

LOCAL RECORDS ACT

VISITING THE SECRETARY OF STATE WEBSITE

<http://cyberdriveillinois.com>

The screenshot displays the homepage of the Illinois Secretary of State website. At the top, there is a navigation bar with links for ABOUT US, SERVICES, PUBLICATIONS, NEWS, DEPARTMENTS, CONTACT US, and a SEARCH box. Below this is a banner featuring a portrait of Jesse White, the Secretary of State, and the text "JESSE WHITE SECRETARY OF STATE" and "ILLINOIS". The website URL "WWW.CYBERDRIVEILLINOIS.COM" is visible in the top right corner of the main content area.

The main content area is divided into several sections:

- Trending Now!**: A section with a dropdown arrow and a list of trending items.
- eServices**: A section with a dropdown arrow and a list of services.
- Driver's License**: A section with a dropdown arrow and a list of services.
- Vehicles**: A section with a dropdown arrow and a list of services.
- Business**: A section with a dropdown arrow and a list of services.
- Featured Video**: A section with a dropdown arrow and a list of videos.

On the right side of the main content area, there is a vertical list of services with icons:

- Facility Finder
- License Plates Renewal
- LifeGoesOn
- E-mail My Renewal Notice
- Pick-a-Plate

At the bottom of the page, there is a "Quick Links" section with a grid of links:

Adult Driver Education	Illinois Handbook of Government	Rules of the Road
AvoidTheScam.net	Illinois State Archives	ReportNew.net
Bad/Defective License Plates	Illinois State Library	Teen Driver Safety
Emergency Contact Database	Law Updates 2015	Vendor Certification Form
Freedom of Information	License Plate Guide	You Tube Channel
Get Browse Aloud	Motor Voter	
Illinois Blue Book	Persons with Disabilities Parking Complaint Form	

At the bottom right of the page, there is a logo for "PHONE IN THE HAND TICKET IN THE STREET DROP IT AND DRIVE".

At the very bottom of the page, there is a footer with links for Terms of Use, Privacy Policy, Land of Lincoln Screensever, National Center for Missing & Exploited Children, and Amber Alert.

Click on Departments (located at the top of the page), then Illinois State Archives, then State and Local Records Management. Or, under "Quick Links" (located at the bottom of the page), click on Illinois State Archives, then State and Local Records Management.

Office of the Secretary of State Jesse White
CYBERDRIVEILLINOIS.COM

FAQs for Local Government Agencies Illinois State Archives

What types of agencies are subject to the Local Records Act?

All county agencies, all municipal agencies, all township offices, public school districts, public junior colleges, special districts such as Auditorium Districts, SWCD Districts, Mosquito Abatement Districts, Fire Protection Districts, Library Districts, Local Airport Authorities, MEG Units, etc. are subject to the Local Records Act.

What is a public record under the Local Records Act?

Public record means any book, paper, map, photograph 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. The preceding definition includes among other things, microfilm, magnetic tapes and punch cards.

Are faxes, videos, emails, and instant messages records, etc.?

Yes, depending on the information contained in the fax, email or instant message or the information recorded on the DVD, cd, video, or cassette tape, etc. If the information fits the definition above of a public record as described in the Local Records Act, then the information is subject to the provisions of the Act regardless of the media the data is maintained in or on. Data can be stored on many types of media including cassette tapes, magnetic tapes, floppy disks, hard-drives, cd's, dvd's, thumb drives, etc.

If our agency has a Facebook, Twitter, Blog, Myspace page, etc. can those contain records under the Illinois Local Records Act?

Yes. Those postings that fit the definition of a public record under the Illinois Local Records Act can only be deleted if they are listed on your Application for Authority to Dispose of Local Records and if the records have been listed on a Local Records Disposal Certificate and submitted to our office for review and approval.



There is no single retention period that applies to all electronic messages or communications, whether they are sent by email, instant messaging, text messaging (such as SMS, Blackberry PIN, etc), multimedia messaging (such as MMS), chat messaging, social networking (such as Facebook, Twitter, etc.), or any other current or future electronic messaging technology or device. Retention periods are determined by the content, nature, and purpose of records, and are set based on their legal, fiscal, administrative, and historical values, regardless of the format in which they reside or the method by which they are transmitted. Electronic communications, as with records in other formats, can have a variety of purposes and relate to a variety of program functions and activities. The retention of any particular electronic message will generally be the same as the retention for records in any other format that document the same program function or activity. For instance, electronic communications might fall under a Administrative or General Correspondence series, a Budget Record series, or one of numerous other series, depending on the content, nature, and purpose of each message. Electronic communications that are created primarily to communicate information of short-term value, such as messages reminding employees about scheduled meetings or appointments, might fall under the Transitory Message series.

What is not a Public Record?

Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of blank forms are not included within the definition of records. Transitory messages (see below) are also not considered records. Disposal certificates are not needed to dispose of materials that are not public records.

What is a Transitory Message?

Transitory messages consist 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.

What is the penalty for violating the Local Records Act?

It can be a Class 4 Felony under the Illinois Criminal Code.

Can I make up my own retention policy or should we hire a consultant?

Only the Local Records Commission and Local Records Commission of Cook County can determine how long your agency must retain records. Under the Illinois Local Records Act, each unit of local government must submit an application that lists the records held by your agency.

The formal name for this form is called an Application for Authority to Dispose of Local Records. Each agency must have their own application. If you do not know if your agency has a previously approved application, first contact the head of your agency. If the head of your agency does not have the original signed application on file, then please call our office at 217-782-7075 or 217-782-7076 and we will check to see if your agency has ever filed an application with the Commission. We will either send you a copy of your application or schedule an appointment to have one of our Local Records Unit Field Representatives inventory your records and prepare an application for your agency.

If a transitory message meets the criteria to be defined as a public record under the Local Records Act, how long do we keep it?

If the messages have a bearing on actions or decisions taken or not taken, then they would be classified as a public record under the Local Records Act. Agencies would then be required to apply the appropriate retention period established by their Applications for Authority to Dispose of Local Records and submit a Local Records Disposal Certificate prior to the intended destruction of the records.

If a transitory message does not fall under the Local Records Act, do we still have to fill out a Local Records Disposal Certificate?

No. Examples of transitory messages which would not require the filing of a Local Records Disposal Certificate, include but are not limited to messages (whether in paper, voicemail or other electronic form) that are not intended to formalize or perpetuate knowledge and do not set policy, establish guidelines or procedures, certify a transaction or become a receipt; 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; reminders to employees about scheduled meetings or appointments; messages notifying agency personnel of incoming calls/messages and/or requesting return calls documenting no specific actions; etc.

When do Local Records Disposal Certificates Need to be submitted?

Thirty (30) days prior to the disposal or destruction of any records, regardless of physical format or characteristics, the head of the agency shall submit a Local Records Disposal Certificate to the Records Management Section of the Office of the Secretary of State and proceed with disposal only after a copy of that certificate has been reviewed and approved by

the Records Management staff and returned to the agency. The original copy of this disposal certificate will be kept in the files of the Local Records Commission and the duplicate signed copy shall be retained permanently by the disposing agency.

Can we use a third party to store our records?

(50 ILCS 205/3a) (from Ch. 116, par. 43.103a)

Sec. 3a. Reports and records of the obligation, receipt and use of public funds of the units of local government and school districts, including certified audits, management letters and other audit reports made by the Auditor General, County Auditors, other officers or by licensed Certified Public Accountants permitted to perform audits under the Illinois Public Accounting Act and presented to the corporate authorities or boards of the units of local government, are public records available for inspection by the public. These records shall be kept at the official place of business of each unit of local government and school district or at a designated place of business of the unit or district. These records shall be available for public inspection during regular office hours except when in immediate use by persons exercising official duties which require the use of those records. The person in charge of such records may require a notice in writing to be submitted 24 hours prior to inspection and may require that such notice specify which records are to be inspected. Nothing in this Section shall require units of local government and school districts to invade or assist in the invasion of any person's right to privacy.

Who is to submit the Local Records Disposal Certificate?

At least 30 days before disposing of their records, agency chiefs shall fill out in duplicate a Local Records Disposal Certificate which shall show the date on which the records are to be disposed of, and the number of the application approved by the Local Records Commission authorizing the records destruction. This form shall be signed by the officer having jurisdiction over the records.

Can we scan our documents and/or microfilm them?

Local government agencies may microfilm or scan an original record and substitute it for the original if the scanned copies meet the guidelines of the Local Records Commissions or the rules and regulations for microfilming local government records.

The agency may dispose of the original of any reproduced record providing: (i) the reproduction process forms a durable medium that accurately and legibly reproduces the original record in all details, that does not permit additions, deletions, or changes to the original document images, and, if electronic, that are retained in a trustworthy manner so that the records, and the information contained in the records, are accessible and usable for subsequent reference at all times while the information must be retained, (ii) the reproduction is retained for the prescribed

retention period, and (iii) the Commission is notified when the original record (see Filing a Local Records Disposal Certificate) is disposed of and also when the reproduced record is disposed of.

Cook County has a Commission separate from the other 101 counties. Agencies from Cook County must therefore follow the Rules and Regulations of the Local Records Commission of Cook County.

If I want to microfilm records what laws and rules apply?

The Illinois Local Records Act, the Filmed Records Certification Act and the Filmed Records Destruction Act apply to all local government agencies in Illinois. See:

- [Local Records Act \(50 ILCS ACT 205\)](#)
- [Filmed Records Certification Act \(50 ILCS 210\)](#)
- [Filmed Records Destruction Act \(50 ILCS 215\)](#)

For more information concerning storage of records on microfilm by all local government agencies **outside** of Cook County, see:

- [Local Records Commission Rules - 44 Illinois Administrative Code, Part 4000.50](#) – Standards For The Reproduction Of Records By Microphotographic Processes With A View To The Disposal Of The Original Records.
- [Local Records Commission Rules - 44 Illinois Administrative Code, Part 4000.60](#) – Minimum Standards of Quality for Permanent Record Photographic Microcopying Film.

For more information concerning storage of records on microfilm by all local government agencies in Cook County, see:

- [Local Records Commission of Cook County Rules - 44 Illinois Administrative Code, Part 4500.50](#) – Standards For The Reproduction Of Records By Microphotographic And Electronic Microimaging Processes With A View To The Disposal Of The Original Records.
- [Local Records Commission of Cook County Rules - 44 Illinois Administrative Code, Part 4500.60](#) &mdah; Minimum Standards of Quality for Permanent Record Photographic Microcopying Film.

When do we file a Local Records Disposal Certificate if we have filmed or scanned our documents and wish to replace the original with a microfilm copy or digital surrogate?

If you scan or microfilm an original document and wish to dispose of the original, a [Local Records Disposal Certificate](#) must be filed with our office thirty (30) days prior to the destruction of the original. On the Disposal Certificate listing the documents that have been

filmed or scanned you will need to sign the microfilm/digital certification located in the lower left hand corner of the form and also sign the Disposal Certificate in the lower right hand corner of the form.

A Disposal Certificate is also to be filed thirty (30) days before the reproduced microfilm or digital record is disposed of. If you are disposing of scanned copies or microfilm please indicate after the record series title that these are microfilmed or scanned versions of the record and sign in the lower right hand corner of the form.

Disposal Certificates are to be retained permanently along with the agency's copy of their Application for Authority to Dispose of Local Records. Both documents are open records and should be available for public inspection at your agency.

Are there any rules regarding the destruction of local government agency records containing confidential information? Do we have to shred our records?

Neither Commission has adopted rules regarding this matter. However the Local Records Commission of Cook County has added the following policy statement to all recently approved applications:

"Subject to statutory provisions, agencies may dispose of records authorized for destruction by the Commission after the agency has received an approved Records Disposal Certificate from the Local Records Commission of Cook County listing the records to be destroyed or disposed of.

All records, regardless of physical format or characteristics, that by state or federal statute, agency rule, or policy contain information that is confidential, must be physically destroyed in a manner that such information cannot be identified or retrieved."

The Local Records Commission does not administer the Illinois Identity Protection Act; however, you may want to review it for more information regarding the protection of sensitive data by local government agencies.

Below is a list of resources currently available to assist local agencies with their records.

ILLINOIS STATE ARCHIVES

State and Local Government Records Management Programs

The Records Management Section of the Illinois State Archives is responsible for assisting state and local government agencies with the disposal of records. In Illinois, no public record may be disposed of without the approval of the appropriate records commission.

For information about the procedures to dispose of local government records, call 217-782-7075 or 782-7076. You may also contact our office through mail, fax or email.

Records Management Section

Illinois State Archives

Springfield, Illinois 62756

217-557-1928 (fax)

Illinois State Archives Contact Form: http://www.ilsos.gov/ContactFormsWeb/isa_contact.jsp. (Choose Records Management as the subject.)

Local Records Management Services — Local Government Agencies

- Cook County Local Records Commission Meetings
http://www.cyberdriveillinois.com/departments/archives/records_management/lrc_cook_county_meeting_schedule.html
- Cook County Local Records Commission Rules (44 Ill Admin Code Title PART 4500)
<http://www.ilga.gov/commission/jcar/admincode/044/04404500sections.html>
- Destruction of Public Records Penalty (720 ILCS 5/32-8)
<http://www.ilga.gov/legislation/ilcs/ilcs4.asp?DocName=072000050HArt%2E+32&ActID=1876&ChapterID=53&SeqStart=74000000&SeqEnd=77100000>
- Downstate Local Records Commission Meetings
http://www.cyberdriveillinois.com/departments/archives/records_management/lrc_downstate_meeting_schedule.html
- Filmed Records Certification Act (50 ILCS 210)
<http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=700&ChapAct=50%20ILCS%20210/&ChapterID=11&ChapterName=LOCAL+GOVERNMENT&ActName=Filmed+Records+Certification+Act>
- Filmed Records Destruction Act (50 ILCS 215)
<http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=701&ChapAct=50%20ILCS%20215/&ChapterID=11&ChapterName=LOCAL+GOVERNMENT&ActName=Filmed+Records+Destruction+Act>
- Guidelines for Using Electronic Records
http://www.cyberdriveillinois.com/departments/archives/records_management/electrecs.pdf
- Illinois School Student Records Act (105 ILCS 10)
<http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=1006&ChapAct=105%20ILCS%2010/&ChapterID=17&ChapterName=SCHOOLS&ActName=Illinois+School+Student+Records+Act>
- Local Records Act (50 ILCS ACT 205)
<http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=699&ChapAct=50%20ILCS%20205/&ChapterID=11&ChapterName=LOCAL+GOVERNMENT&ActName=Local+Records+Act>
- Local Records Disposal Certificate
http://www.cyberdriveillinois.com/departments/archives/records_management/lrmdisp.html
- Rules of the Downstate Local Records Commission (44 Ill Admin Code Title PART 4000)
<http://www.ilga.gov/commission/jcar/admincode/044/04404000sections.html>

Contact Information

Records Archivists – Local Records

Steve Colaizzi — (Boone, Cook [northwestern], DeKalb, DuPage, Kane, Lake and McHenry County)
630-293-5734
scolaizzi@ilsos.net

Jean Hynes — (Cook, Kendall and Will County)
708-873-7280
jhynes@ilsos.net

Deneena Norton — (east-central Illinois)
312-814-4445
dnorton1@ilsos.net

Dave Wooten — (north-western Illinois)
309-796-1219
dwooten@ilsos.net

Sandy Lucas — (south-central Illinois)
217-558-7219
slucas@ilsos.net

Mike Hall — (southern Illinois)
618-327-8464
mhall@ilsos.net

At the Archives

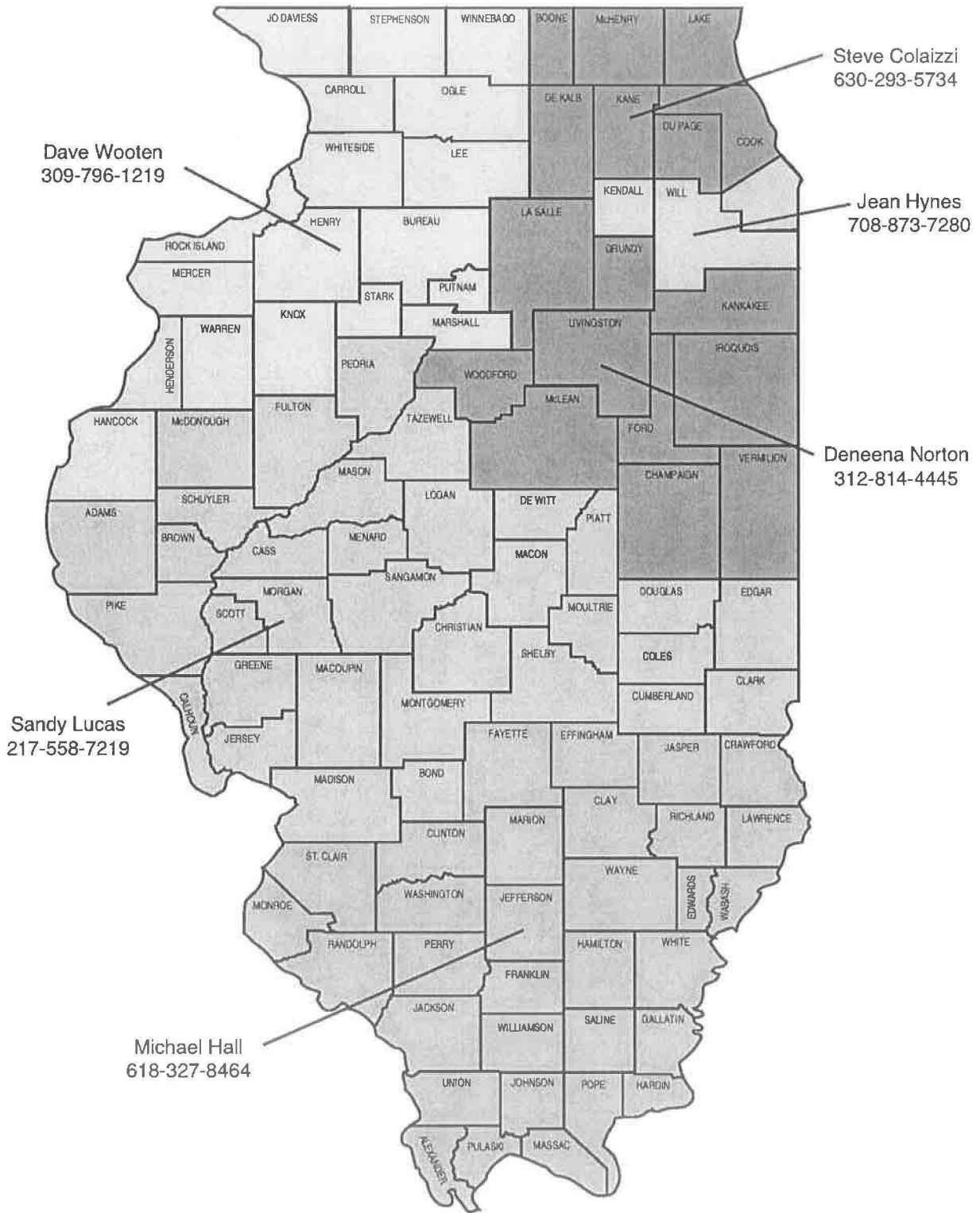
Robert C. Boots, CRM, Archival Program Administrator
Records Management (State and Local) Section Manager
217-782-1082
rboots@ilsos.net

Sheila Cowles, Administrative Assistant — Records Management Section (Processes Disposal Certificates)
217-782-1080
scowles@ilsos.net

Kris Stenson, Electronic Records Archivist (Can assist with questions related to electronic records)
217-557-1085
kstenson@ilsos.net

Local Records Representative Territories

Local Records Unit, Springfield, IL • 217-782-1080



CARBONDALE CITY CLERK

JACKSON COUNTY

APPLICATION 16:223

TABLE OF CONTENTS

ADMINISTRATIVE RECORDS	100 – 119
CONSTRUCTION AND LAND USE RECORDS	200 – 207
FINANCIAL RECORDS	300 – 308
PERSONNEL, PAYROLL, POLICE AND FIRE COMMISSION RECORDS	400 – 418
UTILITY RECORDS	500 – 504

APPLICATION FOR AUTHORITY TO
DISPOSE OF LOCAL RECORDS

Application No. 16:223
Page 2 of 23

(CONTINUATION SHEET)

ITEM NO.	DESCRIPTION OF ITEMS OR RECORDS SERIES
100.	<p style="text-align: center;"><u>ADMINISTRATIVE RECORDS</u></p> <p><u>APPLICATIONS FOR AUTHORITY TO DISPOSE OF LOCAL RECORDS AND LOCAL RECORDS DISPOSAL CERTIFICATES</u></p> <p>Dates: 1985- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>Recommendation: Retain permanently.</p>
101.	<p><u>ADMINISTRATIVE FILES AND CORRESPONDENCE INCLUDING EMAIL AND OTHER MEDIA CLASSIFIED AS GENERAL CORRESPONDENCE</u></p> <p>Dates: 2014- Volume: 1½ Cu. Ft. Annual Accumulation: ½ Cu. Ft. 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>APPLICATIONS FOR LIQUOR LICENSES AND LIQUOR LICENSE FILES</u></p> <p>Dates: 1988- Volume: 4 Cu. Ft. Annual Accumulation: 1 Cu. Ft. Arrangement: Numerical</p> <p>Recommendation: Retain applications for one (1) year after expiration, then dispose of. Retain liquor establishment files for five (5) years after closing of the business, then dispose of.</p>

RECORDS DISPOSAL CERTIFICATE

APPLICATION #: 96:220

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

COUNTY: Jackson

FROM: Carbondale City Clerk's Office

ADDRESS: 200 South Illinois Avenue, P.O. Box 2047
(Agency Division)
Carbondale, IL 62901
(Street, P.O. Box)
(City, ZIP Code)

Directions:

1. Fill in all blanks and columns.
2. Sign and send certificate to above address thirty (30) days prior to disposal date.
3. Retain records until approved copy is returned.

CONTACT TELEPHONE: (618) 457-3280

CONTACT EMAIL: jsorrell@ci.carbondale.il.us

APPLICATION ITEM NO.	RECORD SERIES TITLE	INCLUSIVE DATES	VOLUME OF RECORDS (Cu. Ft. or MB/GB)
101	Administrative Files and Correspondence (Includes email and other media classified as general correspondence)	2016	5.0
102	Applications for Liquor Licenses and Liquor License files	7/1/2015 - 6/30/2016	0.5
103	Bankruptcy and Foreclosure Notices	2014	0.25
104	Cancelled Bonds, Coupons, Municipal Bonds & Bond Transcripts	2010	0.5
105	Certificates of Publication	2016	0.25
106	Election Records	2016	0.25
107	FOIA Requests and Denials	2015	1.0
108	Grant Records (after completion of grant terms)	2014	3.0
109	Uniform Traffic Tickets and Complaints	2015	1.0
110	Inventory Records (after superseded by a new inventoryz)	2014	0.5
111	Legal Files - Lawsuits/Cases (post-settlement)	2014	3.0
111	Legal Files - other than legal opinions/lawsuits/cases	2009	
112	License and Permit Applications		0.50
	- for Building Permits	2012	
	- all other license applications	2016	
113	Minutes & agenda packets for all Boards/Commissions/Committee		0.5
	-Retain one original set permanently		
	- Duplicate copies	2016	
114	Non-traffic Complaint & Notice to Appear Tickets	2015	0.5
115	Permits for the disposition of a dead human body	2014	0.25
116	Returned Certified Mail	2016	0.25
117	Taxicab/TNC Inspection Checklists	2014	0.25
118	Meetings/Boards/Commissions Video & Audio Recordings	1/1/16 - 1/31/18	60 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.

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:

04/30/2018

Date

Signature

Jennifer R. Sorrell, City Clerk

Date

Print name and title on line above

Prepared by: Jennifer R. Sorrell

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

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. Sign and send certificate to above address thirty (30) days prior to disposal date.
3. Retain records until approved copy is returned.

APPLICATION #: _____

COUNTY: _____

FROM: _____
(Agency Division)

ADDRESS: _____
(Street, P.O. Box)

(City, ZIP Code)

CONTACT TELEPHONE: (_____) _____

CONTACT EMAIL: _____

APPLICATION ITEM NO.	RECORD SERIES TITLE	INCLUSIVE DATES	VOLUME OF RECORDS (Cu. Ft. or MB/GB)

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.

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:

_____ Date

_____ Signature _____ Date

_____ Print name and title on line above

Prepared by: _____

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

Reliable Storage Media for Electronic Records A Guide for Government Agencies

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

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

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

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

- 1) **Durability:** Durability is a factor representing the ability of electronic storage media to withstand wear and environmental conditions. Corruption (data rot) can occur as the electrical charge, magnetic orientation, or physical material degrades, causing unintended changes or loss of data.
 - **Assessing Durability:** Durability of media is commonly expressed in terms of "mean time between failures," which indicates how long a given drive/tape/disk can be expected to operate before failure.

- 2) **Widespread Adoption and Use:** Widespread adoption and use is a factor indicating a wide user base, meaning more stakeholders have a vested interest in keeping the storage media viable and well-supported. Widespread adoption also serves as an indicator of general media stability and generally provides a lower overall lifecycle cost of storage. The more widely a storage medium is used, the more likely it is to have long-term support to maintain it. Widely adopted technologies are typically documented and based on open standards supported by multiple hardware vendors. This reduces the chance of a medium becoming inaccessible due to one vendor going out of business.
 - **Assessing Adoption and Use:** While there is no universal benchmark that indicates something is "widely used" one should look for examples of a given technology being used by other institutions, government agencies and private corporations. Multiple manufacturers and distribution sources are also good indicators of a widely-used technology.

- 3) **Integrity:** Integrity is a factor indicating the ability of electronic storage media to protect against and correct data corruption. The use of parity bits, error correcting codes, checksum algorithms, physical and digital access controls, and other measures help ensure that data is not corrupted. The media format used and how data is stored on it

determines which of these measures can be applied. Compressed, de-duplicated, or encrypted data is more susceptible to corruption as non-functional software or an uncorrectable error can make a large amount of data unreadable.

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

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

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

Below is a list and descriptions of storage media formats currently recommended by the Illinois State Archives for use in storing electronic records. The list may be updated or expanded as technology warrants, so be sure to check for newer versions in the future. Questions about storage media should be directed to Kris Stenson, Electronic Records Archivist, at 217-557-1085 or kstenson@ilsos.net.

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

Storage Media

Long-term Retention

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

Magnetic Tape:

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

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

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

Pros of magnetic tape:

- Durability up to 30 years (best practice migration in 8-12 years)
- High capacity, low cost compared to other storage technologies
- Widely used, mature technology
- High transfer rates, low error rates
- Low energy consumption

Cons of magnetic tape:

- Slow access time (average 50 seconds)
- Wears out faster with frequent access

Hard disk drive (HDD):

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

however, so active monitoring, regular media refreshment and appropriate backups must be used to ensure the safety of the records stored within.

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

Pros of HDD:

- Rapid access to content
- High capacity, low initial cost
- Widely used, mature technology
- Easily scalable through networking

Cons of HDD:

- Short life span (average 4-6 years, best practice migration in 3-5 years)
- High energy consumption
- Expensive for large-scale applications or for long-term content
- Higher error rate than tape

Solid State Drive (SSD):

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

Pros of SSD:

- Resilient to physical shock
- Lower failure rate compared to standard hard drives
- Fast access time (<0.1 ms)
- Low energy consumption

Cons of SSD:

- High cost compared to other storage technologies
- Limited lifetime due to limited number of times a storage block can be written
- Susceptible to data loss due to power outages or long-term unpowered storage
- Maturing technology with most commercial availability beginning in 2007

Cloud storage:

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

warehousing with minimal security and upkeep to highly customized management of data, with integrity checks, enhanced security and faster access speeds.

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

Pros of cloud storage:

- Highest level of duplication and geographic redundancy
- Easy access from multiple locations
- Keeps up with technology trends without additional investment
- Trades unpredictable maintenance costs for known subscription fee
- Can be cheaper than investing in own technology

Cons of cloud storage:

- Relatively higher risk of security breach
- Laws may prevent the storage of certain types of sensitive data in the cloud
- Some providers may not be reliable or may go out of business
- Less control over data / loss of physical custody

Short-term (10 years or less) Retention

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

Optical Media:

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

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

prevent data corruption. The CD format includes strong error correction coding to prevent data loss due to scratches, fingerprints, or other environmental contaminants. CDs suffer from low capacity compared to other modern storage technologies.

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

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

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

Pros of optical media:

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

Cons of optical media:

- Not well-suited for frequent writing or for fast read access from multiple discs

- Limited capacity per disc compared to other modern storage
- Widely varying lifetime depending on use and care
- Aging technology being slowly replaced by flash media and cloud storage

Do Not Use

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

USB Flash Drive:

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

Pros of flash drives:

- Convenient
- Durable
- Widely supported
- Fast transfer rate (up to 5 Gbps with USB 3.0)
- Low energy consumption

Cons of flash drives:

- Easily misplaced or stolen
- Limited write protection
- Limited lifetime due to limited number of times a storage block can be written

Older magnetic tape formats:

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

Any size floppy, ZIP, JAZ disk

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

Additional Resources

Best practices for a digital storage infrastructure for the long-term preservation of digital files
(Digitizing Contemporary Art)

Best Practices for Media Selection and Migration (University of Illinois)

Selecting Storage Media for Long-Term Preservation (UK National Archives)

FAQ about Optical Storage Media (National Archives)

Monday, August 10, 2015

Social Media Records Retention Guidance for Local Governments

From Strategically Social: Social Media Records Retention Guidance for Local Governments

Is a social media post a public record that must be retained under state of Illinois record retention laws (i.e., Local Records Act or State Records Act)? The Illinois Secretary of State has answered that question with a "it depends" in a 2015 publication called "Government Records Law and Social Media: Guidance for Illinois Government Agencies."

The SOS first acknowledges that content on social media sites is more difficult for a government agency to control because these sites are (1) controlled by non-contracted third party entities and (2) are not subject to regulations that cover government agencies. As a result, the SOS cautions, these sites offer no guarantee that a government can control or capture everything that has been posted.

For the most part, the guidance offered by the SOS is consistent with the practice of most government bodies, with the exception of #5 regarding FOIA requests submitted via social media sites.

Here's a summary of the 5 guidelines in the SOS' publication:

1. Are social media posts public records?

Social media posts are public records if:

(a) the posts are made on an official public agency account or on a private account that is being used to distribute information for that agency to the public. Content posted on private accounts of public employees not used as part of their jobs is not a public record.

(b) the content posted is unique. So, if the same content is transmitted by a press release, newsletter, on the government's website, or some other method, then the government can retain the "traditional" and not the social media version.

2. How long do I have to retain a social media post that qualifies as a public record?

Social media content that qualifies as a public record will have different retention requirements, depending on the nature of the post because records retention is based on the content of the record, not its format. For example, a social media post that includes responses should be treated like correspondence. The dissemination of information, on the other hand, is treated like press releases, meeting notices, and other informational notifications.

3. Do comments from the public have to be retained?

Not necessarily, unless the comments trigger some action by the agency. So, if a resident posts a complaint about the government, and there is no response to that complaint, then it is not a public record. On the other hand, if a resident posts a complaint, and the government responds (either directly to the post or by taking some action to address the complaint), then the post is a public record.

The SOS also advises that governments do not have to maintain inappropriate comments or inflammatory language and can moderate their social media pages. However, governments should be careful in moderating posts so as not to implicate the First Amendment. Having in place a social media comment policy that informs members of the public of the type of posts and comments that will not be allowed is important.

4. How do I capture content from our social media accounts?

Most of the social media sites do not allow you to download activity logs, so governments need to consider alternative methods of retaining that content that qualifies as a public record. The SOS suggests capturing screenshots, or composing messages in local software, or using third party software that captures social media content automatically.

The SOS discourages governments from using private messaging services through these social media sites because they are difficult to retain.

5. Do we have to respond to FOIA requests submitted through social media.

The SOS says yes, taking a broad interpretation of section 3 of FOIA that states that "[w]ritten requests may be submitted to a public body via personal delivery, mail, telefax, or other means available to the public body."

This advice seems problematic for a number of reasons. First, if someone posts a comment on a government's Facebook page requesting a particular document, that post may or may not show up in the government's timeline due to Facebook's "formula" for publishing posts in the timeline. Second, it is not always the case that the FOIA officer is also the person administering and monitoring the government's social media sites. Third, the SOS is not the state agency charged with enforcing the Freedom of Information Act - that is the job of the Public Access Counselor of the Attorney General's office and the courts. As we have recommended in the past, governments should adopt a Freedom of Information Act policy that clearly states how FOIA requests should be filed with the government.

Posted by Julie Tappendorf at Monday, August 10, 2015 

SOCIAL MEDIA POLICY

Purpose.

This document defines the social networking and social media policy for the City of O'Fallon. To address the fast-changing landscape of the Internet and the way residents communicate and obtain information online, the City and its related departments/boards/commissions may consider using social media tools to reach a broader audience. The City encourages the use of social media to further City goals and the missions of its departments, where appropriate. This policy establishes guidelines for the use of City social media.

Professional use.

- A. All official City-related communication through social media outlets should remain professional in nature and should always be conducted in accordance with the City's communications policy, practices and expectations. Employees must not use official agency social media for political purposes, to conduct private commercial transactions, or to engage in private business activities.
- B. City employees should be mindful that inappropriate use of official City social media sites can be grounds for disciplinary action. If social media sites are used for official City business, the entire City site, regardless of any personal views, is subject to best practices guidelines and standards.
- C. Only individuals authorized by the City may publish content to a City site.

Oversight and enforcement.

- A. Employees/board members/commission members representing the City through social media outlets or participating in social media features on City websites must maintain a high level of ethical conduct and professional decorum. Failure to do so is grounds for revoking the privilege to participate in City social media sites and features.
- B. Information must be presented following professional standards for good grammar, spelling, brevity, clarity and accuracy, and avoid jargon, obscure terminology, or acronyms.
- C. City employees recognize that the content and messages they post on social media sites are public and may be cited as official City statements. Social media should not be used to circumvent other agency communication policies.
- D. City employees may not publish information on City social media sites that include:
 - 1. Confidential information; copyright violations; profanity, racist, sexist, or derogatory content or comments; or partisan political views.

Records retention.

Social media sites contain communications sent to or received by the City and its employees, and such communications are therefore public records subject to the Freedom of Information Act (FOIA). These retention requirements apply regardless of the form of the record (digital text, photos, audio, and video). The Department maintaining a site shall preserve records pursuant to a relevant records retention schedule for the required retention period in a format that preserves the integrity of the original record and is easily accessible. Currently, the State Archives mandates that the correspondence is kept for one year unless it has administrative, fiscal, legal, and/or historical value. Furthermore, retention of social media records shall fulfill the following requirements:

- A. Social media records are captured in a continuous, automated fashion throughout the day to minimize a potential loss of data due to deletion and/or changes on the social networking site.
- B. Social media records are maintained in an authentic format along with complete metadata.
- C. Social media records are archived in a system that preserves the context of communications, including conversation threads and rich media, to ensure completeness and availability of relevant information when records are accessed.

D. Social media records are indexed based on specific criteria such as date, content type, and keywords to ensure that records can be quickly located and produced in an appropriate format for distribution (e.g. PDF).

E. Each employee who administers one or more social networking sites on behalf of the City has self-service, read-only access to search and produce relevant social media records to fulfill public information and legal discovery requests, as needed.

Moderation of third party content.

A. All published City social media content is subject to monitoring.

B. User-generated posts will be rejected or removed, if possible, when the content of a post:

1. Is off-subject or out of context;
2. Contains obscenity or material that appeals to the unwholesome interest;
3. Contains personal identifying information or sensitive personal information;
4. Is threatening, harassing or discriminatory;
5. Incites or promotes violence or illegal activities;
6. Contains information that reasonably could compromise public safety;
7. Advertises or promotes a commercial product or service, or any entity or individual; or
8. Promotes or endorses political campaigns or candidates.

Public records law.

City social media sites are subject to applicable public records laws. Any content maintained in a social media format related to City business, including communication posted by the City and communication received from citizens, is a public record. The department maintaining the site is responsible for responding completely and accurately to any public records request for social media content.