I. **POLICY**

Records shall be preserved as stated herein until the retention period has ended and appropriate approvals have been obtained to destroy the records.

II. **PROCEDURE**

A. **Purpose**

The purpose of this directive is to provide instructions to staff for preserving records.

B. **Applicability**

This directive is applicable to all correctional facilities, offices, programs and parole services within the Department.

C. **Facility Reviews**

A facility review of this directive shall be conducted at least annually.

D. **Requirements**

1. Records shall be properly identified for ready access, stored and safeguarded at the facility. Microfilm shall be stored in a controlled atmospheric condition acceptable for preservation.

2. Records may be transferred to the State Records Center or to the State Archives, whichever is applicable, as indicated in the Records Retention Schedule. The records should be transferred when they have been audited and are no longer needed at the facility. However, the State Records Center will only accept records on transfer if the Records Retention Schedule specifically provides for such transfer.

   a. Temporary records shall be transferred to the State Records Center for the duration of the retention period, except:

      (1) Small quantities (less than one cubic foot) of records or record series which have less than one year remaining prior to the scheduled disposition date. Such records shall be retained by the originating facility.

      (2) Records which may need to be referenced frequently. Such records shall be
stored and safeguarded locally with the disposition date clearly identified.

b. Permanent records shall be transferred to the State Archives for permanent retention.

3. Temporary records subject to transfer to the State Records Center shall be placed in a standard storage box (15" x 12" x 10" box, one cubic foot capacity) and properly labeled.

a. Separate storage boxes shall be used for each type of record or record series. (Approximately one full letter size file drawer will fill 1.5 boxes; one full legal size file drawer will fill 2 boxes.)

(1) Legal size material shall be placed upright along the 15" side of the box.

(2) Letter size material shall be placed upright along the 12" side of the box.

(3) Smaller material shall be placed in the box in an orderly manner, but boxes shall not be filled above the level of the handle.

NOTE: For instructions on storage of material which is too large for the standard size box (e.g. maps, blueprints, etc.), contact the Agency Records Retention Coordinator.

b. All storage boxes shall be properly labeled, using a Records Retention Center Box Label, AR D 63. Blank labels may be requested from the Agency Records Retention Coordinator.

(1) The agency box number shall be assigned by the local Records Retention Coordinator.

(2) The schedule number and the exact title of the series shall be obtained from the Records Retention Schedule.

(3) Records deemed confidential shall be so identified on the label.

(4) The total number of boxes listed on one Record Transfer Sheet(s) shall be transferred as one record series.

(5) The date of the record shall be the date span of the records.

(6) The series of records in the box shall be indicated by the exact subject title of the first and last file (record, document, etc.) of the box.

(7) The disposal date shall be completed by the State Records Center.

(8) The label shall be affixed to the front of the box under the handle.

4. The Agency Records Retention Coordinator shall be notified of permanent records subject to transfer to the State Archives. The local Records Retention Coordinator shall receive instructions regarding the transfer from the Agency Records Retention Coordinator.

5. Records Transfer Sheets, RM M 1, shall be prepared, in triplicate, to request authorization to transfer temporary records to the State Records Center. Blank forms may be requested from the Agency Records Retention Coordinator.

a. A separate RM M 1 shall be used for each fiscal year for each type of record or record series and all records listed must be referenced on the same Records Retention Schedule (i.e. same schedule number).
b. The date listed shall be the date the RM M 1 was completed.

c. The name of the Agency Records Retention Coordinator (phone number included) shall be listed as the individual to contact.

d. Information from the Records Retention Schedule and the storage box label shall be used to complete the transfer form.

e. The title of the record series shall appear as listed on the Records Retention Schedule. The date shall be listed next to the title. For each agency box number on the RM M 1, the specific contents of the box shall be listed, i.e. a description of the arrangement of the records in the box, or a listing of the first and last record in the box.

f. If more than one RM M 1 is used, the sheets shall be appropriately paginated and a full description of the records shall be indicated on the top line of each page. Ditto marks on the remainder of the page, where appropriate, may be used.

6. Upon completion of the RM M 1 and packing of storage boxes, the local Records Retention Coordinator shall retain one copy of the transfer form and forward the two remaining copies to the Agency Records Retention Coordinator. No records shall be transferred until authorization is received from the Agency Records Retention Coordinator.

7. The Agency Records Retention Coordinator will submit two copies of the RM M 1 to the Illinois State Records Center Supervisor and notify the local Records Retention Coordinator of approval and the approximate date for the records to be transferred.

a. The Records Center will pick up records located within the Springfield area. However, records may also be delivered to the Records Center to expedite the process.

b. Facilities outside the Springfield area shall ship records via the State Messenger Service, deliver to the Records Center directly or utilize a prepaid common carrier to deliver the items to:

   Illinois State Records Center
   ATTN: Supervisor
   3701 Winchester Road
   Springfield, Illinois  62703

8. The date records are picked up or shipped should be noted on the facility copy of the transfer form(s).