

# ILLINOIS STATE POLICE DIRECTIVE

## ADM-137, RECORDS RETENTION/DESTRUCTION SCHEDULES

<b>RESCINDS:</b> ADM-137, 2011-021, revised 03-01-2011.	<b>REVISED:</b> 09-04-2015 <b>2015-067</b>
<b>RELATED DOCUMENTS:</b> ADM-104	<b>RELATED CALEA STANDARDS:</b> 26.1.8, 32.2.3, 32.2.9, 35.1.5, 35.1.13, 41.3.8, 42.1.3, 42.2.1, 43.1.1, 51.1.1, 52.1.2, 52.1.10, 82.1.1, 82.1.2, 82.1.3, 82.3.5

### I. POLICY

The Illinois State Police (ISP) will ensure all divisions develop and maintain approved records retention/destruction schedules.

### II. AUTHORITY

- II.A. 5 ILCS 160/1, et seq., the "State Records Act"
- II.B. 44 IL Admin Code Part 4400, "State Records Commission Rules"
- II.C. 5 ILCS 170/0.01, the "Filmed Records Reproduction Act"

**NOTE:** The State Records Act along with the State Records Management Manual, the Guidelines for Use of the State Records Center, the proper procedures for submitting records retention destruction applications, records/archives transfer sheets, and disposal certificates are located at: [http://www.cyberdriveillinois.com/departments/archives/records\\_management/](http://www.cyberdriveillinois.com/departments/archives/records_management/)

### III. DEFINITIONS

**NOTE:** This directive pertains to records only. The State Records Act does not cover non-record material.

- III.A. Record or record materials - 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.
  - III.A.1. The State Records Commission (the Commission) has set standards regarding the quality, preparation and identification of records, and proper certification of copies.
  - III.A.2. The Commission must approve any microphotographic process prior to implementation.
- III.B. Non-record material - material not filed as evidence of administrative activity or for its information content.
  - III.B.1. Extra copies of documents preserved only for convenience of reference.
  - III.B.2. Stocks of printed or reproduced documents kept for supply purposes, where file copies have been retained for record purposes.
  - III.B.3. Books, periodicals, newspapers, posters, and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes.
  - III.B.4. Private materials neither made nor received by a State agency pursuant to State law or in connection with the transaction of public business.
  - III.B.5. 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.

- III.B.6. 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.

**NOTE:** Whenever doubt arises whether certain papers are non-record material, treat the material as records.

- III.C. Records Retention Schedule – Formally known as the Application for the Authority to Dispose of Records, 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. The schedule is of no force unless approved by the State Records Commission (see Section 17 of the State Records Act).

#### IV. RESPONSIBILITY

- IV.A. Each Division Colonel will:

- IV.A.1. Develop records retention/destruction schedules for division documents/records that have been determined to meet the definition of a record as stated in the State Records Act.

- IV.A.2. Select a Division Records Retention Coordinator (DC) who will be responsible for division records and provide the name of the individual to the Agency Records Retention Coordinator (AC), located in the Central Printing Section, Logistics Bureau, Division of Administration.

- IV.B. The AC will:

- IV.B.1. Provide all DCs with the Secretary of State, State Records Center (SOS-SRC) representative's contact name and telephone number for specific assistance.

- IV.B.2. Provide DCs with the web address of the State Records Act, the State Records Management Manual, and the proper procedures for submitting records retention destruction applications, records/archives transfer sheets, and disposal certificates at: [http://www.cyberdriveillinois.com/departments/archives/records\\_management/](http://www.cyberdriveillinois.com/departments/archives/records_management/).

- IV.C. DC responsibilities

- IV.C.1. Records retention/destruction schedules will be developed for those division documents/records that have been determined to meet the definition of a record, as stated in the State Records Act, and do not have records retention/destruction schedules developed (see Addendum 1).

- IV.C.2. The DC will contact, via e-mail, the AC to initiate new schedules and to apply for disposal of records currently on a records retention/destruction schedule (see Addendum 1).

- IV.C.3. When records are transferred to the SOS-SRC, or to the Illinois State Archives (the Archives), SOS, the appropriate transfer sheets must be completed and forwarded with the records (see Addendum 1).

#### V. PROCEDURES

- V.A. Colonel Annual Review

- V.A.1. Each Colonel will complete an annual review of his/her division records retention/destruction schedules to ensure any new records or forms developed or currently in use are added to a

records retention/destruction schedule. Likewise, deletions, other changes, or a statement that no changes exist is to be documented.

V.A.2. This review is to be completed by July 1 of each year and forwarded to the Director's Office by August 1 for review by the Chief Legal Counsel, with a copy forwarded to the AC.

V.B. Retention and Storage

V.B.1. Records awaiting records destruction schedules may be stored within an appropriate space that is free from the threat of damage or destruction due to fire, theft, sabotage, water damage, pollution, high humidity, and direct sunlight or bright lights.

V.B.2. Permanent records retention schedules may be stored at the Archives for a relatively low cost. An Archives Records Transfer Sheet, form AR D-50.1, must be completed and the records transferred to the Archives by the requestor with notice to the DC and AC.

V.B.3. When there is a need to store great quantities of document information, the Commission has set standards for reproduction of public records by microfilm, CDs, tapes, reels, removable hard drives, etc. including:

V.B.3.a. Quality of any reproduction process approved by SOS

V.B.3.b. Preparation and identification of records

V.B.3.c. Proper certification of copies

V.B.3.d. Proper care and storage of reproduction materials, in moderate temperatures (65-70 degrees) and humidity levels (30-50 percent)

**NOTE:** Original records that have been copied into another format cannot be destroyed except consistent with a records schedule approved by the Commission and after filing of a Statement of Compliance. For additional information, refer to the State Records Act that provides details of the State Records Commission Rules.

V.B.4. Secure Retention

The records retention/destruction schedule will specifically assign responsibility for the secure retention of at least the following categories of information:

V.B.4.a. Background information on job applicants

V.B.4.b. Results of physical, emotional stability, and psychological examinations of applicants

V.B.4.c. Performance evaluation reports

V.B.4.d. Audio/video tapes from mobile video surveillance cameras that are not specifically needed for evidentiary purposes

V.B.4.e. Personal background information gathered as part of a criminal case investigation

V.B.4.f. Criminal intelligence

V.B.4.g. Internal investigations

V.B.4.h. Juvenile identification information (fingerprints, photographs, and other forms of identification)

V.B.4.i. Backups of computer information, both mainframe and personal computers

V.B.4.j. Any central records retained in operational units

**NOTE:** The SOS may accept for deposit in the State Archives official papers, photographs, microfilm, electronic and digital records, drawings, maps, and writings when such materials are deemed by the SOS to have sufficient historical or other value to warrant their continued preservation by the state of Illinois.

| Indicates new or revised items.

**-End of Directive-**

**ILLINOIS STATE POLICE DIRECTIVE  
ADM-137, RECORDS RETENTION/DESTRUCTION SCHEDULES  
ADDENDUM 1, APPLICATION PROCESS, RECORDS DISPOSAL CERTIFICATE,  
RECORDS TRANSFER SHEET, AND ARCHIVES TRANSFER SHEET**

<b>RESCINDS:</b> ADM-137, 2011-021, revised 03-01-2011.	<b>REVISED:</b> 09-04-2015 <b>2015-067</b>
<b>RELATED DOCUMENTS:</b> ADM-104	<b>RELATED CALEA STANDARDS:</b> 26.1.8, 32.2.3, 32.2.9, 35.1.5, 35.1.13, 41.3.8, 42.1.3, 42.2.1, 43.1.1, 51.1.1, 52.1.2, 52.1.10, 82.1.1, 82.1.2, 82.1.3, 82.3.5

**Records Retention/Destruction Application Process**

1. The Division Coordinator (DC) submits a description, via an email, to the Agency Coordinator (AC) of materials that may be determined to meet the definition of a record.
2. The AC researches applications on file to determine if the description pertains to any other record previously approved. If found to be a new record, the AC will start a temporary file and enter information into the records retention database.
3. The AC informs the DC to contact the Secretary of State, State Records Center (SOS-SRC) representative for specific assistance and provides the contact name and telephone number. The SOS-SRC representative will confer with the DC with details of preparing the application, setting retention/destruction timelines and will assign an application number. The application is returned to the AC who is responsible for updating the system and forwarding to the DC.
4. The DC reviews the application for completeness and confers with the SOS-SRC representative if changes are needed. If no changes are needed, the DC forwards the application through the chain-of-command to the Director's Office (with the Legal Office's concurrence) for review.
5. Upon the Director's approval and signature, the application is returned to the DC for forwarding to the SOS-SRC. The application must be approved by the State Records Commission (the Commission), which meets monthly to review and approve applications.
6. Upon approval of the application by the Commission, it is returned to the AC for recording and forwarding to the appropriate DC.

**Records Disposal Certificate/Records Transfer Sheet/Archives Transfer Sheet**

1. Upon completion of an approved retention period for a record, the DC will complete a Records Disposal Certificate (RDC) and forward it to the AC. The AC initials, dates, and forwards the RDC to the SOS-SRC representative for signature. When approved, the SOS-SRC returns the RDC to the AC.

**NOTE:** Disposal Certificates 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 Commission Chairperson.

2. The AC will forward the approved RDC to the DC for the disposal of records in accordance with certificate guidelines.
3. It is the responsibility of the DC to determine which records are eligible for transfer to the SOS-SRC. The DC completes a Records Transfer sheet.
4. The DC also determines which records to transfer to the legal custody of the Illinois State Archives for permanent retention. The DC completes an Archives Record Transfer Sheet identifying those records transferred.

**ADM-137, Records Retention/Destruction Schedules  
Addendum 1, Application Process, Records Disposal Certificate, Records  
Transfer Sheet and Archives Transfer Sheet**

**Page 2 of 2**

5. The necessary forms/paperwork and informational manuals are available through [http://www.cyberdriveillinois.com/departments/archives/records\\_management/](http://www.cyberdriveillinois.com/departments/archives/records_management/).

| Indicates new or revised items.

**-End of Addendum-**