MANAGING LOCAL RECORDS – INVENTORY AND DISPOSAL

Presented by:

Steve Colaizzi and Marikay Hegarty
Field Representatives - Illinois Secretary of State
Local Records Section

Records Management – The Process

- Organize / Document the records.
- Complete a Disposal Certificate for eligible records.
- Receive approval from SOS to dispose of records
- Shred day!!

BEFORE

AFTER

What is the Local Records Act and the Local Records Commission?

The Local Records Act

The Local Records Act was passed in 1961 to provide a method for local government agencies to legally dispose of their records and to ensure that local historical documents were preserved.

Local Records Commission

The Local Records Act establishes that the Local Records Commission will determine how long records are to be retained and it is the Commission that approves Applications/ Inventories. <u>Agencies can not make up their own retention schedules.</u>

What does the SOS Records Management Office do?

- As the State Archivist, the Illinois Secretary of State is mandated to provide support to the Local Records Commission and Local Government Agencies.
- The Local Records Unit staff members serve as liaisons between your agency and the Local Records Commissions and we are here to assist you with your records management issues.
- We help agencies with establishing or updating Applications for Authority to Dispose of Local Records and submitting Disposal Certificates.

What is a Public Record?

- any book, paper, map, photograph, born-digital electronic material, digitized electronic material, electronic material with a combination of digitized and born-digital material, or other official documentary material,
- regardless of physical form or characteristics,
- made, produced, executed or received by any agency or officer pursuant to law or in connection with the transaction of public business
- and preserved or appropriate for preservation by such agency or officer, or any successor thereof,
- as evidence of the organization, function, policies, decisions, procedures, or other activities thereof, or because of the informational data contained therein.

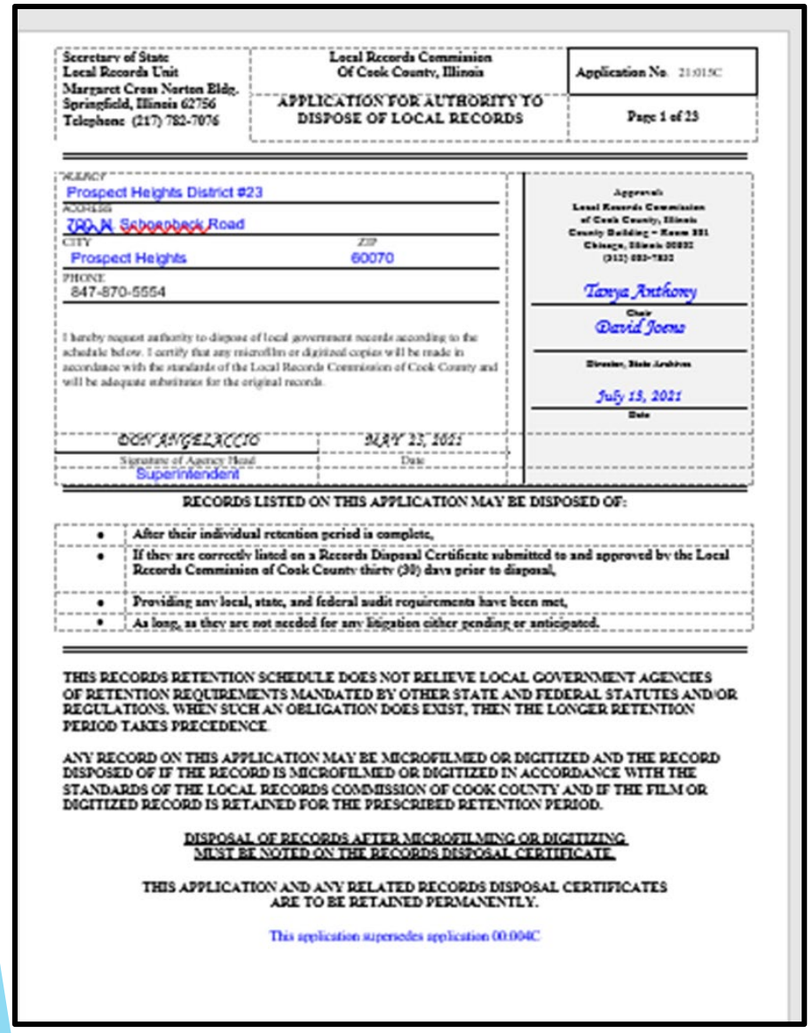
(Source: P.A. 99-147, eff. 1-1-16.)

What is NOT a Public Record?

- Extra copies of documents preserved only for convenience or reference (ex. copies of meeting minutes, drafts)
- Stacks of publications and of processed documents are not included within the definition of a public record. (leftover course catalogs, blank forms)
- Junk emails, party announcements, business cards, and sales brochures are all non-records.
- Library and archives materials made for displays and patron registrations on paper

(Source: P.A. 89-272, eff. 8-10-95.)

Application for Authority to Dispose of Local Records



Secretary of State
Local Records Unit
Margaret Cross Norton Bldg.
Springfield, Illinois 62756
Telephone: (217) 782-7076

Local Records Commission
Of Cook County, Illinois

APPLICATION FOR AUTHORITY TO DISPOSE OF LOCAL RECORDS

Application No. 21-015C

Page 1 of 23

AGENCY: Prospect Heights District #23
ADDRESS: 700 N. Schoenbeck Road
CITY: Prospect Heights
ZIP: 60070
PHONE: 847-870-5554

I hereby request authority to dispose of local government records according to the schedule below. I certify that any microfilm or digitized copies will be made in accordance with the standards of the Local Records Commission of Cook County and will be adequate substitutes for the original records.

DON ANGELACCIO
Signature of Agency Head
Superintendent

MAY 22, 2021
Date

Approved:
Local Records Commission
of Cook County, Illinois
County Building – Room 321
Chicago, Illinois 60602
(312) 603-7832

Tanya Anthony
Chair

David Joens
Director, State Archives

July 15, 2021
Date

RECORDS LISTED ON THIS APPLICATION MAY BE DISPOSED OF:

- After their individual retention period is complete,
- If they are correctly listed on a Records Disposal Certificate submitted to and approved by the Local Records Commission of Cook County thirty (30) days prior to disposal,
- Providing any local, state, and federal audit requirements have been met,
- As long, as they are not needed for any litigation either pending or anticipated.

THIS RECORDS RETENTION SCHEDULE DOES NOT RELIEVE LOCAL GOVERNMENT AGENCIES OF RETENTION REQUIREMENTS MANDATED BY OTHER STATE AND FEDERAL STATUTES AND/OR REGULATIONS. WHEN SUCH AN OBLIGATION DOES EXIST, THEN THE LONGER RETENTION PERIOD TAKES PRECEDENCE.

ANY RECORD ON THIS APPLICATION MAY BE MICROFILMED OR DIGITIZED AND THE RECORD DISPOSED OF IF THE RECORD IS MICROFILMED OR DIGITIZED IN ACCORDANCE WITH THE STANDARDS OF THE LOCAL RECORDS COMMISSION OF COOK COUNTY AND IF THE FILM OR DIGITIZED RECORD IS RETAINED FOR THE PRESCRIBED RETENTION PERIOD.

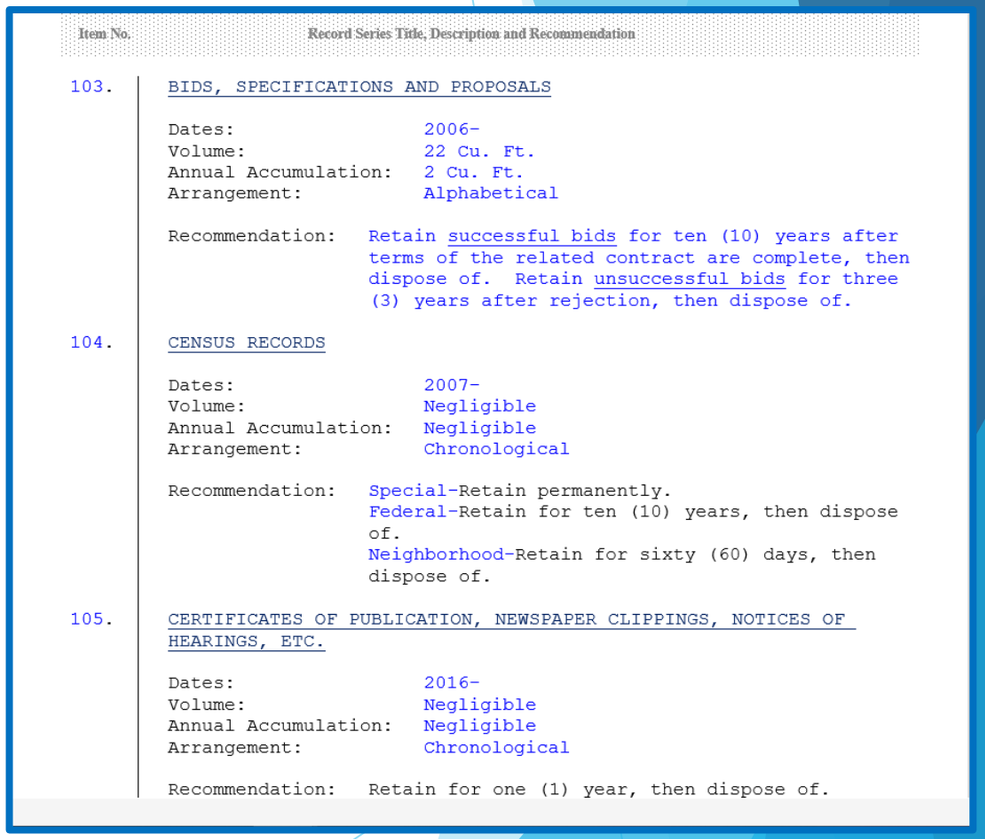
DISPOSAL OF RECORDS AFTER MICROFILMING OR DIGITIZING MUST BE NOTED ON THE RECORDS DISPOSAL CERTIFICATE.

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

This application supersedes application 00-004C

Once drafted by Archives staff, the *Application* is submitted to the Local Records Commission for Approval and is mailed to the agency.

The Application and all associated disposal certificates have a **permanent retention and are subject to FOIA**



Item No.	Record Series Title, Description and Recommendation
103.	BIDS, SPECIFICATIONS AND PROPOSALS Dates: 2006- Volume: 22 Cu. Ft. Annual Accumulation: 2 Cu. Ft. Arrangement: Alphabetical Recommendation: Retain successful bids for ten (10) years after terms of the related contract are complete, then dispose of. Retain unsuccessful bids for three (3) years after rejection, then dispose of.
104.	CENSUS RECORDS Dates: 2007- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological Recommendation: Special-Retain permanently. Federal-Retain for ten (10) years, then dispose of. Neighborhood-Retain for sixty (60) days, then dispose of.
105.	CERTIFICATES OF PUBLICATION, NEWSPAPER CLIPPINGS, NOTICES OF HEARINGS, ETC. Dates: 2016- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological Recommendation: Retain for one (1) year, then dispose of.

How to Document Your Records

- Application for Authority to Dispose of Local Records – this document lists all public records held by your agency. For each record, we record the following information:
  - **Record Series Title:** Many of these are generic in nature but they can also be customized for the agency.
    - Description – option to list the documents that make up the series
  - **Date:** Earliest Date for which the record exists within the organization (up through any previous disposals of the record)
  - **Total Volume**: Volume currently on hand either in Cubic Feet for paper or MB, GB, TB for electronic records
  - **Annual Accumulation**: Volume accumulated each year either in Cubic Feet for paper or MB, GB, TB for electronic records.
  - **Arrangement**: How are the records filed/organized within the organization –Chronological, Alphabetical or Numerical.
  - **Recommendation**: Minimum length of time the agency MUST retain the record (this information is provided by SOS staff)

How we gather information about your records

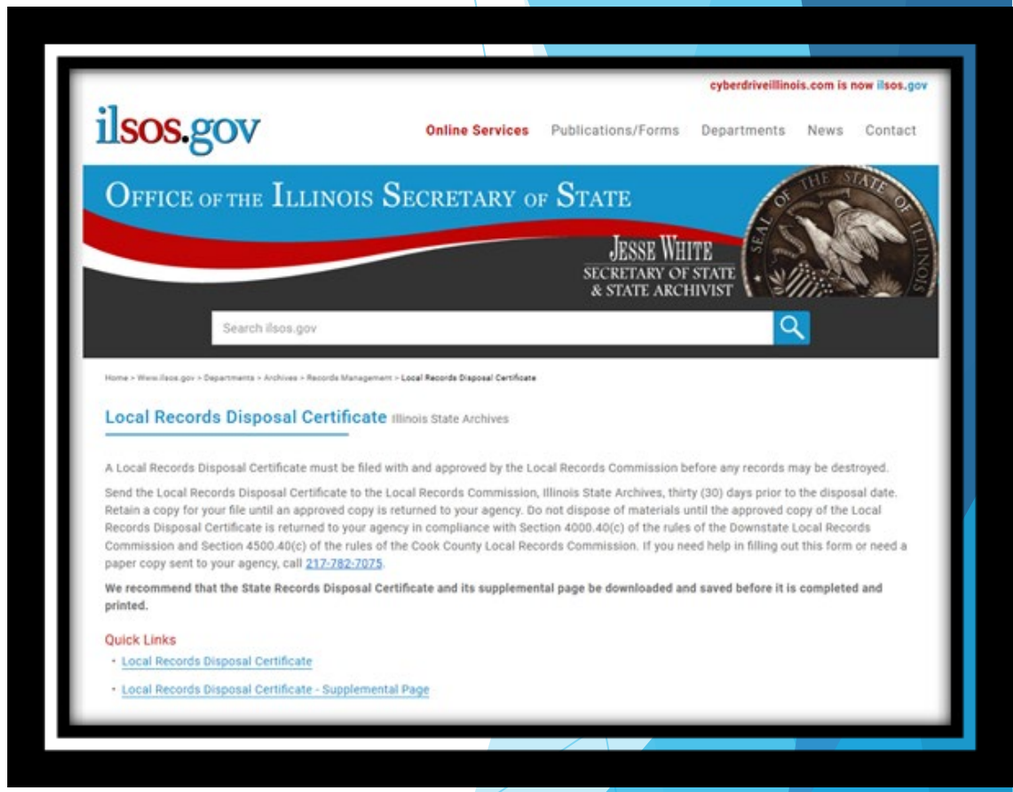
	Record Series Title	Date	Volume	Accum.	Arrangemen	Notes
ADMINISTRATIVE RECORDS						
	APPLICATIONS FOR AUTHORITY TO DISPOSE OF LOCAL RECORDS AND LOCAL RECORD DISPOSAL CERTIFICATES	2022-	neg	neg	CHR	
	ADMINISTRATIVE FILES AND MISCELLANEOUS CORRESPONDENCE, INCLUDING EMAIL CLASSIFIED AS GENERAL CORRESPONDENCE AND NOT RELATED TO ANOTHER RECORDS SERIES, REFERENCE MATERIALS, PUBLICATIONS, ETC.)					
	CENSUS RECORDS					
	CERTIFICATES OF PUBLICATION AND NOTICES OF HEARINGS					
	CERTIFICATES OF STATUS OF TAX EXEMPTION					
	CONTRACTS, LEASES, AND AGREEMENTS FOR GOODS AND SERVICES					
	ELECTION RECORDS					
	FREEDOM OF INFORMATION ACT REQUESTS AND DENIALS	2010	5 CF/ 10 MB	Neg/5 MB	CHR	
	INSURANCE POLICIES, CLAIMS, AND CERTIFICATES					
	INTERGOVERNMENTAL AGREEMENTS					
	INVENTORY RECORDS					
	LIQUOR LICENSE RECORDS					
	MINUTES, AGENDAS, AND MEETING PACKETS					
	MISCELLANEOUS LICENSES AND APPLICATIONS					
	ORDINANCES AND RESOLUTIONS					
	ORDINANCE VIOLATIONS					
	PROPERTY LIEN FILES					
FISCAL RECORDS						
	ANNUAL FINANCIAL STATEMENTS FOR PUBLICATION					
	AUDIT REPORTS					
	BUDGET, BUDGET WORKSHEETS, TAX LEVIES, AND APPROPRIATION RECORDS					
	CANCELLED CHECKS, BANK STATEMENTS, DEPOSIT SLIPS; INVOICES, PAID BILLS, CREDIT CARD STATEMENTS, VOUCHERS					

How Does an Agency Request Record Disposal?

- An agency is allowed to request disposal of eligible records via the Records Disposal Certificate.

[State and Local Government Records Management Programs (ilsos.gov)]

- Email the completed disposal certificate to: recordsmgt@ilsos.gov



Sample Disposal Certificate

Indicate which items have been scanned by placing an * next to the Application Item Number and the word (scanned) in parentheses after the Record Series Title (if applicable).

You may combine scanned items with standard disposal items, but you may also want to draft two separate disposals – one for scanned records and one for full item disposal.

Sample Records Disposal Certificate (DC):

RECORDS DISPOSAL CERTIFICATE

TO: Local Records Commission
Margaret Cross Norton Building
Springfield, IL 62756
217-782-7075

Directions:
1. Fill in all blanks and columns.
2. Application item numbers must be listed in numerical order.
3. Record series titles must be listed as they appear on application.
4. Sign and send certificate to above address.
5. Retain records until approved copy is returned.
6. This form can be found online at ilsos.gov.

APPLICATION #: 20:001
COUNTY: Jersey
FROM: County Clerk/Recorder (Agency Division)
ADDRESS: P.O. Box 219 (Street, P.O. Box)
Jerseyville 62052 (City, ZIP)
CONTACT TELEPHONE: (000) 000-0000
CONTACT EMAIL: XZY@systems.gov

APPLICATION ITEM NO.	RECORD SERIES TITLE	INCLUSIVE DATES (MONTH/YEAR)	VOLUME OF RECORDS (Cu. Ft. or MB/GB)
101	Administrative Files & Miscellaneous Correspondence, including email classified as general correspondence and not related to another record series, reference materials, publications, and etc.	2019	Neg. 24 MB
103	Applications for Employment		
	Unsolicited	2019	1 CF
	Solicited	2018	Neg.
104	Audio Recordings of Meeting	1/2022 6/2022	Neg.
105*	Bids, Specifications and Proposals		
	Unsuccessful Bids	2020	2 CF
	Successful Bids	2010	1 CF
	*Successful Bids (scanned)	1/2011 - 12/2022	3 CF
			Total Volume from all pages Cu. Ft. 7 MB/GB 24 MB

If any of the above records are microfilmed, I hereby certify that they have been reproduced in compliance with standards given in Sections 4000.50 and 4500.50 of the Regulations of the Local Records Commissions.
If the records are digitized, I certify that they have been reproduced in compliance with standards given in Sections 4000.70 / 4500.70 and will be maintained in compliance with standards given in Sections 4000.80 / 4500.80 of the Regulations of the Local Records Commissions.

Jane Doe
(Signature required only if records have been microfilmed or digitized.)

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

This date is set by SOS before returning DC
Disposal date set by the ILSOS

Jane Doe
Signature of the Agency Official

Approved by ILSOS
May 10, 2022
Submission Date

Jane Doe, Clerk Recorder
Print Agency Official name and title on line above

Prepared by: Winston Salem, Deputy Clerk

Sign here if you scanned records

Printed by authority of the State of Illinois. November 2021 — 1 — LR 4.15

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What is a Rolling Disposal Certificate?

Is used for digital records stored less than one year in automatic over-write data storage systems. Illinois Administrative Code Title 44, Part 4000.40 d)/4500.40 d).

Example – surveillance video system that stores video and then overwrites with new images after a set period of time – ie 30 day, 90 days etc.

This type of disposal is prepared for a year in advance of the disposal cycles.

Sample Rolling Disposal Certificate

Sample Rolling Disposal:

RECORDS DISPOSAL CERTIFICATE

TO: Local Records Commission
Margaret Cross Norton Building
Springfield, IL 62756
217-782-7075

Directions:
1. Fill in all blanks and columns.
2. Application item numbers must be listed in numerical order.
3. Record series titles must be listed as they appear on application.
4. Sign and send certificate to above address.
5. Retain records until approved copy is returned.
6. This form can be found online at ilsos.gov.

APPLICATION #: 01:234
COUNTY: Will
FROM: SD 123 (Agency Division)
ADDRESS: 1234 1st Street (Street, P.O. Box)
Zenith 00123 (City, ZIP)
CONTACT TELEPHONE: (000) 000-0000
CONTACT EMAIL: XYZ@systems.gov

APPLICATION ITEM NO.	RECORD SERIES TITLE	INCLUSIVE DATES (MONTH/YEAR)	VOLUME OF RECORDS (Cu. Ft. or MB/GB)
200	Video Surveillance Records-Dispose of Daily January 1-30, 2022	1/1-31, 2022	
	Video Surveillance Records-Dispose of Daily February 1-28, 2022	2/1-28, 2022	
	Video Surveillance Records-Dispose of Daily March 1-31, 2022	3/1-31, 2022	
	Video Surveillance Records-Dispose of Daily April 1-30, 2022	4/1-30, 2022	
	Video Surveillance Records-Dispose of Daily May 1-30, 2022	5/1-30, 2022	
	Video Surveillance Records-Dispose of Daily June 1-30, 2022	6/1-30, 2022	
	Video Surveillance Records-Dispose of Daily July 1-31, 2022	7/1-31, 2022	
	Video Surveillance Records-Dispose of Daily August 1-31, 2022	8/1-31, 2022	
	Video Surveillance Records-Dispose of Daily September 1-30, 2022	9/1-30, 2022	
	Video Surveillance Records-Dispose of Daily October 1-31, 2022	10/1-31, 2022	
	Video Surveillance Records-Dispose of Daily November 1-31, 2022	11/1-31, 2022	
	Video Surveillance Records-Dispose of Daily December 1-30, 2022	12/1-30, 2022	Total Volume from all pages Cu. Ft. ____ MB/GB 45

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If the records are digitized, I certify that they have been reproduced in compliance with standards given in Sections 4000.70 / 4500.70 and will be maintained in compliance with standards given in Sections 4000.80 / 4500.80 of the Regulations of the Local Records Commissions.

(Signature required only if records have been microfilmed or digitized.)

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

Disposal date set by the ILSOS — Approved by ILSOS

Signature of the Agency Official — Submission Date

SAMPLE
Print Agency Official name and title on line above

Prepared by: SAMPLE

Printed by authority of the State of Illinois. November 2021 — 1 — LR 4.15

Electronic Records

- Effective Jan 1, 2001, the Local Records Act amended to allow storage of electronic records.
- Electronic Records must be stored in an electronic records management system(ERIM) in compliance with Administrative Code Title 44 Part 4000.80 I
- Agencies are under statutory obligation to file a disposal certificate before the records that are scanned can be disposed of. A second disposal certificate must be submitted before the reproduced electronic records are deleted from the ERIM.

*Records that are born-digital are not subject to the filing of two Disposal Certificates.

How to Report Damaged Records

Records may be damaged due to fire, flood, or exposure to damaging environmental conditions like the sun, animal / bug infestation etc.

- Call your local field representative who will come to the site to investigate/take pictures and provide detail re: the required agency letter – when and how the records were damaged and if any records were able to be restored. A disposal certificate will accompany the letter of explanation.

Local Records Management Resources

[State and Local Government Records Management Programs (ilsos.gov)]

[Local Records Disposal Certificate (ilsos.gov)]

Local Records Management

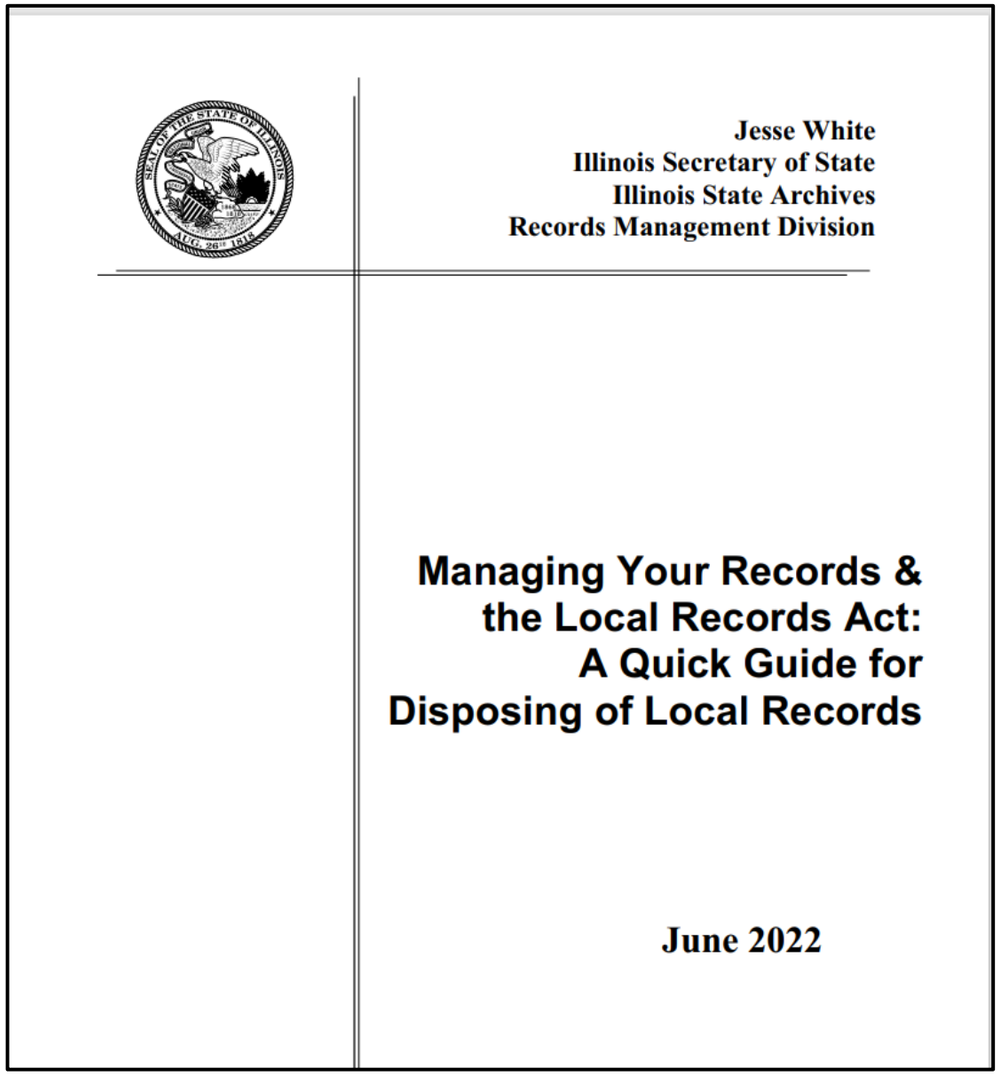
Administrative Rules and Statutes

- Cook County Local Records Commission Rules (44 Ill Admin Code Title PART 4500)
- Downstate Local Records Commission (44 Ill Admin Code Title PART 4000)
- Filmed Records Certification Act (50 ILCS 210)
- Filmed Records Destruction Act (50 ILCS 215)
- Illinois School Student Records Act (105 ILCS 10)
- Local Records Act (50 ILCS ACT 205)
- Penalty for Unauthorized Destruction of Public Records (720 ILCS 5/32-8)

Forms and Instructional Documents

- Decision Tree for Scanning Projects
- Local Records Disposal Certificate
- Local Records Representative Territories
- FAQs for Local Government Agencies
- Managing Social Media & the State and Local Records Acts: A Quick Guide for Social Media Policy and Management
- Managing Your Records and the Local Records Act: A Quick Guide for Disposing of Local Records
- Reliable Storage Media for Electronic Records - A Guide for Government Agencies
- Security Microfilm Release Form
- Statement on Transitory Messages
- Sustainable File Formats for Electronic Records

Local Records Commission Meetings



Jesse White
Illinois Secretary of State
Illinois State Archives
Records Management Division

Managing Your Records & the Local Records Act: A Quick Guide for Disposing of Local Records

June 2022

[Managing Your Records and the Local Records Act: A Quick Guide for Disposing of Local Records (ilsos.gov)]

Questions?

Speaker Contact info:

Steve Colaizzi, Field Representative, Illinois Secretary of State
630-293-5734, scolaizzi@ilsos.gov

Marikay Hegarty, Field Representative, Illinois Secretary of State
847-964-2000, mhegarty@ilsos.gov