



**STATE
RECORDS
MANAGEMENT
MANUAL**

for ILLINOIS STATE AGENCIES

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ILLINOIS STATE RECORDS MANAGEMENT MANUAL

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1. INTRODUCTION AND OBJECTIVES

The efficient and economical maintenance of records is one of the most important responsibilities of workers at all levels of government. The necessity of government units to maintain adequate documentation of their functions has resulted in great expenditures of time, money and space. Government agency records account for the disbursement of millions of dollars, protect the rights of citizens, and document important legal decisions.

The State Records Act of 1957 addresses many records management concerns and recognizes two major problem areas concerning the retention of records.

- 1) Inadvertent or premature destruction of state records causes great harm to the state by:
 - causing the interruption of essential services to Illinois citizens,
 - allowing the expenditure of public funds to be less accountable,
 - causing the destruction of permanently valuable records.
- 2) Maintenance of all state records without regard to their relative importance to current and future operations places an expensive and unnecessary burden on state agencies.

The State Records Act places three major responsibilities on state agencies:

- 1) No record shall be disposed of by any agency of the state, 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 custody that are not needed in the transaction of public business and do not warrant further preservation.

The State Records Act authorizes the Secretary of State 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. The purpose of this manual is to outline the full range of records management assistance available from the Records Management Section-State Records Unit, and the steps necessary for agencies to follow in setting up a Records Management Program for their own organization, in compliance with the State Records Act and the Regulations of the State Records Commission.

2. STATE RECORDS MANAGEMENT PROGRAM

When requested by state agency officials, the State Records Unit 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 state agencies for the purposes of:

- Providing for the economical and efficient management of the records of an agency.
- Analyzing, developing and promoting procedures and techniques designed to improve the management of records.
- Establishing appropriate retentions for an agency's records.
- Facilitating the segregation, storage and disposal of records with temporary value.
- Insuring the maintenance and security of records deemed appropriate for permanent preservation.

A) RECORDS INVENTORY

The records inventory is vital to an effective records management program because it identifies the scope and quantity of the records of an organization. The information that comes from the records inventory serves as the basis for all decisions concerning the direction your records program will follow. The State Records Unit field representatives will in most instances conduct the records inventory. Inventory Worksheets (*Form AR D-62.1*) were designed to collect the information essential for a successful records inventory. A completed inventory worksheet is included on page 14.

B) INSTRUCTIONS FOR COMPLETING WORKSHEET

ITEM ENTRY

1. **Date** — of completion of form.
2. **Number** — of the inventory worksheet. You may be submitting more than one page.
3. **Record Series** — the title of a group of related records used, filed and evaluated as a unit for disposition purposes.
4. **Dates** — a beginning date of the series described should be given. When a specific date cannot be determined, an estimated date should be given for records that are **no longer** created or required.
5. **Volume** — the total number of cubic feet of the record series in existence at the time of the inventory. For estimating purposes see page 15.
6. **Annual Accumulation** — the accumulation, in cubic feet, of the series for the most recent year.
7. **Number and Size of Files or Documents** — this space should be used to indicate the type of documents in the file. Either the physical measurements of the documents (*length and width*) or a description of the documents (*IBM cards or 16mm microfilm or ledger sheets, with size, etc.*)
8. **Arrangement** — most series are arranged chronologically, alphabetically, numerically or by status (*active or inactive or closed*). Secondary or tertiary arrangements should be listed as follows: “chronological and alphabetical by license thereunder.”
9. **Agency** — the official designation of the state agency.
10. **Division and**
11. **Subdivision** — the secondary administrative division of the agency, whether known as division, office or section.
12. **Office Location** — the location of the office of the person having responsibility for the records.
13. **Representative** — (*name, title, phone*) gives the information concerning the person responsible for the record series.
14. **Index or Finding Aids** — should be described briefly. Usually the form of the index should be indicated, such as “3 x 5 card index” or “microfilm.”
15. **Description** — the detailed and accurate description of each record series. This description should be sufficiently detailed to enable the State Records Commission to **appraise** the value of the record series proposed for disposal. Records officers should explain in detail the function of the record and identify it so that misunderstandings regarding the record’s identity, use, and information on the worksheet are minimized. The description will generally be completed by the State Records Unit field representatives after the initial visit to the agency.

16. **Recommendation** — Dispositions should be specified in terms of years or months. When a specified retention period depends upon the occurrence of an event or the completion of a transaction, the nature of the event or transaction should be indicated. It is at this point that the **appraisal process** begins. This process is a joint analysis of the record series by the agency personnel and the State Records Unit Field Representatives.

C) APPRAISAL PROCESS

A sound records disposition program requires a realistic appraisal of the records in relation to their period of usefulness and value to the agency that created them. By appraising records you may:

- Establish reasonable retention periods.
- Identify records that can be destroyed immediately.
- Identify records that can be transferred to a records center.
- Identify records with lasting value that should be placed in the State Archives.

The values that should be considered in appraising records are:

Administrative Value — The primary administrative use of most records is exhausted when the transactions to which they are related have been completed. From that point on they lose their value rapidly. However, some administrative records contain basic facts about an agency's origin, policies, functions, organization, and significant administrative decisions. These records should be preserved to provide adequate documentation of an agency's operations.

Legal Value — Records have legal value if they 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 action in particular cases, such as claim papers and legal dockets.

Fiscal Value — (Financial Transactions) After records have served their basic administrative function, they may still have sufficient fiscal value to justify their retention in storage for a time to protect the agency against court action or to account for the expenditure of funds.

Research, Historical or Archival Value — Some records have enduring value because they reflect significant historical events or document the history and development of an agency. The importance of preserving such records is obvious.

D) ESTABLISHING RETENTION PERIODS

Once the appraisal process has been completed for the record series, the retention period becomes much more evident. If the record series has high reference value for only the first two years after its creation, but has ongoing fiscal or legal value for four (4) additional years, the following retention would be suitable:

“Retain two (2) years in office, transfer to records center for four (4) years, then dispose of . . .”

If the record series has high reference for its entire life and it was determined through the appraisal process to have administrative/legal value for ten (10) years, then its retention should be:

“Retain ten (10) years in office, then dispose of . . .”

If the record series is needed for administrative reference for three (3) years and the appraisal determined that it contains important historical/archival value, then the proper retention would be:

“Retain three (3) years in office, then transfer to the State Archives for permanent retention.”

☆ **SPECIAL NOTE** ☆

The word “permanent” for archival and retention purposes means forever. Such records are assessed as having permanent historical value. The term should not be confused with “indefinite” nor should such a recommendation be made when an agency simply means a long period of time. Retention periods of 20 or 40 years are not uncommon for records, yet such retention periods are not referred to as “permanent.”

E) RECORDS RETENTION SCHEDULE

Section 18 of the Illinois State Records Act requires the head of each agency to submit to the State Records Commission lists or schedules of records in his/her custody that the agency wishes to dispose of or transfer from the agency’s offices to a records center. It is the duty of the Commission to determine what records should be destroyed or disposed of otherwise. Records proposed for destruction or transfer are submitted to the Commission on an **Application For Authority To Dispose of State Records** (*Form RM/M RM-7.3*) more commonly referred to as the “records retention schedule.”

The form is the final, typed version of the inventory worksheet that was developed by the agency and the State Records Unit. The form must be signed by the head of the agency prior to submission to the State Records Commission. Meetings of the State Records Commission are held monthly in the Norton Building, and hearings of the Commission are open to the public. Agencies submitting schedules for Commission action may be requested to send representatives to answer questions raised by members of the Commission. After the Commission has acted upon an agency’s records schedule application, a copy will be returned to the agency with the action clearly indicated. The form then becomes the initiating agency’s ongoing authority to carry through with the terms of the recommendation (*retention period*), whether it be to destroy the records, transfer them to the records center, transfer to the State Archives, or some other disposition. An approved Records Retention Schedule is included on page 15.

F) PROCEDURES FOR IMPLEMENTING RETENTION PERIODS

Direct Office Disposal — If the agency’s approved Records Retention Schedule authorizes the destruction of records stored in the agency’s own office(s), the State Records Disposal Certificate must be completed and approved by the chairman of the State Records Commission prior to the physical destruction of the agency’s files. Generally, the Disposal Certificate should be submitted 30 days prior to the date of proposed destruction. However, this 30-day waiting period may be waived if immediate destruction is desired. A completed Disposal Certificate is included on page 16.

Archival Transfer — If the agency’s approved Records Retention Schedule provides for the transfer of agency files to the State Archives after retention in the office, Form AR D-50.1 (*Archives*

Records Transfer Sheet) and if necessary, Form AR D-109 (*Archives Records Transfer Sheet – supplementary page*) is completed and included with the records when they are transferred to the Archives. It is the responsibility of the agency to arrange for the physical transfer of records coming into the Archives. A sample Archives Records Transfer Sheet is on pages 17 and 18.

G) STATE RECORDS CENTER

The most common problem all records personnel face is the lack of adequate storage space for semi-current records. The appraisal process mentioned previously illustrates that records quickly lose immediate reference value, but still must be maintained due to long term fiscal, legal or administrative needs, which may occur infrequently but make their prompt retrieval no less important. The office space devoted to the storage of semi-current records can be a basement, attic, closet, hallway or a space on the top of file cabinets or between desks. Whichever type it is, the storage of semi-current records in such locations results in a substantial (*and unnecessary*) expenditure for storage space for records that are not heavily referenced. The Illinois State Records Center was established to provide low-cost, secure storage for the semi-current records of state agencies. The State Records Center can provide reference service for all records deposited in the facility. The Record Center's principal advantage for state agencies is that it provides free storage for records that the State Records Commission has approved for Records Center storage. Following are examples of the cost savings realized by using the State Records Center:

Cost of Records Center Storage vs. Private Office Space

Under current market rates the storage of one cubic foot of record material in working office space costs approximately \$15 per year. The cost of maintaining one cubic foot of record material in the State Records Center is \$2.63 per year.

These figures are based on the following calculations:

- 1) **File cabinet cost, \$11/year**
(four-drawer file cabinet at \$220, amortized over 20 years)
- 2) **Space rental cost for file cabinet, \$56/year**
(rental figures of \$7/sq. ft. averaged from office space rates available from area businesses; each file cabinet requires 8 sq. ft.)
- 3) **Equipment and space cost per cubic foot of records and storage, \$8.40/year**
(\$11 plus \$56 divided by 8 cu. ft. storage in one four-drawer legal-size file cabinet)
- 4) **Clerical service cost per cubic foot, \$6.50/year**
(File clerk's average annual salary \$10,500. A clerk will spend approximately 1/2% of his/her time in servicing one file cabinet [8 cu. ft.]. $\$10,500 \times .005$ divided by 8 = \$6.50)
- 5) **All cost factors (equipment/space cost, clerical service cost) totaled equal \$15 cu. ft./year.**
- 6) The cost of maintaining 1 cu. ft. of hard copy records in the State Records Center is \$2.63 per year. The State of Illinois realizes a cost savings of \$12.37 per cu.ft./year by storing hard copy documents in the State Records Center. This is an 83 percent savings per cubic foot that is transferred to the State Records Center versus the storage of the same cubic foot in prime office space in file cabinets.

Taking these factors into consideration the State Records Center gives agency records officers their most direct and practical justification for developing a records management program for their agency's records.

Procedures for Using the State Records Center

Please refer to the Illinois State Archives' "**Basic Procedures For Using the Illinois State Records Center.**"

3. MICROGRAPHICS

Micrographics refers to processes used to reduce any form of information to microimages. Microfilm is a medium for storing great quantities of document information in miniature form and can be produced in several different ways. It is estimated that microfilming records can save up to 98 percent in storage space. Microfilm also provides easier handling and retrieval of the information. Microfilm readers and reader/printers are utilized in projecting the images back to their full-size on a screen and/or providing full-size paper prints when needed.

However, microfilm is not the magic answer to all of your records management problems. If your filing system is a problem now, it will remain so, unless the system is improved before microfilming. Correct use of microfilm and data processing can aid in a "less paper" office. When used in an appropriate manner, the benefits of microfilm will be significant. The most common forms of microfilm are:

Roll — Produced in widths of 16mm, 35mm or 105mm and used with reel, cartridge or cassette. This is the most widely used form of microfilm and is always used for security copies.

Microfiche — A sheet of film usually 105mm x 148mm with fixed images. Identification information is found at the top of the film on an index strip that is readable without magnification. In the past, images were fixed on the film. However, recent technologies now allow for updatable microfiche. Using updatable film, images can be added, annotated, imaged over or, in some cases, removed. Updatables currently have problems meeting the regulations of the State of Illinois. Before investing in such a system, be sure to contact the State Records Unit.

Aperture Cards — A computer-sized key punched card with information on one side and either 16mm or 35mm images mounted in prepared slots on the cards. These are usually used for engineering drawings and for large documents in offices of the recorder of deeds.

Jackets — About the same size and shape as index cards, these are transparent plastic and contain channels into which strips of microfilm are inserted. Identifying information is on the index strip at the top of the jacket and is eye-readable. There is no need to remove the strip of film from the channel for it to be read or printed by microfilm reader/printers.

Many people mistakenly feel that the best reason for microfilming is to save on storage space for masses of records. Many other factors should be used to determine whether the microfilming of your records is justified. These factors include the:

- Need to retain records for a long period of time.
- Need for security of records with a corresponding duplicate file.
- Need to protect vital records.
- Need for frequent and speedy retrieval of records.
- Need for fixed file integrity.
- Need for sharing information with other departments or agencies.
- Need to control access to records and to retain strict confidentiality of records.
- Difficulty of using records as they now exist because of odd sizes, shapes and/or conditions.
- Need to preserve historical records from aging and abusive wear and tear.

There also are some disadvantages to microfilming, including:

- The records require a machine to be read.
- The cost of filming, whether in-house or with a service bureau.
- Difficulty comparing documents side by side.
- Documents are not readily accessible when they are being filmed and processed. (*This is more of a problem when a service bureau films the documents.*)
- Poor readability is possible if the film is not properly exposed, is illegible, scratched, or if records are not filmed in sequence.

The greatest of these disadvantages is expense. It is estimated that in Illinois, paper records can be stored in a records center for at least 15 years before the expense of record storage equals the expense of microfilming these records. This is why microfilming large amounts of records solely to save on storage space might be the least best reason to film.

How do you know if the use of microfilm is justifiable? Before you can really know, you need a successful ongoing records management program. The State Records Unit should have developed an approved records retention/disposal schedule for you. When you know the number of years records must be retained, the volume you can dispose of, and the potential volume you will need to store in coming years, you will have much of the information to make cost estimates. These retention/disposal schedules will also help point out vital records, valuable records, and lead to your knowledge of the activity in each file.

The records manager of each state agency should be able to answer each of the following questions before embarking on a microfilm program:

- Do I have a successful operating records management program?
- Do I know and understand the State of Illinois laws and regulations for microfilming records?
- Have I worked with the State Records Unit and developed a retention/disposal schedule and have an approved application for microfilm and disposal of records?
- Do I really know how much it will cost to microfilm as compared to my present file and storage systems?
- Are other filing/storage systems less expensive, and will they satisfy my records management needs as well as microfilming, and better than my present system?
- Are there other studies that have already been completed on microfilming? What has happened to these recommendations?

Remember, state law gives the State Records Commission the authority to set standards for the reproduction of public records by microphotographic process. These standards relate to the quality of film, preparation and identification of records filmed and to proper certification of copies. Any such microfilm, prepared according to commission standards, is considered for all purposes as original public record. Please refer to Section 4400.50 and 4400.60 of the Rules of the State Records Commission before commencing any microfilm project.

Care and Storage of Microforms

Microforms can save up to 98 percent of the space needed for paper documents. However, this space savings will be of little benefit if microfilm is unreadable due to poor storage conditions. Film should be inspected before it is stored. In storage, extremes and/or great fluctuations in temperature and humidity should be avoided. Temperature should be kept in the 65-70 degrees Fahrenheit range with humidity at 30-50 percent.

At least a 1 percent sampling of the film should be checked at two-year intervals. When inspecting the film, look for discoloration, film brittleness, mold, fungus or the adherence of the emulsion to the base. Check the can, boxes or reels used to store the film for rust, corrosion or other deterioration. Storage boxes made of acid-free plastic materials are available and will not rust or corrode. The security copy must not be used except to produce additional use copies. If the film is deteriorating, storage conditions need to be improved and the deteriorating film copied. Security copies of permanent roll film may be stored in the Illinois State Archives free of charge. For information about this service, call (217) 782-4866.

4. DISASTER PLANNING AND VITAL RECORDS

The protection and preservation of state agency records is essential to the maintenance of government functions. This section deals with information concerning how to prevent a disaster, how to best prepare for a disaster and what action to take after a disaster occurs.

The State Records Act mandates that the Secretary of State:

“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.”

This Act gives the Secretary responsibility for “security storage or relocation of essential state records in the event of an emergency.” Each state agency is required by law to work with the Secretary in determining 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 is prepared to work with agencies in preparing lists of (*vital*) essential records for emergency and post-emergency governmental operations and to aid agencies in preparing their disaster and recovery plans. After reading the following general information, contact the State Records Unit at (217) 782-2647 for specific help and guidance in preparing lists of vital records and disaster recovery plans.

A) PREVENTION

To prevent a disaster from damaging your records, you must first recognize potential hazards. These threats include damage caused by fire, water, wind, theft, sabotage, domestic violence and enemy action. Records should be stored in an environment that takes into account as many of the above factors as possible. Here are some ideas that you should consider in planning your record storage environment.

1. **Fire** — The prevention of fire is probably the single most important factor in safeguarding records. You can approach this problem by either (1) minimizing the chances that a fire will start or (2) maximizing your chances of extinguishing it. The first approach will be easier and less expensive. Fire protection tips include:
 - No smoking in record storage area.
 - Don't store records with chemicals, cleaning supplies, old newspapers, etc.
 - Keep the record storage area neat and police it at regular intervals.
 - Don't store records by the furnace, radiator or heater.
 - Make sure all wiring is safe.
 - Have fire extinguishers checked at regular intervals. Show your staff where they are located and demonstrate how to use them.
 - Be sure to follow all local fire, electrical, plumbing, heating and construction codes.

2. **Water** — Water damage to records occurs when storage areas flood, sewers back up, overhead water pipes break and sprinkler systems or hoses are used to extinguish fires. When possible, do not store records under water pipes and never keep records directly on the floor. The advantages and disadvantages of sprinkler systems or other types of large scale fire extinguisher equipment should be discussed with a records manager from the State Archives before purchases are made.
3. **Theft and Sabotage** — Limit access to the record storage area and limit the number of staff members who handle records. Caution should be taken when hiring new employees, and efforts should be made to keep employees from becoming disgruntled.
4. **Domestic Violence and Enemy Action** — Safeguards can be taken against these threats, but it is cost prohibitive and impractical to store state government records in underground security vaults in Kansas or Utah. A possible precautionary measure is to identify the most vital of your records and to store duplicates as securely as possible at another site in the state. You may store security copies of permanent microfilm free at the Illinois State Archives.
5. **Environmental Controls** — Most modern paper stock is undergoing a continual process of deterioration. This is caused by the high-level acidity found in contemporary paper composition and is intensified by pollution in the atmosphere. Acid weakens the structure of paper. This causes the life expectancy of most modern paper to be about 20 years. Most records need not be kept this long, and many agencies have turned to microfilming to save space and preserve documents that have a permanent retention. However, adverse conditions, especially if they involve acidic or corrosive elements, can render the microform image unusable. Since environmental damage to books, paper, microforms and computer software is irreversible, control of the environment is perhaps the most important factor in prolonging the life of your records. Periodic inspection of records with long retentions (*especially microform and magnetic data*) should be made to ensure their quality.
6. **Temperature, Humidity, Pollution, Lighting** — The most important factor concerning temperature and humidity in records storage areas is consistency. Record mediums are injured by great fluctuations of temperature and humidity. Excessive heat can cause paper and microforms to become brittle, while high humidity promotes the growth of fungus that can rot paper and leather and breakdown the composition of microfilm. Therefore, you should avoid storing records in attics, basements, garages and warehouses that are not in some way climatically controlled.

Ideally the temperature should be in the 65-70 degrees Fahrenheit range. The ideal level of humidity for paper is 45-55 percent; for microfilm, it is 30-40 percent. When storing these record forms together, 40 percent humidity is a good compromise. More importantly, humidity fluctuations of more than 5 percent up or down should be avoided. In situations where even minimal control of relative humidity is difficult to achieve, an effort should be made to keep air circulating through the record area. Mildew is more likely to grow if air is stagnant.

Avoid storing records in areas where there is smoke, dust or chemical fumes produced by paints or copying devices. Direct sunlight and bright lights will also shorten the life of paper and microforms.

7. **Storage and Handling** — When planning the storage of records, the primary concerns should be ease of access, preservation of records and security. Records should always be stored in the like series and should never be loose. They should always be left in file folders and placed in suitable boxes. If the records require a long retention period or are of permanent value, they should be placed in acid-free folders and acid-free cardboard boxes. Paper records should not be folded or rolled and metal paper clips and rubber bands should be removed before storage. Storage boxes should be of uniform size. Boxes that hold 1 cu. ft. of records are best. (*A letter-size file drawer contains 1.5 cu. ft. of records and a legal-size file drawer contains 2 cu. ft.*) Boxes should be filled but not packed so tightly that materials are difficult to remove. Papers within a box should be kept in folders and should be removed in these folders and not extracted by individual sheets.

Remember, records that are no longer active but still need to be retained may be transferred to the State Records Center in Springfield after they have been inventoried by the State Records Unit. The Records Center stores records in an environmentally sound structure.

If your agency stores large quantities of records in your own centers, please note the following guidelines:

- Store boxes of records on sturdy shelving.
- All records should be at least three inches off the ground.
- Open spaces should be left around shelves to allow for air circulation.
- Avoid stacking boxes on top of boxes after they are two-high.
- Keep storage area free of food, beverages and plants to prevent possible soiling of records and to reduce the possibility of attracting insects and rodents.
- Paper records and working copies of microfilm should be handled only with clean hands.

B) PREPAREDNESS

A disaster can be any event of unexpected timing that produces destructive results. To be prepared for the unexpected:

- Determine what records you have in your care.
- Identify the locations of each record series.
- Decide which records have priority as being “vital” or “essential.”
- Know who to contact for emergency help or supplies in order to restore your operation and perform your normal services.
- Decide who will have what responsibilities in various emergency situations.

To learn exactly what records are under your control, a complete records inventory should take place. This can be accomplished with the aid of records analysts from the Illinois State Archives. Your inventory will list the volume and dates of each record series. With this information you can now prepare a “map” of where each record series is located.

Each agency should tailor a vital records plan that fits its individual needs and function. Most disasters will be caused by human error or sabotage. However, a complete plan should also prepare for “any emergency arising from enemy attack or natural disaster.” Agency officials should decide which records would be most necessary for the continuity of government functions during an emergency and which records would be most essential for the reestablishment of agency and government functions after the emergency situation has passed.

Agency officials should consider duplicating information deemed vital and which cannot be recreated from any other source. A security copy of these records (*microfilm, paper, computer software*) should be stored off-site. Remember, if vital records are maintained in machine-readable form, equipment is needed to provide access to the information. A copy of the program or other information required to use the records should be stored with them. State agencies are encouraged to store security copies of microfilmed records in the Illinois State Archives.

Each agency should devise a master plan for various emergency situations. This plan should identify vital records and their locations. The plan should include the duties of each person during a disaster. It should also contain a list of contacts that can provide assistance and supplies for various emergency situations. The person in charge of recovery must:

- have complete authority and be able to direct cooperation from everyone,

- be temporarily free of all other obligations to the organization, and
- be able to manage people and make decisions within a short span of time.

C) PROMPT ACTION

If a disaster affects your agency's records, immediately contact the State Records Unit at 782-2647. The staff will be able to help you make emergency record disposals and advise you on record restoration.

When responding to a disaster that has affected the structure of your building, be sure the area is safe to enter. Always consult with gas, electrical and structural officials before entering. Before attempting any records salvage, meet with the people whose records are involved to establish priorities and later to identify material. The State Archives staff can advise and assist state agencies with the restoration of damaged records.

In general, if large volumes of needed paper records become wet, it is best to freeze these records within three days and store them until they can be commercially dried by techniques such as vacuum drying at the McDonnell-Douglas Corporation in St. Louis. Store wet and frozen records in plastic milk cases on wooden pallets to facilitate moving, freezing and drying. Photographs, negatives, films and sound recordings must not be frozen but rather sent to professionals for restoration within three days. Wet microfilm and photographic film may be kept in cool, clean unchlorinated water for up to three days before being professionally restored.

5. FILES MANAGEMENT AND EQUIPMENT

A well-organized filing arrangement is a must for any office. State agencies should decide on a filing system and equipment that fits the specific needs of their offices. Regardless of the system you choose, the most important element is that you know exactly where files are located when you need them. Finding the information needed, being able to extract that information from records in existence, and being sure the information is in a usable format is dependent upon an efficient universal filing system. Everyone in the agency should know and use the system.

Before an adequate filing system can be instituted there should be a complete inventory of your records with retention periods established for each record/record series. This service is provided free by the State Records Unit and is described in Section 1 of this handbook.

Once you have an approved application for authority to dispose of records, you can then begin a real files management system. One of the first things you will want to do is establish procedures for determining which records are active and which are inactive. Only active records should be in filing equipment near your office space. Inactive records should be kept in an inactive records storage area, or in the State Records Center. This will save storage costs, equipment costs, reduce retrieval and reference time and aid in overall efficiency and cost savings. While you are evaluating your records, you also should determine which records are essential for emergency government operations in case of disaster. You should establish a system for the protection and preservation of these records in the event of emergencies.

Many officials feel that the greatest disaster that can occur in a public office is the misplaced or lost file. It is estimated that 5-7 percent of all files are either lost or misplaced. If you are in a situation where a record is needed but cannot be found, a search should help find the record:

1. Look in the desk tray.
2. See if the paper is improperly arranged in the folder.
3. Look in the folder just in front and behind the proper folder.

4. Look in the space just in front, behind and under the proper folder.
5. In alphabetical systems, look under names that have a similar spelling or sound.
6. In alphabetical systems try other indexing units.
7. Look under names or topics that are related in some way to the lost record.

One trend in office equipment is the use of lateral shelves and cabinets instead of vertical file drawer systems. Various styles of lateral shelves allow for more filing inches per square foot of floor space than do vertical file systems. Also, some agencies have purchased mobile shelving systems to save space, and color-coded files to speed access and help avoid misfiling. Contact the State Records Unit to discuss the advantages and disadvantages of various systems, equipment and supplies.

Another trend is the elimination of legal-size (8 1/2" x 14") documents, forms, file folders, supplies and equipment. Legal size equipment costs 13 percent more than letter size (8 1/2" x 11") and uses 16 percent more floor space. Federal courts and Illinois state courts accept only letter-size documents. State agencies are urged to eliminate the use of legal-size files with possible exceptions made for accounting records, architectural and engineering documents, and computer printouts.

6. FORMS MANAGEMENT

Forms are the most widely used type of record. In most offices 75-90 percent of all records are forms of some sort. They serve as the major means of communicating information in a methodical, standardized and repetitive way. Forms often guide the flow of work through an office or agency and facilitate the rapid collection and transmittal of information in compact form.

However, agencies often have too many forms. Frequently, these require an excessive amount of information; tend to confuse, slow down and increase the chance of error by the user. Also, many are retained longer than necessary. While the cost of producing forms seems to be the primary concern of most agencies, it is currently estimated that for every dollar spent on paper and printing, \$20 is spent for processing, storing and handling.

Records managers should establish forms control procedures as part of their total records management program. These procedures should involve routines for designing, ordering, storing, distributing, reordering, reviewing and disposing all of their agency's forms. The retention period for each form should be determined when the form is created.

The objectives of a forms management program are:

- controlling the design, issuance and use of forms in an entire agency;
- analyzing the cost of forms in relation to the value of the information provided;
- establishing standards for uniformity and simplicity of forms;
- improving the appearance and functional efficiency of forms;
- eliminating unnecessary forms and unnecessary items on forms;
- consolidating forms serving similar purposes at various levels of operation to prevent overlapping and duplication; and
- determining appropriate methods of form reproduction, stocking and distribution.

An effective forms management program will make your office more efficient while reducing your labor, material and storage costs. For more information on forms management and design, please contact the Forms Management Section of the Department of Central Management Services at (217) 782-8035.

Records Management Guides

1. Conversion Chart — Cubic Feet Measurements

| | |
|------------------------------------|-----|
| Letter-size drawer or box | 1.5 |
| Legal-size drawer or box | 2.0 |
| Letter-size, 36" shelf | 2.0 |
| Legal-size, 36" shelf | 2.5 |
| 3" x 5" card, ten 12" rows | 1.0 |
| 3" x 5" card, five 24" rows | 1.0 |
| 4" x 6" card, six 12" rows | 1.0 |
| 4" x 6" card, three 24" rows | 1.0 |
| 5" x 6" card, four 12" rows | 1.0 |
| Tab card, five 14" boxes | 1.0 |
| Tab card, three 24" boxes | 1.0 |

2. Weights of various types of material:

| | |
|-------------------------|----------------------|
| Letter-size files | 30 lbs. per cu. ft. |
| Legal-size files | 35 lbs. per cu. ft. |
| Books | 20 lbs. per cu. ft. |
| X-rays | 96 lbs. per cu. ft. |
| Office supplies | 40 lbs. per cu. ft. |
| 3" x 5" cards | 50 lbs. per cu. ft. |
| 4" x 6" cards | 50 lbs. per cu. ft. |
| 5" x 8" cards | 50 lbs. per cu. ft. |
| Tab cards | 50 lbs. per cu. ft. |
| Computer reel | 3-5 lbs. per cu. ft. |
| Disk pack | 7-8 lbs. per cu. ft. |

3. Floor space required for file cabinets:

- A. Legal-size — 8 sq. ft.
 - B. Letter-size — 6 sq. ft.
- (Includes working space and aisles)*

4. Volume per cubic foot:

| | |
|---|--------|
| Number of tabulating cards per cu. ft. | 10,000 |
| Number of 3" x 5" cards per cu. ft. | 12,000 |
| Number of 4" x 6" cards per cu. ft. | 6,000 |
| Number of 5" x 8" cards per cu. ft. | 4,800 |

**Secretary of State
Archives Division**

Inventory Work Sheet

Date 1-4-00

Item Number 1

| | | |
|---|--|---|
| Record Series <i>Auto Usage Reports/Monthly</i> | | Agency <i>Secretary of State</i> |
| <i>Automotive Cost Report</i> | | |
| <i>(Duplicate)</i> | | Division <i>Archives and Records</i> |
| Dates <i>2000</i> | | Subdivision <i>Records Management Section</i> |
| Volume <i>1/4 cu. ft.</i> | Annual Accumulation <i>negligible</i> | Office Location <i>1st floor East Archives Building</i> |
| Number and Size of Files or Documents <i>various</i> | | Representative (Name, Title and Phone) <i>John Doe, Office Manager</i> |
| Arrangement <i>By Auto License Plate #</i> | | Index or Finding Aid <i>none</i> |

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

This record series consists of the office's copy of the monthly auto usage report, the original of which is submitted to the Secretary of State's Property Control Department indicating the quantity and cost of gasoline and oil purchased each day and whether the purchase was made at a state garage or at an outside vendor. Also summarized are the total expenditures for that vehicle's operation for the month, such as any labor charges, parts and fittings, anti-freeze, or batteries purchased by the operator at state garages or at an outside vendor.

Recommendation:
Retain one (1) year in office, then dispose of.

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS

STATE OF ILLINOIS
STATE RECORDS COMMISSION

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

AGENCY

Office of the Secretary of State

DIVISION

Senior & Community Services

SUBDIVISION

Volunteer Coordination

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 COPIES WILL BE MADE IN ACCORDANCE WITH THE STANDARDS OF THE STATE RECORDS COMMISSION AND WILL BE ADEQUATE SUBSTITUTES FOR THE ORIGINAL RECORDS.

Besse White

SIGNATURE OF AGENCY HEAD

4/28/00

DATE

ACTION TAKEN BY THE
STATE RECORDS COMMISSION

John Daly

CHAIRMAN

Thomas F. Schwartz

SECRETARY

4/28/00

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 AND THE ORIGINAL HARDCOPY RECORD DISPOSED OF IF THE RECORD IS MICROFILMED IN ACCORDANCE WITH THE STANDARDS OF THE STATE RECORDS COMMISSION RULES AND IF THE FILM IS RETAINED FOR THE PRESCRIBED RETENTION PERIOD. **DISPOSAL OF RECORDS AFTER MICROFILMING MUST BE NOTED ON A RECORDS DISPOSAL CERTIFICATE.**

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

STATE OF ILLINOIS RECORDS DISPOSAL CERTIFICATE

APPLICATION FOR AUTHORITY TO DISPOSE
OF STATE RECORDS # 83-5

To:
Office of the Secretary of State
State Records Commission
Illinois State Archives
Springfield, Illinois 62756

From:
Office of the Secretary of State
Agency
Archives/Records Management
Division, Bureau, Section

| ITEM NUMBER FROM APPLICATION | TITLE OF RECORD SERIES | INCLUSIVE DATES | CUBIC FEET TO BE DESTROYED |
|------------------------------------|------------------------------|--------------------|----------------------------------|
| 1 | Auto Usage Reports | 1990-1991 | 2 |
| 2 | Statistical Reports | 1989-1991 | 1 |
| 3 | Attendance | 1987-1991 | 1 |
| 4 | Inactive Personnel Files | 1988-1991 | 1 |

DIRECTIONS

1. Prepare one original and two carbons. Send the original and one carbon to the State Records Commission thirty (30) days prior to the disposal date. Retain one carbon for your file.
2. Do not dispose of materials until one copy is returned to your agency signed by the Chairman of the State Records Commission, in compliance with Section 4400.40(b) of the rules of the State Records Commission.

I hereby certify that in compliance with the above referenced application, # 83-5 received from the State Records Commission, the records listed above will be disposed of on or after Feb. 8, 2000.

Mark W. Sorensen

2/8/00

Signature

Date

Mark W. Sorensen, Assistant Director

Title

APPROVED:

John Daly

2/8/00

Chairman, State Records Commission
Director, Illinois State Archives

Date

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 _____ Division _____ Section _____ Date of Transfer: _____ | | | |
|---|-----------------|------------------|--------------------------------|
| Contact: Name _____ Phone: _____ Division _____ Section _____ Address _____ <div style="display: flex; justify-content: space-between; font-size: small; margin-top: 5px;"> (Address) (City) (ZIP) </div> | | | |
| State Records Commission Application and Item Number | Box or Vol. No. | Dates of Records | Titles and Contents of Records |
| | | | |
| For Archives use: Accession no. _____ Group _____ Series _____ Accessioned by _____ Date _____ | | | |

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.

JOHN DALY
Director
Illinois State Archives

ARCHIVES RECORDS TRANSFER SHEET
(supplementary page)

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

Received from: DEPARTMENT _____

DIVISION _____

| | | |
|--------------------------|----------------------|------------|
| For Archives use: | | |
| Accession no. _____ | Accessioned by _____ | Date _____ |

| State Records Commission Application No. | Box or Vol. No. | Titles, Dates and Contents of Records | For Archives Use |
|--|-----------------|---------------------------------------|------------------|
| | | | |