

STATE OF ILLINOIS  
STATE RECORDS COMMISSION

FORM-1

APPLICATION NO. 61-2  
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APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS

AGENCY <del>PUBLIC WELFARE</del> <u>DCI 3</u>	RECOMMENDATION <i>Approved</i>
DIVISION Educational and Residential Service - Field Services	ARCHIVIST <i>Charles A. Porter</i>
SUBDIVISION Headquarters, 7 Regional Offices and 3 Branch Offices	DATE <u>1/30/61</u>
I HEREBY CERTIFY THAT THE RECORDS DESCRIBED IN THIS APPLICATION ARE NOT NEEDED IN THE TRANSACTION OF CURRENT BUSINESS AND ARE NOT OF SUFFICIENT ADMINISTRATIVE, LEGAL, OR FISCAL VALUE TO WARRANT FURTHER PRESERVATION.	
Acting HEAD OF AGENCY <i>Francis J. Gerty</i> DATE <u>Jan 19, 1961</u>	STATE RECORDS COMMISSION APPROVAL: <i>Pho J. Cassidy</i> CHAIRMAN <i>Clyde C. Walton</i> SECRETARY February 1, 1961. DATE

SUBMIT ORIGINAL AND TWO COPIES TO STATE RECORDS COMMISSION WITH SAMPLES OF EACH ITEM LISTED.

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES GIVE TITLE, EARLIEST DATE, FILE ARRANGEMENT, VOLUME, ANNUAL ACCUMULATION, FORM NUMBERS, LEGAL REQUIREMENTS AFFECTING RETENTION, AND RECOMMENDED RETENTION PERIOD. IF MICROFILMED, THE HEAD OF THE AGENCY SHALL ATTACH A STATEMENT CERTIFYING THAT MICROFILM COPIES, MADE IN ACCORDANCE WITH THE STANDARDS OF THE STATE RECORDS COMMISSION, WILL BE ADEQUATE SUBSTITUTES FOR THE ORIGINAL RECORDS.	ACTION TAKEN
1.	<p><b>Administrative - Fiscal Correspondence and General Memoranda, 1945-</b></p> <p>Arranged: Alphabetical by Subject &amp; Chronological thereunder Volume: 114 Cubic feet Annual Accumulation: 37 cubic feet</p> <p>(1) A. Administrative - Fiscal Correspondence</p> <p>File containing both incoming and outgoing correspondence relative to the work of the Field Services, including that with other institutions, agencies, vendors, shippers, regional offices, organizations and individuals, inquiries, transmittal letters, copies of reports, letters of referral, acknowledgment, letters of a routine and general nature.</p> <p>(9) B. Incoming memoranda issued in Springfield by Director, Deputy Director of Administrative Service, and other Central Control areas (<u>exclusive of printed Bulletins and Memoranda</u>). In addition, there are inter and intra-office communications relating to the operation of the service which originate in Headquarters and/or the Regional Offices.</p> <p>Recommendation: A. Retain 4 years, then review and retain permanently all legal opinions, Court Decisions, Special Survey and Annual Reports, and letters documenting activities, functions and planning of the division. B. Retain for 2 years and destroy.</p>	Disposition Approved

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ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
2.	<p><b>Personnel Files, 1945-</b></p>	
	<p>Arranged:                   Alphabetical Volume:                    48 cubic feet Annual Accumulation:   8 cubic feet</p>	
(4)	<p><b>A. Folders</b></p> <p>Folders contain notice of appointment, Civil Service status, pension information, salary rate and subsequent changes, notices of reclassification, notices of separation, and other papers relating to service, together with correspondence related to activities as an employee, carbon copies of all the information forwarded to General Office at Springfield, Illinois.</p>	
(6)	<p><b>B. Requisitions</b></p> <p>This is a file of requests to the Department of Personnel for the creation of positions or changes therein - consists of DPW-1106, 1109, DP-91, DP-1001 and DP-104, job description, and limited related correspondence. There are also applications for employment from persons not accepted.</p>	
(7)	<p><b>C. Payroll Vouchers</b></p> <p>Series consists of position allocation lists, personnel and payroll analysis sheets, time sheets and payroll vouchers. The voucher sheet shows employee name, ID number, time, rate, salary earned, and deductions made. The triplicate copy of APA Form #1 is returned to the Headquarters Office after IBM processing. Original goes to Auditor's Office where it is either retained permanently or micro-filmed. Second copy is in General Office, Springfield, Illinois.</p>	
	<p><b>Recommendation:</b></p> <p>A. Retain for 5 years after termination or separation and destroy provided that all statistical information for retirement purposes is posted to Master File (DPW-1108) and retained permanently.</p> <p>B. Weed at end of each biennium retaining only current job descriptions and related material. All duplicates and non-essential material may be destroyed.</p> <p>C. Retain for 2 full years after current biennium and destroy, provided an audit has been made under the supervision of the Auditor General.</p>	<p><i>Disposition Approved</i></p>

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ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
3.	<p><b>Fiscal Records, <del>1945-</del></b></p> <p>Arranged: Chronological by year, month and day Volume: 110 cubic feet Annual Accumulation: 24<math>\frac{1}{4}</math> cubic feet</p>	
(3)	<p>A. Form FA-13, Invoice-Voucher, 1945-</p> <p>Copies of invoice-voucher forms FA-13 with attachments, such as firm's invoice or statement, Form 11<math>\frac{1}{2}</math> Quint., personal property claims, and some related correspondence. Original and 3 copies are forwarded to Headquarters Office where they are retained for three years - duplicate and triplicate copies remain in Regional Offices.</p>	
(60) (8)	<p>B. Gasoline Records, 1955-</p> <p>This series consists of the Automotive cost report book (8), Pool Car requests Form WI-6, and the service station charge ticket. When these have been checked and reconciled against incoming statement, payment is made by means of Form FA-13 (as above).</p>	
	<p>C. Receiving Reports, 1945-</p> <p>File containing Requisitions, Authorizations, Printing Orders, Purchase Orders, Cancellation of Requisitions and Authorizations, Reinstatement of Purchase Orders, correspondence and other related items. Originals are in Headquarters Office and duplicates and triplicates in Regional Office. These reports serve no purpose after four years.</p>	
(25)	<p>D. Physical Inventory, 1952-</p> <p>Copies of Inventory Change report forms, equipment transfer permits, daily reports of new property, inventory control location cards, annual reconciliation registers. This information is now IBM key-punched in Springfield and a card record is now maintained permanently in the Headquarters Office. These records serve no purpose after four years.</p>	
(59)	<p>E. Transmittal Records (To and From State Treasurer), 1952-</p> <p>The following documents represent a complete file of forms covering receipt of and transmittal to State Treasurer of Miscellaneous Collections made by Field Services.</p>	

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.(59)	<p>E. Transmittal Records (Continued)</p> <p>a. Duplicate copy of the Field Services Office receipt for Miscellaneous Collections.</p> <p>b. Duplicate copy of remittances from Field Services Office to State Treasurer.</p> <p>c. Original receipt from Office of State Treasurer.</p>	
(16)	<p>F. Financial Reports to Governor, 1952-</p> <p>File consisting of copies of quarterly financial reports to the Governor accounting for types of funds and receipts in cash from all sources, appropriations for salaries, summary of receipts and disbursements.</p>	
(11)	<p>G. Budget Estimates, 1951-</p> <p>Files consist of copies of Department of Finance Budget Estimates for biennium Form FB-1 with attachments. Original is submitted to General Office - copies serve no purpose in institutions after two biennia.</p>	
(26)	<p>H. Complaint to Vendor and/or Shipper, 1951-</p> <p>File of papers used to process complaints relative to purchase or delivery of a variety of items. Most such complaints are resolved within 30 days. Purpose of files is to eliminate chronic offenders from future bidding lists. No purpose is served by retention after one biennium.</p>	
(85)	<p>I. Fiscal Records of U.S. Child Welfare Services, 1949-</p> <p>Title 5, Part 3 of the Federal Social Security Act as enacted August 14, 1935 and subsequent amendments govern the use of Federal Funds for Child Welfare Services for State Public Welfare Agencies.</p> <p>It is required that a basic plan, annual budget forms, narrative statements relating to the use of funds, quarterly estimates of expenditures, quarterly and annual reports of actual expenditures be submitted to Children's Bureau, U.S. Department of Health, Education and Welfare, Washington, D.C. There is a small amount of correspondence relating to the above included in the file. In addition, the procedure as outlined in (59) E. - this schedule is also followed in reporting refunds of expenditures from Child Welfare Funds, which are returned to the Treasurer for inclusion in the Trust Account for Child Welfare Services. These files serve no purpose after Federal Audit.</p>	

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(74)	<p>J. Leases, 1951-</p> <p>Basic negotiations are entered into by Headquarters Field Services, Department of Finance, and Lessor. When Department of Finance standard lease form has been approved by all parties concerned and signed by Lessor (7 copies), following disposition is made:</p> <ul style="list-style-type: none"> <li>a. Lessor retains original.</li> <li>b. Copies to Secretary of State, General Office of Welfare, and Department of Finance, where they are retained permanently.</li> <li>c. Copy to Auditor of Public Accounts.</li> <li>d. Remaining copies to Headquarters, Field Services, for proper distribution.</li> </ul> <p>In general, these leases are for a period of two years. A renewal form is submitted to Lessor sixty days prior to termination date. In the event of acceptance a new contract is drawn. If either party desires to terminate original lease, a Notice of Termination of Lease form is prepared and same procedure is followed. In view of the fact that three copies of the leases are retained permanently, no purpose is served by retention of copies of lease in Headquarters, Field Services and Regional Offices after final audit.</p>	
(85)	<p>K. Financial Records of State Supported Veteran's Child/ren, 1951-</p> <p>File consists of Series of DFW Forms 307, 308, 309, 310, 1203, 1204, 1205, 1206, 1207, 1223 and/or comparable forms. When entitlement is established for veteran's child/ren, foster parent is given authority for expenditures not to exceed the prescribed monthly payment (pro-rated by age). If merchandise is supplied or services are rendered, payments are vouchered (on Form FA-13 - [37] ) through Headquarters, where one copy of above forms is retained and second copy is returned to Regional Office.</p>	
(82)	<p>L. Payments for County Wards, 1957-</p> <p>In accordance with legislation enacted by the 70th General Assembly approved on July 5, 1957 by the Governor, which applies to Family Court Act, Industrial School Act for Girls, and Training School Act for Boys, the Department of Public Welfare now reimburses the counties for a portion of the cost of care and maintenance of dependent, neglected and delinquent children. A new report is submitted by each county to the Department on Forms DFW-1220, 1221 and 1222, listing expenditures by County, State's portion due, any monies received (in the County under Sec. 22 of The Act), and certification by the County Treasurer and Judge of the accuracy of submitted statement. Payments are then made by use of FA-13. Headquarters also maintains card record of the transactions by individual child. Inasmuch as responsibility rests with the County, these records serve no purpose after final audit.</p>	

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3.	<p><b>Fiscal Records, 1945- (Continued)</b></p> <p>Recommendation: Retain Item 3 - Series A, B, C, D, E, F, G, H, J, K &amp; L for two full years after current biennium and then destroy, provided a post audit has been made under the supervision of the Auditor General.</p> <p>Item 3, Series I - In accordance with Federal requirements, retain entire Series not less than three years and not more than five years and destroy, provided internal audit, Auditor General's Audit, and Federal Audit have been made.</p>	<p>Disposited Audit</p>