

Records Retention and The Local Records Act

Presented by:

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Illinois State Archives

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Welcome to the exciting world of records management.*



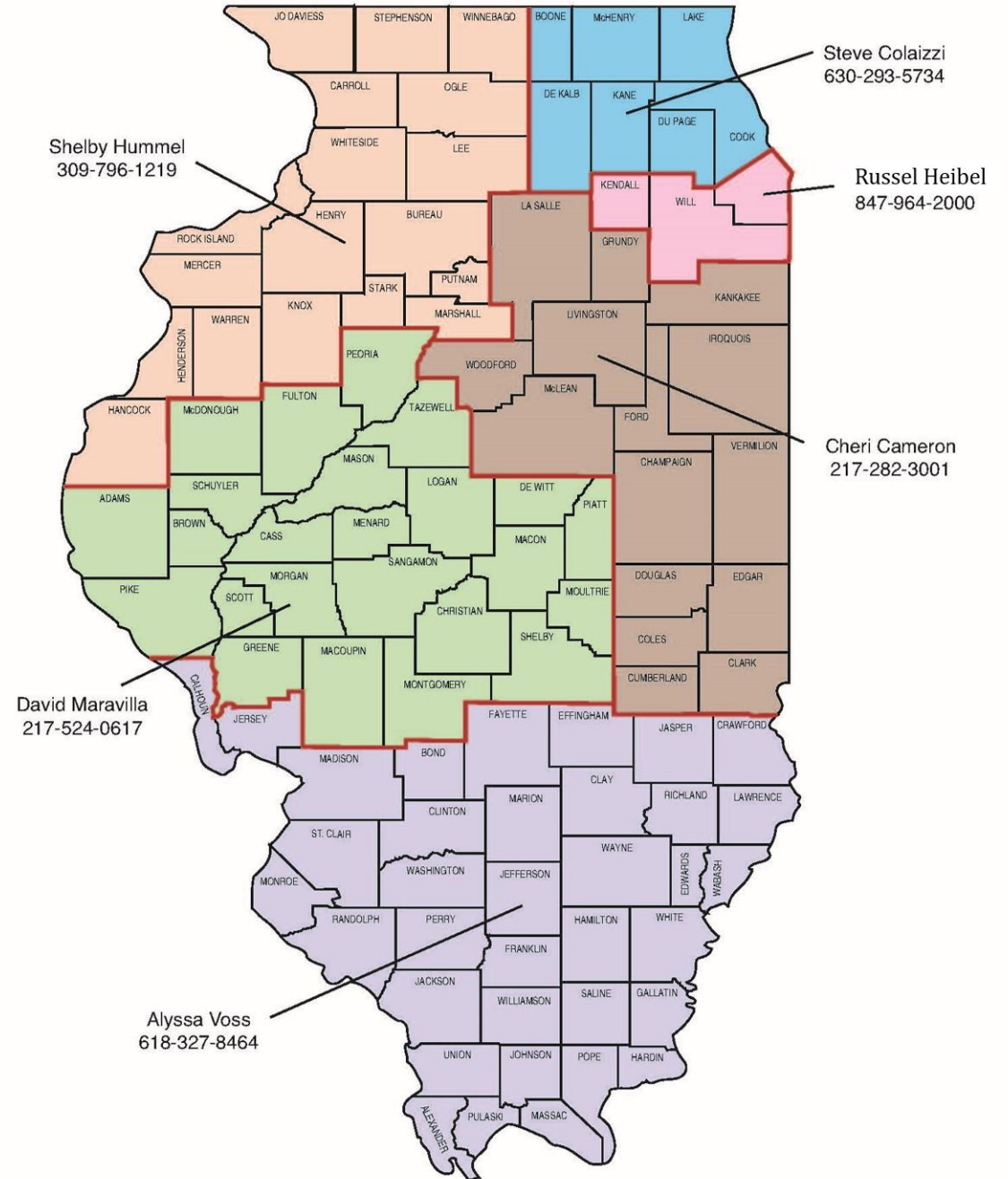
*enthusiasm is optional.

What is the Local Records Act?

- The Local Records Act (50 ILCS 205) was passed in 1962 as a method for local government agencies to legally dispose of their records.
 - Establishes the Local Records Commission to determine retentions and provide approval for authority.
 - Places responsibility for compliance on local government agencies.
 - Mandates the Secretary of State to provide support.
- 

What does the Local Records Unit do?

- Serve as liaisons between your agency and the Local Records Commission.
- Assist with establishing or updating Applications for Authority to Dispose of Local Records
- Provide support with Disposal Certificates.
- We're free, too.



Who do we help?

- Municipalities
 - Police
 - Fire
 - Libraries
 - Utility / Public Works
- Community Colleges
- School Districts
- County Agencies
- Townships
- Districted agencies (FPD, Libraries)
- If your agency is publicly funded, then you must comply with the Local Records Act.



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.)



Let's
simplify:



Any [informational] material, regardless of form, produced or received pursuant to law or the transaction of public business and preserved as evidence of activity of the [local government agency].

What is NOT a public record?

- Extra copies of documents preserved only for convenience or reference (copies of meeting minutes, duplicate board packets)
- Stocks of publications and processing documents (superseded blank forms)
- Junk emails or mail (party announcements, business cards, and unsolicited sales brochures, “cake in the breakroom” emails)
- Working files, drafts (drafts of grants; staff desktops)



Are emails, text messages, videos, audio recordings, social media, and faxes public records?

- Records are MEDIA NEUTRAL.
- If the information fits the definition, it is a public record.
- Examples: emailed invoices, agency head sends email to staff, recordings of public meetings, surveillance video, Facebook comments...
- Many emails are Transitory Records and do not meet the definition of public record (cc'd emails, routine memos, system generated messages, etc.)
- Email retention policies help manage retention.

How can I manage social Media?

- Develop a policy for comments and pin it. We recommend no comments.
- Keep an internal log of postings in a text file. This is your original document and posts are convenience copies.
- Retention for log and commented posts is three years.
- If posts don't have comments, hide them after a specified time (48 hours).
- **DO NOT DELETE COMMENTS THAT ARE PROTECTED UNDER FREEDOM OF SPEECH.**



What's an Application for Authority to Dispose of Local Records?

- It's your unique retention schedule.
- The application is a long-term document
- May be added to and amended.

It gives you **AUTHORITY** to **SEEK** permission to dispose but does **NOT** give you **PERMISSION** to dispose.

Local Records Unit
 Illinois State Archives
 Margaret Cross Norton Building
 Springfield, IL 62756
 (217)782-7075

**APPLICATION FOR AUTHORITY TO
 DISPOSE OF LOCAL RECORDS**

COUNTY Fayette	CITY Vandalia	ZIP 62471	LOCAL RECORDS COMMISSION APPROVAL
AGENCY City of Vandalia			
ADDRESS 431 W. Gallatin St.			
PHONE (618) 283-1197			
<p>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 standards of the Local Records Commission and will be adequate substitutes for the original records.</p>			CHAIR
<i>Carla Huhn</i>		<i>December 6, 2023</i>	<i>David Joens</i>
Signature of Agency Head		Date	DIRECTOR, STATE ARCHIVES
Carla Huhn, City Clerk			<i>January 2, 2024</i>
			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 SIXTY (60) 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 GOVERNMENTS 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.

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 #98:253

City of Vandalia

Fayette County

Application # 24:007

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ADMINISTRATIVE RECORDS	100 - 123
CONSTRUCTION AND PROJECT RECORDS	200 - 210
FINANCIAL RECORDS	300 - 311
PERSONNEL AND PAYROLL RECORDS	400 - 410

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Application No. 24:007
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(CONTINUATION SHEET)

ITEM NO.	DESCRIPTION OF ITEMS OR RECORDS SERIES
	<u>ADMINISTRATIVE RECORDS</u>
100.	<p><u>APPLICATIONS FOR AUTHORITY TO DISPOSE OF LOCAL RECORDS AND LOCAL RECORDS DISPOSAL CERTIFICATES</u></p> <p>Dates: 1986- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Retain permanently.</p>
101.	<p><u>ADMINISTRATIVE FILES AND MISCELLANEOUS CORRESPONDENCE, INCLUDING EMAIL CLASSIFIED AS GENERAL CORRESPONDENCE AND NOT RELATED TO ANOTHER RECORDS SERIES, REFERENCE MATERIALS, PUBLICATIONS, ETC.</u></p> <p>Dates: 2023- Volume: Negligible/1 GB Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Retain for one (1) year then dispose of records no longer possessing any further administrative, fiscal, legal, and/or historical value.</p>
102.	<p><u>AUDIO/VIDEO RECORDINGS MADE OF MEETING HELD UNDER THE OPEN MEETINGS ACT</u></p> <p>Dates: 2010- Volume: 2 Cu. Ft./1 GB Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Retain audio recordings of open meetings for sixty (60) days after adoption of minutes, then dispose of. Retain video recordings thirty (30) days after date of meeting, then dispose of. Retain audio/video recordings of closed meetings in compliance with 5 ILCS 120/2.06 (3c).</p>

APPLICATION FOR AUTHORITY TO
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(CONTINUATION SHEET)

ITEM NO.	DESCRIPTION OF ITEMS OR RECORDS SERIES
103.	<p><u>BIDS, SPECIFICATIONS, AND PROPOSALS</u></p> <p>Dates: 2014- Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Retain <u>successful bids</u> for ten (10) years after terms of the related contract are complete, then dispose of. Retain <u>unsuccessful bids</u> for three (3) years after rejection, then dispose of.</p>
104.	<p><u>BIRTH AND DEATH CERTIFICATES</u></p> <p>Dates: 1977- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Local registrar copy retain for ten (10) years, then dispose of. Records before 1917 retain permanently.</p>
105.	<p><u>BURIAL PERMITS</u></p> <p>Dates: 1990- Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Retain permanently.</p>
106.	<p><u>BUILDING PERMITS</u></p> <p>Dates: 2019- Volume: ¼ Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Residential permits: Retain for five (5) years after expiration, then dispose of. Commercial permits: Retain permanently.</p>

Can records be scanned?

Joint Committee on Administrative Rules

ADMINISTRATIVE CODE

**TITLE 44: GOVERNMENT CONTRACTS, GRANTMAKING, PROCUREMENT AND
PROPERTY MANAGEMENT**

**SUBTITLE C: GOVERNMENTAL RECORDS
CHAPTER I: LOCAL RECORDS COMMISSION
PART 4000 LOCAL RECORDS COMMISSION**



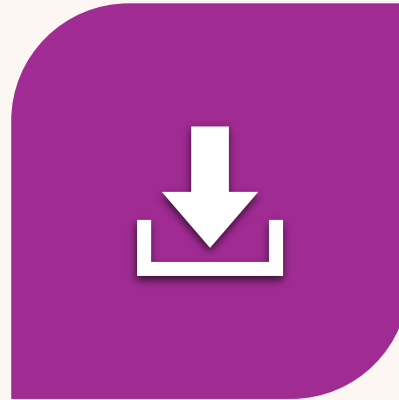
When scanning with intent to dispose of originals:

- You **MUST** file an initial Disposal Certificate for the records that you have scanned and wish to dispose prior to retention met.
- Then file a second Disposal Certificate to dispose of the digitized records once they have been retained for the full duration of the original records retention period.
- Proceed at your own risk when considering replacing permanent documents with digital surrogates.

Next Stop: Disposal Certificate



WEB SEARCH: LOCAL RECORDS
DISPOSAL CERTIFICATE ILLINOIS



DOWNLOAD DISPOSAL CERTIFICATE
AND SUPPLEMENTAL PAGE



SAVE TO YOUR COMPUTER AND USE
THOSE FILES SO YOU CAN REUSE
THEM FOR NEXT YEAR.

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 or email to recordsmgt@ilsos.gov.
5. Retain records until approved copy is returned.

APPLICATION #: 24:007

COUNTY: Fayette

FROM: City of Vandalia
(Agency Division)

ADDRESS: 431 W. Gallatin St
(Street, P.O. Box)
Vandalia 62471
(City, ZIP)

CONTACT TELEPHONE: (618) 555-1234

CONTACT EMAIL: clerk@cityemail.com

APPLICATION ITEM NO.	RECORD SERIES TITLE	INCLUSIVE DATES	VOLUME OF RECORDS (Cu. Ft. or MB/GB)
101	administrative files and misc. correspondence, email	2023	negligible/1 GB
102	recordings of meetings held under OMA	2010-3/2025	2 cu ft / 1 GB
103*	bids, specifications, proposals - successful	2014	
	- unsuccessful	2014-2021	
	- successful bids (scanned, retention not met)	2015-2024	2 cu ft
106	building permits	2019	neg

114	TOIRMA, other insurance records	1991-2016	neg
200	assessor's annual budget request	2010-2021	
202	bank statements, cancelled checks, deposit slips, paid bills, invoices	1901-2016	28.5 cu ft
203	budgets, appropriation and tax levy ordinances	1984-2016	.25 cu ft
204	check stubs	1965-2021	.25 cu ft
206	individual earnings records, retention met	1878-1963	
	-- term emp age 78+ or deceased	1963-2018	
	-- term employee worked past age 78	1963-2013	5 cu ft
			Total Volume from all pages
			Cu. Ft. <u>71.1</u>
			MB/GB <u>neg</u>

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.

Sign here if you've digitized records

(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:

LEAVE BLANK

Disposal date set by the ILSOS

Your Signature

Signature of the Agency Official

Approved by ILSOS

Date of signature

Submission Date

Printed name of agency head, title

Print Agency Official name and title on line above

Prepared by: Printed name of preparer

Think
proactively.

- Submit annually, even if storage space isn't a concern
- Use “Annual Accumulation” as a guide for volume
- Submit for all non-permanent record series
- Same certificate each year – just change the dates.

Now what?

Print your disposal certificate & hand-sign

Scan and email to recordsmgt@ILSOS.GOV

Certificate is approved or rejected & returned

Plan to dispose of the records on or after the disposal date on the certificate

Print and file the received Disposal Certificate with your APP & keep permanently

Follow JCAR guidelines for proper disposal methods

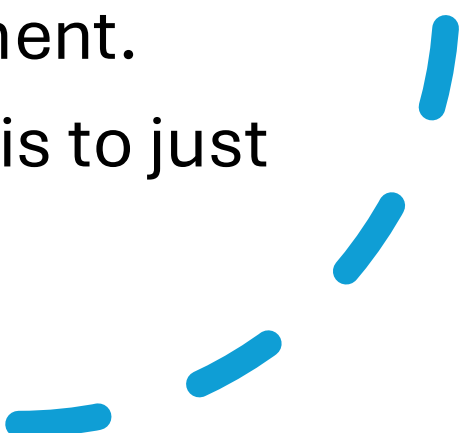


In the event of an emergency...

- Fire, weather, insects, building failure, and hacking can damage active records.
- **DON'T THROW IT OUT WITHOUT APPROVAL!**
- Call your Field Representative to assist you with an emergency disposal.
- Evidence must be provided with a site visit, agency submitted account of damage, and disposal certificate.

A large orange circle on the left side of the slide, partially cut off by the edge.

Ideas for an efficient approach...


- Contact your Field Rep. We're here to help you.
 - Assign records management tasks in a **JOB DESCRIPTION**
 - Label records boxes or electronic files by both year AND disposal date (email, too!)
 - Arrange records to match your application for easy management.
 - The best way to understand it is to just do it!
- 
- A decorative graphic in the bottom right corner consisting of several blue, curved, dashed lines of varying lengths, arranged in a roughly circular pattern.

Remember the benefits:

- Avoid legal entanglements which result from violating the Local Records Act. (It's a class 4 felony!)
- If your agency is FOIA'd for information that you have disposed of, you can provide proof that you have legally disposed of the record in question. (No lawsuit!)
- Establishing a records management procedure frees up valuable storage space and saves money. (Cleans your closet, your drive, and your mind!)



Some helpful tools:



Alexi Giannoulis
 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**

January 2025

Computing Retention Periods

In 2025 you may submit a Disposal Certificate to dispose of records based on retentions listed in your *Application for Authority to Dispose of Local Records* for up to the following dates:

If the Retention Period is:	You may dispose by calendar year (month does not need to be included):	Latest Date of Records where month 1) represents full retention period, and 2) month number is at least one prior to submission month
1 year	Records dated December 2023 or earlier	[month #] /2024
2 years	Records dated December 2022 or earlier	[month #] /2023
3 years	Records dated December 2021 or earlier	[month #] /2022
4 years	Records dated December 2020 or earlier	[month #] /2021
5 years	Records dated December 2019 or earlier	[month #] /2020
6 years	Records dated December 2018 or earlier	[month #] /2019
7 years	Records dated December 2017 or earlier	[month #] /2018
8 years	Records dated December 2016 or earlier	[month #] /2017
9 years	Records dated December 2015 or earlier	[month #] /2016
10 years	Records dated December 2014 or earlier	[month #] /2015
14 years	Records dated December 2010 or earlier	[month #] /2011
15 years	Records dated December 2009 or earlier	[month #] /2010
60 years	Student Permanent Records: Year Student Graduated, Withdrew from District, or Transferred, by calendar year: 1964	By school year, submitted in July 2025: 6/1965
18 months	In 2025, you may dispose of records with this retention in from June 2023 or earlier.	
22 months	You may dispose of Federal Election Records dated November 2023 on or after September 30, 2025.	

The above are sample retention periods. Your application may contain retention periods longer than 15 years, which you may compute by subtracting one year from the current year and then subtracting the retention period.

Computing Paper and Electronic Volume:

- 1 Full Letter Size Drawer = 1.5 Cu. Ft.
- 1 Full [Legal Size](#) Drawer = 2.0 Cu. Ft.
- 1 Full Lateral File Size Drawer = 2.5 Cu. Ft.

Small banker's boxes are 1 Cu. Ft.
 Long banker's boxes, either letter or legal, can be counted as 2 Cu. Ft.
 A Copy Paper Box used for 10 reams is 1 Cu. Ft.
 Approximately 5000 sheets of paper are contained in 1 Cu. Ft.

If you just have a few file folders (the size of a ream of copy paper or less), use "Negligible" in the volume column and count as 0.1 cu ft in the total.

To determine the size of an electronic file, right click on the file or folder name and then left click on properties to determine the MB, GB, or TB. 10 MB or less can be considered negligible electronic.

Where to find us:

The screenshot shows a web browser window with the following elements:

- Browser Tab:** "State and Local Government Reco" with a close button.
- Address Bar:** "https://www.ilsos.gov/departments/archives/records_management/home.html".
- Page Header:** "ilsos.gov Official Website of the Illinois Secretary of State" with a link "Here's how you know" and a language selector set to "English".
- Logo:** The official seal of the State of Illinois.
- Text:** "ILLINOIS SECRETARY of STATE" and "ALEXI GIANNOULIAS" in large, bold, blue letters.
- Search Bar:** A rounded rectangle containing the text "Search Ilsos.gov..." and a magnifying glass icon.
- Navigation Menu:** Four dark blue buttons with white text and icons: "Driver's Licenses & ID Cards", "Vehicles, Plates & Titles", "Business Services", and "More Services".
- Breadcrumbs:** "Home > Departments > Archives > State and Local Government Records Management Programs".
- Main Title:** "State and Local Government Records Management Programs" followed by "Illinois State Archives" in a smaller font.



33C Records Retention In-District Audit

Presented for the Illinois Association of School Personnel
Administrators (IASPA)



Establishing a Records Management Program

THE RECORDS INVENTORY



What's your "State of the Union?"

Establishing an effective program begins with a comprehensive inventory. It is essential for identifying the full scope and quantity of organizational records.

JUST DO IT.

Unified Care

Every record in your custody must be identifiable. Inventory ensures that thematic groups are established for rapid retrieval when necessary.

VITAL FIRST STEP – LOCAL OVERSIGHT



Building Level Accountability

Each building should designate a lead representative, typically a **Principal** or **Administrative Assistant**.

This individual oversees the fidelity of building procedures and remains available to answer staff questions regarding retention rules.

(Need someone other than you to feel the weight of this responsibility...the on-site visits did this for me.)

UNIFIED LABELING STANDARDS



Uniform Identification

All records must be clearly labeled with consistent data points:



Item Number



Record Type



Year for Disposal

ORGANIZATION & STORAGE



Easy Accessibility

Maintain a system where records are easily searchable.



Thematic Grouping

Catalog records in groups to ensure efficient retrieval (if necessary).



Hazard Protection

Store records free from hazards that could damage them. (Team approach needed)

TRAINING & COMPLIANCE



Staff Competency

Adequate **training** is required to meet the standards set by the State of Illinois in order to ensure records are never disposed of **accidentally** or **prematurely**.

Training focuses on the fidelity of record-keeping procedures across every building in the district.

Training opportunities: summer institutes, holiday breaks, professional development days.

(NOTE: start with your application (rules for retention))



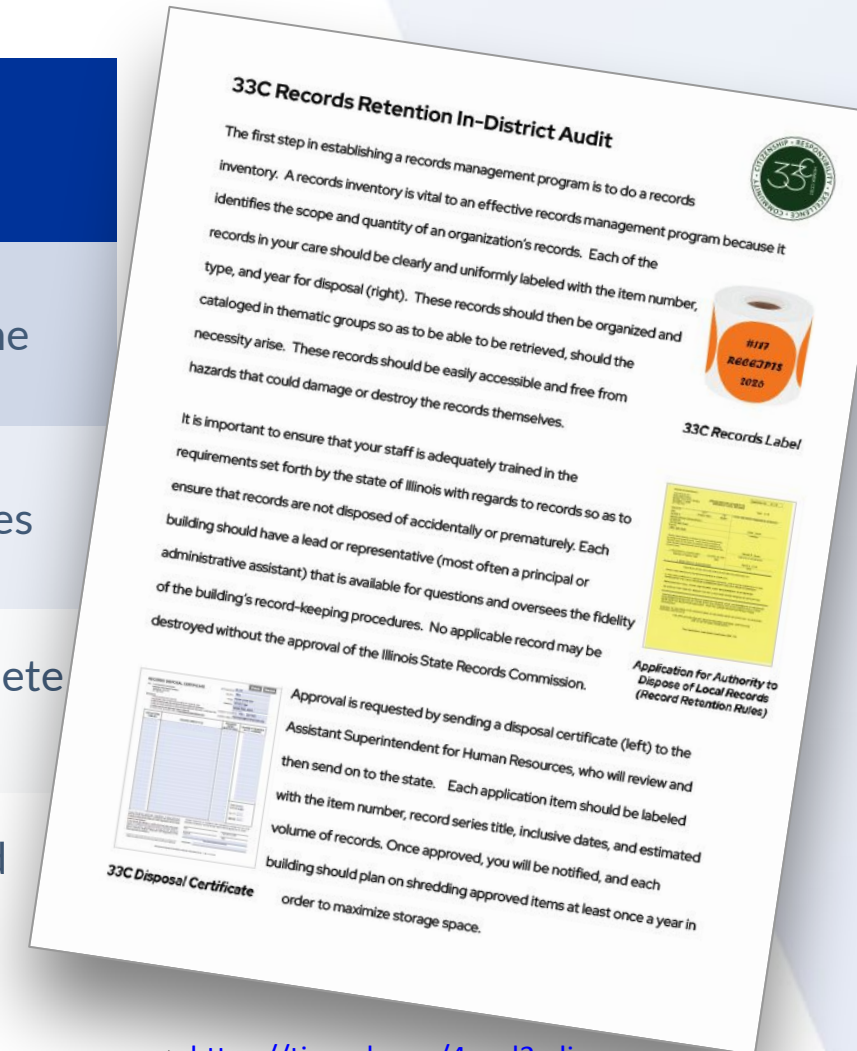


Disposal Protocols & Authority

PROCESS & REQUIRED DOCUMENTATION



Document Type	Required Action	Primary Objective
Labels & Catalogs	Internal Tracking	Identify Item #, Title, and Volume
Application for Authority	Use as Primary Resource	Establish Record Retention Rules
Disposal Certificate	Submit to State for Review	Authorization to Destroy Obsolete Records
Shredding Cycle	Internal Tracking	Record what was destroyed and when





THE SHREDDING CYCLE

In my district, approval begins with the Assistant Superintendent for HR, who reviews and forwards certificates to the state.

Once state approval is granted, buildings are notified. Annual shredding should be scheduled at least **once per year** to maximize storage efficiency and space.



Illinois State Records Commission

MAJOR TAKEAWAY! No applicable record may be destroyed without the explicit approval of the Illinois State Records Commission.

Reach out to the state with questions! They are [very helpful](#),
and of course, knowledgeable!

recordsmgt@ilsos.gov



Questions?

33C Records Retention Audit

 www.iaspa.org