions or short notes. Plain Text is open-source and universally adopted. Common file extensions for Plain Text include .txt and .text.

ODF (OpenDocument Format): An XML-based file format used for spreadsheets, charts, presentations and word processing documents. ODF was developed by Sun Microsystems, but is an open format, is freely available to anyone and has been published as an ISO standard (ISO/IEC 26300:2006). Owing to its relatively recent creation (2005) ODF is not as widely adopted as some other formats, but it is supported by almost all current office suites and word processing programs. File extensions for ODF files vary depending upon the specific type of file, but include .odt (word processing), .ods (spreadsheets) and .odp (presentations).

STILL IMAGES

Best Choice:

TIFF (Tagged Image File Format): TIFF was initially created in the 1980s in an effort to standardize file formats created by commercial scanners. The format has gone through a number of revisions since then, becoming an international standard for electronic images. The format is currently owned by Adobe Corporation, but the specifications are open and freely available. Unlike many image file formats, TIFF is uncompressed. This means that the files are larger than a compressed format (such as JPEG) but there is no loss of data. This ensures that the file can be reproduced over time at its full fidelity. TIFF files can contain “tags” that store descriptive metadata about the file. TIFF files may have a file extension of .tif (Windows) or .tiff (Macintosh).

Other Options:

JPEG 2000 (Joint Photographic Experts Group): JPEG-2000 was created by the Joint Photographic Experts Group in 2000 as a next-generation format for electronic images. The format is part of an international standard: ISO/IEC 15444:2004. JPEG-2000 files can be compressed in either lossy or lossless fashion, although only the lossless variety is acceptable for long-term preservation. The format is still relatively new, and thus does not have the same wide-spread use as TIFF. This makes it a slightly riskier choice for preservation, although usage of the format is growing. The lossless

compression of JPEG 2000 provides some space savings over TIFF, but it may be better suited as a format for access rather than preservation. The standard file extension for JPEG 2000 is .jp2.

PNG (Portable Network Graphics): A file format initially created with the approval of the World Wide Web Consortium (W3C) as a replacement to GIF (Graphics Interchange Format). PNG is most often used to present images on the web, and can be accessed with a wide variety of web browser and image display software. PNG uses a “lossless” compression algorithm which reduces the size of the file without losing any data. This means that images in PNG format do not suffer from “generation loss,” where the quality of an image suffers over time with repeated use. Specifications for PNG are open and freely available, and the format can contain extensive metadata within its structure.

SPREADSHEETS

Due to the complexity of spreadsheet structure it is challenging to perfectly represent data over time. Different software uses varied means to record formulae and link data, and so advanced functions are not always replicable in more open formats. The below formats represent the best approach for long-term accessibility, but both may be unable to represent certain formatting or functions of spreadsheets originally created in formats such as Microsoft’s XLS. Agencies may want to save copies of spreadsheets with long-term retention in both the native format and in one of the below. This redundant method can preserve the maximum functionality of the spreadsheet while still protecting the core data from format obsolescence.

CSV (Comma Separated Values): A simple format which can be used to represent spreadsheet data. CSV files can be accessed with any spreadsheet software or text editor, but at the cost of potential loss of advanced functionality enjoyed by more proprietary spreadsheet formats. There is therefore a tradeoff with using CSV: universal interoperability is excellent for long-term preservation, but the loss of advanced formulae may compromise the core data of the record. Basic spreadsheets containing tabular data without advanced functions may be better served by CSV than others.

ODF: (See previous entry for general data on ODF) The spreadsheet format of ODF, .ods, is a good choice for preservation of spreadsheets, as it supports more advanced functionality than CSV. However, spreadsheets originally created in other formats such as XLS may suffer some functionality loss upon conversion to ODF due to the non-standardized methods by which different software execute formulae.

AUDIO

Best Choice:

BWF (Broadcast WAVE Format): A variant of the WAVE format, BWF (sometimes called BWAVE) was developed by the European Broadcasting

Union with long-term preservation in mind. BWF takes the existing WAVE file structure and adds additional metadata support. The specifications for BWF are open and freely available, and the format is a de facto standard for digital audio for those in the radio, motion picture and television industries. It is also used extensively by audio archives throughout the world. The format is self-describing, as it contains its own structural and descriptive metadata. BWF files are uncompressed, and can be played by any software that is WAVE compatible. In order to display, add or modify metadata in a BWF file, however, one must use software that specifically supports the format. Free software is available that can attach BWF metadata to existing WAVE files. The file extension for BWF is .wav, the same as standard WAVE files.

Other Option:

WAVE (Waveform Audio File Format): WAVE is a format created by Microsoft and IBM in the early 1990s. Though proprietary, the format is fully documented and has been used as the basis for the preservation-oriented variant BWF (see above entry). WAVE files are uncompressed, so they lose no audio data as with some other audio formats. The format also enjoys near-universal adoption, as it is compatible with virtually every audio player available, across computer platforms. Software utilities to convert other formats to WAVE are plentiful and inexpensive (or free). WAVE has limited metadata capabilities, so is a second choice for long-term preservation behind BWF (see above). WAVE can still be an acceptable format for non-permanent audio, provided that appropriate external metadata is associated with the WAVE files.

VIDEO

Whereas best practices typically dictate that only uncompressed formats be used for preservation of electronic content, the area of video preservation becomes more complex. Uncompressed video can take up huge amounts of space in a storage environment, and thus formats utilizing “lossless” or “near-lossless” compression have become more acceptable in some cases. Compression of these types utilizes algorithms to reduce the size of a file without irrevocably losing any data. This can be compared to “lossy” compression, which sacrifices some data to achieve smaller size. Lossy compression is unacceptable for long-term preservation because it permanently alters the structure of digital content and can lead to gradual reduction in quality over time.

MPEG-4 (Motion Picture Experts Group): MPEG-4 is an open-standard format developed by the Motion Picture Experts Group as a format for encoding video content for dissemination on the web. There are two main encoding versions, and numerous subcategories, of the format. Documentation for all varieties of MPEG-4 is extensively published as part of an international standard: ISO/IEC 14496-14:2003. The compression of a given MPEG-4 video file will depend upon the specific software and coding used in its creation, and can range from lossy to lossless. For long-term preservation only lossless or near-lossless compression should be used. MPEG-4 supports the embedding of descriptive metadata to help support

future access. A number of software tools, both free and paid for, are available to convert existing video files to MPEG-4 format.

Motion JPEG 2000 (Joint Photographic Experts Group): Motion JPEG-2000 is a derivative of JPEG 2000 which codes and displays video. The format is part of an open international standard: ISO/IEC 15444-3:2004. Motion JPEG-2000 files can be compressed in either lossy or lossless fashion, although only the lossless variety is acceptable for long-term preservation. The format is still relatively new, so adoption is not yet as widespread as older video formats. A number of software tools are available that can convert other video formats into Motion JPEG-2000, and it can support a variety of descriptive and structural metadata. File extensions for the format are .mj2 and .mjp2.

(Source: Added at 39 Ill. Reg. 3031, effective February 11, 2015)

Section 4400.APPENDIX F Reliable Storage Media for Electronic Records − A Guide for Government Agencies

Modern computer systems use a wide variety of storage media to store and access electronic data. What media is used depends on a number of factors, but cost, speed of access and ease of use are common drivers of selection decisions. Often overlooked are concerns of long-term reliability and sustainability. Electronic records are vulnerable to degradation or loss if not maintained in an appropriate storage environment which takes into consideration media reliability and guards against technological obsolescence.

To say that media is reliable is to indicate that it can be trusted to preserve and provide access to data stored on it over time. While no storage medium can guarantee reliability and sustainability, certain media formats have distinct advantages over others in this regard. Understanding a media format's strengths, weaknesses and expected life span allows IT managers to appropriately protect the data stored on that media.

No storage media alone can ensure the preservation of electronic records. Selecting appropriate media is one part of a greater preservation strategy which includes using sustainable file formats, actively managing files over time, planning for future technology change and securing adequate resources to support preservation activities.

The following factors should play a part in the selection of any storage media for electronic records.

Durability: Durability is a factor representing the ability of electronic storage media to withstand wear and environmental conditions. Corruption (data rot) can occur as the electrical charge, magnetic orientation, or physical material degrades, causing unintended changes or loss of data.

Assessing Durability: Durability of media is commonly expressed in terms of "mean time between failures," which indicates how long a given drive/tape/disk can be expected to operate before failure.

Widespread Adoption and Use: Widespread adoption and use is a factor indicating a wide user base, meaning more stakeholders have a vested interest in keeping the storage media viable and well-supported. Widespread adoption also serves as an indicator of general media stability and generally provides a lower overall lifecycle cost of storage. The more widely a storage medium is used, the more likely it is to have long-term support to maintain it. Widely adopted technologies are typically documented and based on open standards supported by multiple hardware vendors. This reduces the chance of a medium becoming inaccessible due to one vendor going out of business.

Assessing Adoption and Use: While there is no universal benchmark that indicates something is “widely used” one should look for examples of a given technology being used by other institutions, government agencies and private corporations. Multiple manufacturers and distribution sources are also good indicators of a widely-used technology.

Integrity: Integrity is a factor indicating the ability of electronic storage media to protect against and correct data corruption. The use of parity bits, error correcting codes, checksum algorithms, physical and digital access controls, and other measures help ensure that data is not corrupted. The media format used and how data is stored on it determines which of these measures can be applied. Compressed, de-duplicated, or encrypted data is more susceptible to corruption as non-functional software or an uncorrectable error can make a large amount of data unreadable.

Assessing Integrity: All storage media have listed specifications that indicate what types of integrity protection are possible, but one must also consider the source. New technologies frequently come with lofty manufacturer claims which should be considered critically until independently verified through outside testing or use.

Redundancy: Redundancy is a factor that indicates the data stored on electronic storage media is being replicated to ensure recovery of data in the event of a data loss incident. A minimum of one additional copy of any data representing electronic records must be maintained to protect against such a loss. At least one copy should be stored in a geographically separate location. Depending upon cost and performance needs, multiple types of storage may be used, such as a hard drive for the primary copy and magnetic tape for the backup copy.

Assessing Redundancy: Redundancy can be assessed by determining if you have one additional copy in a geographically separate location. IT policies should ensure that all electronically stored data will be restorable in the case of total loss of the primary storage environment.

The following is a list and descriptions of storage media formats currently recommended by the Illinois State Archives for use in storing electronic records.

Format	Short term	Long term	Do Not Use
HDD	X	X	
SSD (Internal)	X	X	
Magnetic Tape	X	X	
Cloud Storage	X	X	
Optical (All Types)	X		
USB Flash			X
Obsolete media			X

STORAGE MEDIA

Long-Term Retention

The following formats are considered acceptable choices for the retention of records greater than a decade.

Magnetic Tape:

A durable recording medium which uses a plastic film coated with magnetic material to record information, magnetic tape has been used to record computer data since the 1950s. Early formats of this medium consisted of open reel tapes, but modern varieties all use a cartridge of some sort.

The most widely used current version is LTO (Linear Tape-Open), which is based on open standards, as opposed to several proprietary competitors. LTO is currently in its 6th generation, with LTO-6 introduced in 2012. LTO-6 tapes have an uncompressed storage capacity of 2.5 Terabytes (TB). A number of different companies currently manufacture LTO tapes and drives, and LTO technology now accounts for close to 90% of the data tape market. LTO drives have some backwards compatibility, being able to read tape from two generations past and write to tape one generation past (an LTO-6 drive can read LTO-4, 5 and 6, and write to 5 or 6). Older versions of LTO tapes can remain viable for a few decades so long as users possess the appropriate drive, but it is best to migrate to newer versions every two generations to avoid potential loss of access.

Other current tape technologies are the Oracle Storagetek T1000X series and IBM TS1140 line. Both offer higher capacities and faster transfer speeds than LTO, but at a higher cost per GB. They are both proprietary formats, with drives and automated libraries available only from Oracle and IBM, respectively. Both companies are long-established and stable, but if either chooses to discontinue their tape technologies users will have no choice but to switch formats entirely. LTO thus remains the safer choice in terms of adoption and support.

Pros of magnetic tape:

Durability up to 30 years (best practice migration in 8-12 years)

High capacity, low cost compared to other storage technologies

Widely used, mature technology

High transfer rates, low error rates

Low energy consumption

Cons of magnetic tape:

Slow access time (average 50 seconds)

Wears out faster with frequent access

Hard Disk Drive (HDD):

Hard disk drives store data on a stack of rapidly spinning metal disks coated in magnetic material. HDDs have been used for primary storage in computers since the early 1960s, and are used in the vast majority of personal computers and servers today. They can be internally mounted or connected externally. For stability and monitoring it is recommended that only internal HDDs be used for long-term records storage, with external drives being used for file transport or backup duties only. Due to their extensive use HDDs are inexpensive, and are available from a wide variety of manufacturers. They can be prone to unexpected failures, however, so active monitoring, regular media refreshment and appropriate backups must be used to ensure the safety of the records stored within.

To help manage the inherent risks associated with HDD technology a RAID (Redundant Array of Independent Disks) setup should be used. RAID uses a battery of drives that are interlinked and automatically duplicate data across the drives, thus protecting content from loss. There are different levels of RAID which correspond to greater or lesser amounts of duplication, but for records preservation RAID 6 or 10 are recommended. Both involve high levels of fault tolerance, meaning one or more drives in the array could fail at once with no irretrievable loss of data.

Pros of HDD:

Rapid access to content

High capacity, low initial cost

Widely used, mature technology

Easily scalable through networking

Cons of HDD:

Short life span (average 4-6 years, best practice migration in 3-5 years)

High energy consumption

Expensive for large-scale applications or for long-term content

Higher error rate than tape

Solid State Drive (SSD):

A flash memory storage device first developed in the mid-1990s with no moving parts that typically uses the same shape, interface, and power source as standard hard drives. Data is stored in static electronic chips rather than on magnetized spinning platters. This results in much shorter time required for drive start-up, read, random access, latency and data transfer as well as reduced energy use, but at a cost up to ten times that of standard hard drives. As the price continues to drop in the coming ten to twenty years, solid state drives are expected to replace standard hard drives as the primary storage medium for laptops, desktops, servers, mobile devices, and external storage.

Pros of SSD:

Resilient to physical shock

Lower failure rate compared to standard hard drives

Fast access time (<0.1 ms)

Low energy consumption

Cons of SSD:

High cost compared to other storage technologies

Limited lifetime due to limited number of times a storage block can be written

Susceptible to data loss due to power outages or long-term unpowered storage

Maturing technology with most commercial availability beginning in 2007

Cloud Storage:

"Cloud storage" refers not to a particular type of media, but a method for managing data using networked storage providers. Cloud hosting companies provide technical infrastructure which often spans across many geographical areas, providing high levels of redundancy and remote access for customers. While not a new concept, commercial cloud storage has only seen widespread adoption by both private and public entities in the last decade. There are many cloud service providers but much of the commercial market is dominated by companies like Amazon, Microsoft and Google. Cloud storage services can range from bare-bones warehousing with minimal security and upkeep to highly customized management of data, with integrity checks, enhanced security and faster access speeds.

Cloud storage in general has shown itself to be very reliable regarding the preservation of data. Nonetheless, greater concerns arise surrounding the protection of that data from inappropriate access. Data breaches can and do happen, and network security must be a primary focus for any agency wishing to use cloud storage for their records. Only established providers with proven track records should be used, but they do not necessarily need to be one of the large corporate entities. Many smaller cloud providers actually use one of the large hosts, and simply add their own layers of services on top of the bare storage. Cloud storage providers may not automatically provide long-term preservation services such as fixity checks, audit logging or creation of additional metadata, so agencies must still plan on performing these tasks themselves or specifically contracting cloud providers to do so.

Pros of cloud storage:

Highest level of duplication and geographic redundancy

Easy access from multiple locations

Keeps up with technology trends without additional investment

Trades unpredictable maintenance costs for known subscription fee

Can be cheaper than investing in own technology

Cons of cloud storage:

Relatively higher risk of security breach

Laws may prevent the storage of certain types of sensitive data in the cloud

Some providers may not be reliable or may go out of business

Less control over data / loss of physical custody

SHORT-TERM RETENTION (10 years or less)

The following formats are inappropriate for the long-term storage of electronic records, but may be used for short-term storage of records.

Optical Media:

A thin, circular, plastic disc with a reflective layer upon which data is stored in the form of pits and lands. The reflective layer typically resides on the label side of the disc facing inward although double-sided and dual-layer discs are also available. It can be engraved (read-only), dye-based (write-once), or alloy-based (rewritable). A laser is used to read data from the spinning disc based on changes in the reflection caused by the pits and lands. Several forms of optical media are widely adopted and supported; descriptions of the most common forms are provided below. Optical media is subject to damage due to scratches or breakdown of the recording dye, although proper storage and handling, regular migration to new media, and use of a gold reflective layer can mitigate these risks. Many types of writable optical media also use volatile organic dyes to store information, and can degrade over time. As cloud and network-based storage become common, optical media usage is expected to decline.

CD: The Compact Disc was originally developed in the early 1980s, evolving from the older LaserDisc format, and it is still widely supported. A standard CD is 4.7 inches in diameter and can hold up to 80 minutes of audio or 700 MB of data, although smaller and non-round shapes also exist. The most popular CD formats include CD-ROM (read-only), CD-R (write once), and CD-RW (rewritable). Both the drives and recordable media are speed rated, indicated as a multiplier of 1x (1200 Kbps). The writing speed as set by the recording software should not exceed the rated speed of the recording media to prevent data corruption. The CD format includes strong error correction coding to prevent data loss due to scratches, fingerprints, or other environmental contaminants. CDs suffer from low capacity compared to other modern storage technologies.

DVD: The Digital Versatile Disc was developed in 1995. The DVD uses the same dimensions as a CD but offers a standard capacity of 4.7 GB or 8.5 GB for dual layer formats. Most DVD players can also read CDs. The most popular DVD formats include DVD-ROM (read-only), DVD-R and DVD+R (write once), and DVD-RW and DVD+RW (rewritable). The plus and minus formats require different recording media and drives to write. Most DVD players can read all DVD and CD formats while some can also write in all formats. Similar to CDs, both the DVD drives and recordable media are speed rated, indicated as a multiplier of 1x (10.5 Mbps). The writing speed as set by the recording software should not exceed the rated speed of the recording media to prevent data corruption. The DVD format also includes strong error correction coding to prevent data loss due to scratches, fingerprints, or other environmental contaminants. DVDs should not be used for long-term data storage, because their reliability over time has not yet been adequately demonstrated.

Blu-ray: The Blu-ray Disc was developed in 2006. Blu-ray uses the same dimensions as a CD and DVD but offers a standard capacity of 25 GB or 50 GB for dual layer formats. Most Blu-ray players can also read CDs and DVDs. The most popular Blu-ray formats include BD-ROM (read-only), BD-R (write once), and BD-RE (rewritable). Similar to DVDs, both the Blu-ray drives and recordable media are speed rated, indicated as a multiplier of 1x (36 Mbps). The writing speed as set by the recording software should not exceed the rated speed of the recording media to prevent data corruption. The Blu-ray format also includes strong error correction coding to prevent data loss due to scratches, fingerprints, or other environmental contaminants. Like DVD, Blu-ray discs have not been adequately evaluated for long-term stability.

M-Disc (Millenial Disc): A relatively new player on the optical front, M-Disc technology has only been available since 2009, and has yet to see wide-spread adoption. M-Discs use a proprietary “stone-like” material in the storage layer, sandwiched between plastic discs. Currently both DVD and Blu-ray variants are available, with capacities similar to standard varieties of those discs. Special M-Disc drives are required to write data to the discs, but standard DVD or Blu-ray drives are able to read data from them. Millenniata, the company behind the format, claims such discs have a projected lifespan of 1000 years. Independent stress tests have shown that M-discs are indeed more resistant to environmental degradation than traditional varieties, but the life span statement cannot be corroborated. Even if such claims are accurate, optical drives are already losing ground to newer storage technologies, and will likely be rendered completely obsolete within decades. It is possible that M-Disc technology will be much more widely adopted in the future, but at this juncture it is too limited to consider as a long-term storage option.

Pros of optical media:

- Convenient and portable
- Widely supported formats available
- Low energy consumption in storage

Cons of optical media:

- Not well-suited for frequent writing or for fast read access from multiple discs
- Limited capacity per disc compared to other modern storage
- Widely varying lifetime depending on use and care
- Aging technology being slowly replaced by flash media and cloud storage

DO NOT USE

The following formats should not be used for the short-term or long-term storage of electronic records. If records are currently stored on such media they should be migrated onto appropriate media to avoid their permanent loss.

USB Flash Drive:

A rewritable portable data storage device developed in 2000 with no moving parts that connects to a computer using the Universal Serial Bus interface. Data is stored electrically in chips using power from the USB interface itself. USB flash drives offer many of the same performance benefits and limitations as Solid State Drives but typically have a smaller capacity. USB flash drives come in a variety of shapes and sizes from standard three inch “stick” to novelty shapes and even some barely larger than the USB plug. USB flash drives quickly displaced floppy disks as the preferred means to quickly write and transport data but may themselves be displaced as cloud and network-based storage become common. These portable devices are useful for short-term information sharing, but are far too easily lost or compromised to serve as reliable storage for electronic records.

Pros of flash drives:

Convenient

Durable

Widely supported

Fast transfer rate (up to 5 Gbps with USB 3.0)

Low energy consumption

Cons of flash drives:

Easily misplaced or stolen

Limited write protection

Limited lifetime due to limited number of times a storage block can be written

Older Magnetic Tape Formats:

Due to lack of support for obsolete technology, agencies should avoid any tape formats which have been discontinued. Caution should also be exercised when using older variants of current tape technology such as LTO-1 or LTO-2, as backward compatibility of LTO technology only goes back two generations. Any records currently stored on older formats such as these should be migrated forward to more current versions to ensure continued accessibility.

Any Size Floppy, ZIP, JAZ Disk:

A wide array of magnetic diskette technologies have now been almost completely abandoned in favor of more current storage options. Even if still technically usable, such disks should not be used for storage of electronic records.

ADDITIONAL RESOURCES

Best practices for a digital storage infrastructure for the long-term preservation of digital files (Digitizing Contemporary Art) http://www.dca-project.eu/images/uploads/banners/DCA_D62_Best_practices_for_a_digital_storage_infrastructure_20130506_Version1.pdf

Best Practices for Media Selection and Migration (University of Illinois) http://www.library.illinois.edu/dcc/bestpractices/chapter_18_mediaselectionmigration.html

Selecting Storage Media for Long-Term Preservation (UK National Archives) https://www.nationalarchives.gov.uk/documents/selecting-storage-media.pdf

FAQ about Optical Storage Media (National Archives) http://www.archives.gov/records-mgmt/initiatives/temp-opmedia-faq.html

(Source: Added at 39 Ill. Reg. 3031, effective February 11, 2015)

Inventory Work Sheet AR D 62.1

Application No. _____

Secretary of State
Archives Division

Inventory Work Sheet

Date_____ Item Number_____

Record Series	Agency
	Division
Dates	Subdivision
Volume Annual Accumulation	Office Location
Number and Size of Files or Documents	Representative (Name, Title and Phone)
Arrangement	Index or Finding Aid

Description (reason for creation, use, form numbers, duplication, audit)

Recommendation:

Printed by authority of the State of Illinois. December 2007 – 10M – AR D 62.1

Application for Authority to Dispose of State Records (reference only)

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS

Application No. 14-18
Page 1 of 2

STATE OF ILLINOIS
STATE RECORDS COMMISSION

STATE RECORDS UNIT
ILLINOIS STATE ARCHIVES
SPRINGFIELD, IL 62756
(217)782-2647

AGENCY

Illinois Department of Revenue

DIVISION

Director's Office

SUBDIVISION

ACTION TAKEN BY
THE
STATE RECORDS
COMMISSION

CHAIRMAN

SECRETARY

6/18/14
DATE

Pursuant to the provisions of the *State Records Act* (5 ILCS 160/1 et seq.), I hereby request authority to dispose of state government records according to the schedule which follows. I certify that those records to be disposed of will not be needed in the transaction of current business nor will they be of sufficient administrative, legal, or fiscal value to warrant further retention by this agency. I also certify that any microfilm or digitized copies will be made in accordance with the standards of the State Records Commission and will be adequate substitutes for the original records.

SIGNATURE OF AGENCY HEAD

5-20-14
DATE

RECORDS LISTED ON THIS APPLICATION MAY BE DISPOSED OF PROVIDING:

- the individual retention period is complete;
- all audits have been completed under the supervision of the Auditor General and no litigation is pending or anticipated;
- the items are correctly listed on a Records Disposal Certificate submitted to and approved by the State Records Commission 30 days prior to disposal.

Certain records, as stipulated on this application, may be microfilmed or digitized and the original hardcopy record disposed of if the record is microfilmed or digitized in accordance with the standards of the State Records Commission Rules and if the film or digitized copy is retained for the prescribed retention period. **Disposal of records after microfilming or digitizing must be noted on a Records Disposal Certificate.**

THIS APPLICATION AND ANY RELATED RECORDS DISPOSAL CERTIFICATES ARE TO BE RETAINED PERMANENTLY.

Application for Authority to Dispose of State Records-Continuation Sheet

APPLICATION FOR AUTHORITY TO DISPOSE OF STATE RECORDS (continued)

Application No. 14-18
Page 2 of 2

Item No.	Record Series Title, Description and Recommendation	Action Taken
1.	**ADA Completed Accommodation Request Files** Dates: 2002- Volume: 3 Cubic Feet Annual Accumulation: Negligible Arrangement: Chronological These records are comprised of the formal disability accommodation requests submitted by Revenue employees pursuant to the provisions of the Americans with Disabilities Act (ADA). The completed files may include the accommodation application, meeting notes, physician statements, summaries, and documentation of accommodation determinations, agreements and request denials. Recommendation: Retain in office for ten (10) years after separation from employment, then destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	**Disposition approved as amended 6/18/14**

State of Illinois Records Disposal Certificate AR D 66.7

STATE OF ILLINOIS RECORDS DISPOSAL CERTIFICATE

Send To: State Records Commission
Margaret Cross Norton Building
Springfield, Illinois 62756
FAX: (217) 557-1928

For Assistance Call: (217)782-2647

Directions:
1. Fill in all blanks and columns and sign.
2. Send original certificate and a copy to above address 30 days prior to the disposal date.
3. Retain records and one copy of Disposal Certificate until the disposal date and approved copy is returned. **Retain approved copy permanently.**

APPLICATION #: 11-40

STATE AGENCY: State Retirement Systems

Administrative Services Division
(Division, Bureau, Section)

ADDRESS: 2101 S Veterans Pkwy
(Street, P.O. Box)

Springfield, IL 62694-9255
(City, Zip Code)

CONTACT TELEPHONE: Susan Tucker 217-785-7417

CONTACT EMAIL: Susan.Tucker@srs.illinois.gov

ITEM NO. FROM APPLICATION	RECORD SERIES TITLE	INCLUSIVE DATES	VOLUME OF RECORDS (Cu. Ft. or MB/GB)	METHOD OF DISPOSAL
1	Employee's Membership Files that have been imaged	2013 thru	25	Shred
	Boxes 446 thru 470 (S/D) day forward	06/17/2014		

If any of the above permanent records are microfilmed, I hereby certify that they have been reproduced in compliance with standards given in Section 4400.50 of the Regulations of the State Records Commission.

If the above permanent records are digitized, I certify that they have been reproduced in compliance with standards given in Section 4400.70 and will be maintained in compliance with standards given in Section 4400.80 of the Regulations of the State Records Commission.

Susan Tucker

(Signature required only if records are scheduled for permanent retention and have been microfilmed or digitized)

I hereby certify that, in compliance with authorization received from the State Records Commission, the records listed above will be disposed of on or after

Date

Susan Tucker — 6/24/14
Signature — Date

Susan Tucker — Executive II
Print name and title on line above

Approved:

Chairman, State Records Commission
Director, Illinois State Archives — Date

Printed on recycled paper. Printed by authority of the State of Illinois. February 2015 — 1 — ARD 66.7

Archives Records Transfer Sheet AR D 50.1

Page 1 of 1

Archives Records Transfer Sheet

All records to be transferred to the legal custody of the Illinois State Archives for permanent retention must be accompanied by this form completed in triplicate.

Records of: **Agency:** SECRETARY OF STATE
Division: INDEX DEPARTMENT
Section: PUBLIC RECORDS **Date of Transfer:** 5-28-14

Contact: **Name:** ARLENE GEDES **Phone:** 217-782-0639
Division: INDEX DEPARTMENT
Section: PUBLIC RECORDS
Address: 111 E MONROE (Address) SPRINGFIELD (City) 62756 (ZIP)

State Records Commission Application and Item Number	Box or Vol. No.	Dates of Records	Titles and Contents of Records
05-03	BOX 1	2012	2012 HOUSE & SENATE BILLS, ETC. 2012 HOUSE JOINT RESOLUTIONS 2012 SENATE JOINT RESOLUTIONS 2012 LAWS OF ILLINOIS PUBLIC ACT 97-680 THRU PUBLIC ACT 97-724
	BOX 2	"	2012 LAWS OF ILLINOIS PUBLIC ACT 97-725 THRU PUBLIC ACCT 97-763

For Archives use:
Accession no.: 2014-025 Group: 103 Series: 030
Accessioned by: JL Date 5-29-2014

Receipt is hereby acknowledged of the above records which have been transferred to the Illinois State Archives in accordance with the State Records Act of 1957, as revised, Section 7, authorizing such transfer, and the rules and regulations of the Illinois State Archives. These records shall be under the custody of the Archives Division and are not subject to withdrawal except upon Court order. Any records so transferred may, if experience proves necessary, be reclassified as semi-current records and returned to the jurisdiction of your department, provided that no records covering a date prior to 1880 may be so reclassified and the written assent of the State Archives shall be given to such reclassification.

David A. Joens
David A. Joens
Director, Illinois State Archives

Printed by authority of the State of Illinois. May 2011 — 1 — AR D 50.1

Records Center Transfer Sheet RM M 1.8

State of Illinois
Office of the Secretary of State
Archives Division
Records Management Section

RECORDS TRANSFER SHEET

Page 1 of 8

State Records Center
3765 Winchester Road
Springfield, Illinois 62707
Telephone 217-782-6809
Fax 217-524-3783

Instructions

1. Agency completes boxes **7 through 17** and page no. **only**.
2. Transfer to State Records Center only records covered by the appropriate ***Application for Authority to Dispose of State Records***, approved by the State Records Commission, prior to transfer.
3. "Title of Records" on ***Records Transfer Sheet*** and on ***Application for Authority to Dispose of State Records*** must be identical.
4. A separate ***Records Transfer Sheet*** must be submitted for each "Item Number" found on the ***Application for Authority to Dispose of State Records***.
5. Sign and submit the ***Records Transfer Sheet*** with the boxed records to the State Records Center. A signed copy will be returned after Records Center identification numbers are entered.

GRAY SECTIONS FOR RECORDS CENTER USE ONLY		
1. Date Received 6/19/14 Mo. / Day / Yr.	2. No. Boxes Received 273	3. Received by Ryan S Prehn Digitally signed by Ryan S Prehn DN: cn=Ryan S Prehn, o=Secretary of State-Archives, ou=State Records Center, email=rprehn@ilsos.net, c=US Date: 2014.06.19 13:21:39 -05'00'
4. Disposal Date 1-2029	5. Retention Period 20 Yrs	6. Lot No. L#23414

7. Agency PROPERTY TAX APPEAL BOARD	8. Division Des Plaines	9. Date 6/1/2014
10. Department Information Services	11. Individual to contact Pamela Monical	12. Phone 217-785-2549
13. Email Pamela.Monical@Illinois.gov	14. Schedule No. 02-04	15. Item No. 1

16. Agency Box No.	17. Title and Date of Records	8. Sequential No.	19. Records Center Box No.
	2008 CLOSED COOK COUNTY FILES		
112/1	05-26416 thru 06-26514	148392	R31-37-4392
112/2	06-26866 thru 06-29763	148393	R31-37-4393
112/3	06-29878 thru 06-32000	148394	R31-37-4394
112/4	07-20013 thru 07-20688	148395	R31-37-4395
112/5	07-20695 thru 07-20990	148396	R31-37-4396
112/6	07-21008 thru 07-21468	148397	R31-37-4397
112/7	07-21485 thru 07-22134-22138	148398	R31-37-4398
112/8	07-22140 thru 07-22822	148399	R31-37-4399
112/9	07-22906 thru 07-23241	148400	R31-37-4400
112/10	07-23249 thru 07-23849	148401	R31-37-4401
112/11	07-23852 thru 07-24268	148402	R31-37-4402
112/12	07-24307 thru 07-24715-24717	148403	R31-37-4403
112/13	07-24734 thru 07-24856	148404	R31-37-4404
112/14	07-24875-24876 thru 07-25058	148405	RT31-37-4405
112/15	07-25071 thru 07-25451	148406	RT31-37-4406
112/16	07-25499 thru 07-25759	148407	RT31-37-4407
112/17	07-25761 thru 07-25972	148408	RT31-37-4408
112/18	07-25977 thru 07-26094	148409	RT31-37-4409
112/19	07-26151 thru 07-26458	148410	RT31-37-4410
112/20	07-26462 thru 07-26936	148411	RT31-37-4411

I hereby transfer the records listed on this form to the State Records Center. I understand and agree that 15 days prior to the disposal date this agency will receive a Notice to Dispose of Records. If our agency does not make arrangements to reclaim these records within 30 days following the disposal date, the records will be disposed of by the Records Center staff.

Signature _____ Title _____

Printed by authority of the State of Illinois. February 2014 — 1 — RM M 1.7

Records Transfer Sheet Supplemental Page RM M 2

Page 2 of 8

RECORDS TRANSFER SHEET SUPPLEMENTAL PAGE

1. Schedule No.	2. Item No.	GRAY SECTIONS FOR RECORDS CENTER USE ONLY
02-04	1	

3. Agency Box No.	4. Title and Date of Records	5. Sequential No.	6. Records Center Box No.
112/21	07-27009 thru 07-27392-27393	148412	RT31-37-4412
112/22	07-27395 thru 07-27626-27627	148413	RT31-37-4413
112/23	07-27636 thru 07-27899	148414	RT31-37-4414
112/24	07-27916 thru 07-28266	148415	RT31-37-4415
112/25	07-28289 thru 07-28493	148416	RT31-37-4416
112/26	07-28502-28503 thru 07-28846	148417	RT31-37-4417
112/27	07-28883 thru 07-29007	148418	RT31-37-4418
112/28	07-29011-29012 thru 07-29164	148419	RT31-37-4419
112/29	07-29189 thru 07-29474	148420	RT31-37-4420
112/30	07-29495 thru 07-29761	148421	RT31-37-4421
112/31	07-29763 thru 07-30271-30272	148422	RT31-37-4422
112/32	07-30285 thru 07-30510	148423	RT31-37-4423
112/33	07-30515 thru 07-30944	148424	RT31-37-4424
112/34	07-30946-30948 thru 07-30950-30951	148425	RT31-37-4425
112/35	08-20001-20006 thru 08-20043-20045	148426	RT31-37-4426
112/36	08-20048-20050 thru 08-20080-20083	148427	RT31-37-4427
112/37	08-20085 thru 08-20105-20115	148428	RT31-37-4428
112/38	08-20117 thru 08-20157	148429	RT31-37-4429
112/39	08-20159-20162 thru 08-20200	148430	RT31-37-4430
112/40	08-20203-20204 thru 08-20248-20250	148431	RT31-37-4431
112/41	08-20254 thru 08-20286-20294	148432	RT31-37-4432
112/42	08-20297-20305 thru 08-20320-20323	148433	RT31-37-4433
112/43	08-20324 thru 08-20350-20352	148434	RT31-37-4434
112/44	08-20354-20357 thru 08-20386-20390	148435	RT31-37-4435
112/45	08-20391 thru 08-20437-20438	148436	RT31-37-4436
112/46	08-20439-20442 thru 08-20475-20478	148437	RT31-37-4437
112/47	08-20479 thru 08-20508-20514	148438	RT31-37-4438
112/48	08-20516 thru 08-20550-20558	148439	RT31-37-4439
112/49	08-20560-20561 thru 08-20605-20608	148440	RT31-37-4440
112/50	08-20610-20612 thru 08-20657	148441	R31-38-4441
112/51	08-20658 thru 08-20710-20713	148442	R31-38-4442
112/52	08-20714-20720 thru 08-20766	148443	R31-38-4443
112/53	08-20769 thru 08-20820-20826	148444	R31-38-4444
112/54	08-20828-20832 thru 08-20860-20873	148445	R31-38-4445
112/55	08-20874-20876 thru 08-20906-20908	148446	R31-38-4446
112/56	08-20909-20912 thru 08-20945-20948	148447	R31-38-4447
112/57	08-20956-20957 thru 08-20998-21000	148448	R31-38-4448
112/58	08-21001-21010 thru 08-21045-21050	148449	R31-38-4449

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Appendix 9

Records Center Box Label AR D 63

Secretary of State
Archives Division
State Records Center

Records Center Box Label

Agency	Division	Agency Box No.	Records Schedule No.	Total Boxes This Transfer
DCFS		6319-17	87-31, Item 1	32
Title and Date of Records	**Series This Box**		**Disposal Date**	
LABOR RELATIONS DISCIPLINES 2011	SCHAEFGES JAMES through SHATTUCK KAREN		Mo. Yr.	

(Agency will fill in the above and affix label to end of box. Do not write below.)

Date Accessioned

Records Center Box Number

Printed by authority of the State of Illinois. January 2014 – 20M – AR D 63

State Records Security Microfilm Transfer Sheet AR D 61.5

For Archives Use:
Accession No. _____

STATE RECORDS
SECURITY MICROFILM TRANSFER SHEET

Sheet 1 of 1

All microfilm transferred to the State Archives must be accompanied by this form completed in triplicate.

1. Records of:
   Agency SECRETARY OF STATE - INDEX DEPARTMENT
   Department INDEX DEPARTMENT
   Division/Section PUBLIC RECORDS - 111 EAST MONROE, SPRINGFIELD, IL 62756
   (Street / City / ZIP Code)
   Send Receipt to ARLENE GERDES 782-0639
   (Name / Telephone Number)
   Mailing Address 111 EAST MONROE SPRINGFIELD 62756
   (Street / City / ZIP Code)

2. Total Rolls Submitted This Date: 6

For Archives Use:

3. I hereby certify that this microfilm transferred for security storage to the Illinois State Archives, which is in accordance with the following State Records Commission application, meets film quality requirements established by the State Records Commission under the State Records Act.

Arlene Gerdes (Signature of Official) 6-16-14 (Date)

89-3M (State Records Commission Application Number)

ARLENE GERDES - MANAGERIAL ASST IV (Name and Title of Official (type or print))

4. Application Item #	Roll ID No. (number each roll)	Title of Records	Start of Roll (date, page #, etc.)	End of Roll (date, page #, etc.)	Neg./Pos.
1	216-293	2010 House Transcripts 96th General Assembly	Jan 13, 2010	March 18, 2010	N
	216-294	"	March 19, 2010	April 30, 2010	N
	216-295	"	May 3, 2010	Jan 6, 2011	N
	216-296	" 2nd half starts Senate	Jan 7, 2011	April 15, 2010	N
	216-297	2010 Senate	April 20, 2011	Jan 5, 2011	N
	216-298	"	Jan 6, 2011	Jan 11, 2011	N

5. The above-named rolls of microfilm have on this _____ day of _____ 20 ____ been received by the Illinois State Archives for security storage. These microfilm records remain the property of the above-named agency. Viewing, removal and/or copying of these records may be done only upon written authority of said office.

_____ by _____
David Joens, Director
Illinois State Archives

Printed by authority of the State of Illinois. May 2011 – 1 – AR D-61.5