

JIM EDGAR  
Secretary of State  
and  
State Archivist

STATE OF ILLINOIS  
STATE RECORDS COMMISSION

APPLICATION NO. 82-52E  
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APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS

RM-7.1

AGENCY	Department of Children & Family Services
DIVISION	Division of Child Protection
SUBDIVISION	Regional and Field Offices

RECOMMENDATION:

*Jim Edgar* 8/18/82  
ARCHIVIST DATE

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.

STATE RECORDS COMMISSION APPROVAL:

CHAIRMAN

*Olive Foote*

SECRETARY

AUG 18 1982

DATE

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

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
	<p>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.</p> <p>"Abused and Neglected Child Reporting Act" 'Unfounded' Reports and Investigation/Services Case Files (Closed) (Original Hard Copy) (Computer Tapes)</p> <p>Dates: 1980- Volume: 33 Cu. Ft. Annual Accumulation: 16½ Cu. Ft. Arrangement: Numerical</p> <p>This record series is comprised of case files of investigations, official Departmental protective Services performed, and reports of suspected child abuse and neglect received or generated by the agency in accordance with the "Abused and Neglected Child Reporting Act," <u>Illinois Revised Statutes 1979, Chapter 23, Paragraph 2051. et seq.</u> Each case file contains the forms received or generated by agency staff to indicate the date and relevant facts surrounding the reported incidents of suspected child abuse and neglect (i.e., forms for 800 line phone reports, teletype reports, etc.), as well as all related investigation and general status reports of case dispositions, including pertinent correspondence. As defined in Paragraph 2053. of the reporting act statute, a report of suspected child abuse or neglect may be classified as "unfounded," "indicated," and "undetermined." This record series is limited to those cases in which the reports are officially determined as "unfounded" as a result of the lack of sufficient credible evidence to support the reported allegations of child abuse or neglect.</p> <p>Limitations on public access to these files may be imposed under authority of <u>Illinois Revised Statutes 1979, Chapter 23, Paragraphs 2061. and 2061.1.</u> Statistical data are extracted from the record series, however,</p>	

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for continuous maintenance by the agency on computer tape in conformance with statutory powers and duties prescribed under Paragraph 2057.7. of the statute. The provisions of Paragraph 2057.14 of the Statute constitute the primary basis for the proposed disposition of these files.

**Recommendation:** Upon the determination and official disposition of a report as "Unfounded," dispose of report and respective investigation/services case file (by shredding), providing appropriate computer tape summary data of the record series have been compiled, and providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation (including administrative review) is pending nor anticipated. All computer tape statistical data compiled from this record series are to be maintained in office on a permanent basis.

*Disposition  
Approved*

2. **Tickler File Listings of Case Transaction and Disposition Reports Overdue- (Hard Copy Computer Print-outs and Computer Tapes)**

**Dates:** 1980-  
**Volume:** 62 Cu. Ft.  
**Annual Accumulation:** 25 Cu. Ft.  
**Arrangement:** Chronological

This record series consists of computer print-out listings generated and used by the State Central Registry to monitor incidents of late filings by the involved Departmental personnel of reports of activities and dispositions concluded in response to cases of reports of suspected child abuse and neglect placed with the agency for action. The record's previous and current referral rate is the basis for the recommended disposition of this file series in computer print-out form.

**Recommendation:** Retain computer print-outs in office for two (2) years, then dispose of (by shredding), providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated. The computer tape source data of the computer print-outs are to be erased and/or disposed of upon the agency's discretion.

*Disposition  
Approved*

3. **Daily Mail Log - (Hard Copy Computer Print-outs and Computer Tape)**

**Dates:** 1980-  
**Volume:** 52 Cu. Ft.  
**Annual Accumulation:** 21 Cu. Ft.  
**Arrangement:** Chronological

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This computer generated document is utilized as an internal log of transmittals of forms, letters, and documents for field office referral and use for the investigation and/or closure of cases of reported child abuse and neglect. The record's previous and current referral rate is the basis for the recommended disposition of this file series in computer print-out form.

**Recommendation:** Retain computer print-outs in office for three (3) months, then dispose of (by shredding), providing no litigation is pending nor anticipated. The computer tape source data of the computer print-outs are to be erased and/or disposed of upon the agency's discretion.

*Disposition  
Approved*

4. Computer Data Entry and Control Cards - (Discontinued) (Originals)

Dates: 1965-January 1980  
Volume: 21 Cu. Ft.  
Annual Accumulation: --  
Arrangement: Chronological

These cards were used to enter essential case administration data and statistics on computer tape before the implementation of the agency's "on-line" computer system during January of 1980. The "on-line" system operation eliminates the necessity of entering computer base data from these cards by enabling the appropriate staff to key the data into the computer as received. As a consequence of client identifying data contained on these cards and the completion of all essential card data transfers to agency computer tapes currently maintained on a permanent basis, the agency requests authorization for the disposal of the record series accumulation (by shredding).

**Recommendation:** Dispose of accumulation (by shredding), providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated.

*Disposition  
Approved*

5. Data Entry Logs - (CANTS 60) (Originals)

Dates: 1980-  
Volume: 25 Cu. Ft.  
Annual Accumulation: 12½ Cu. Ft.  
Arrangement: Chronological

This form (designated as CANTS 60) is completed and kept as an internal log of the preparation status and types of documents processed for entry in the agency's computer base. The record's previous and current referral rate is the basis for the recommended disposition of this file series.

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Recommendation: Retain in office for two (2) years, then dispose of (by shredding), providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated.

*Disposition  
Approved*

6. "Call Log" - (Hard Copy Originals and Computer Tapes)

Dates: 1980-  
Volume: 38 Cu. Ft.  
Annual Accumulation: 15 Cu. Ft.  
Arrangement: Chronological

This form is used by the agency to log the dates, times, and other statistically relevant data pertinent to reported incidents of suspected child abuse and neglect received by agency staff via the 800 line telephone service manned by the office. Selected data from these logs are processed for computerized statistical compilations prepared by the agency in conformance with provisions of Illinois Revised Statutes 1979, Chapter 23, Paragraph 2057.7. The record's previous and current referral rate is the basis for the recommended disposition of this file series in hard copy form.

Recommendation: Retain hard copy originals in office for two (2) years, then dispose of (by shredding), providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated. All statistical data compiled on computer tape from this record series are to be maintained in office on a permanent basis.

*Disposition  
Approved*

7. State Central Registry Copies of Guardianship Consent Forms and Related Correspondence

Dates: 1981-  
Volume: 15 Cu. Ft.  
Annual Accumulation: 14 Cu. Ft.  
Arrangement: Chronological

These forms are used by the agency to authorize emergency medical services and treatment for children placed under guardianship of the Department incidental to cases of suspected child abuse and neglect. Additional duplicates of these forms, which serve as the agency's record copy, are transmitted to the appropriate field office for case file maintenance (under the provisions of Item no. 1 of Application #82-51M/E, if approved), while the originals are sent to the medical services facility and/or provider (i.e., hospitals, clinics, doctors, etc.). This record series also includes some related correspondence. Reference/retrieval activity of the State Central Registry's copies of these forms has been negligible to date.

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8.	<p><b>Recommendation:</b> Retain two (2) years in office, then dispose of (by shredding), providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated.</p> <p><b>Closed Administrative Review Proceedings Files - (Originals or Record Copies)</b></p> <p><b>Dates:</b> 1980- <b>Volume:</b> 3 Cu. Ft. <b>Annual Accumulation:</b> 1 1/3 Cu. Ft. <b>Arrangement:</b> Chronological</p> <p>This record series is comprised of the documents which originate from hearings or other proceedings held for the review of administrative decisions rendered by the agency for the performance of its statutory powers and duties. These files include the type of documents customarily contained in proceedings case files, such as written requests for review, notices of hearings, exhibits, transcripts, and copies of narrative opinions and decisions reached for disposition of the proceedings. These files are generated pursuant to provisions of <u>Illinois Revised Statutes 1979, Chapter 23, Paragraphs 2057.16. and 2061.6.</u> Since identifying data of Departmental case file subjects or clients may be indicated within these files, public access to this record series is limited per provisions of <u>Illinois Revised Statutes 1979, Chapter 23, Paragraphs 2051. and 2061.1.</u></p> <p><b>Recommendation:</b> Retain each file in office for five (5) years following the final disposition and closure of the associated proceedings or case, then transfer to State Archives for permanent retention.</p>	<p><i>Disposition Approved</i></p> <p><i>Subject 96-41 Item 1</i></p>
9.	<p><b>Inactive Personnel Files - (Duplicates)</b></p> <p><b>Dates:</b> 1979- <b>Volume:</b> 8 Cu. Ft. <b>Annual Accumulation:</b> 2 1/2 Cu. Ft. <b>Arrangement:</b> Alphabetical</p> <p>These files contain the agency's copies of records and forms documenting the employment history of State Central Registry personnel. Included within the record series are copies of applications for employment, appointment notifications, position performance evaluations, resumes, position descriptions, employment separation documents, official leave request forms, and related correspondence. The Department of Central Management Services maintains the original personnel transaction data on a permanent basis (in microform) for employees under Personnel Code jurisdiction under approved Application #72-9M.</p>	<p><i>Disposition Approved</i></p>

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10.	<p><b>Recommendation:</b> Retain in office for five (5) years following the date of employee's termination/separation of employment, then dispose of, providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated.</p> <p><b>Inactive Applications for Employment - (Originals)</b></p> <p><b>Dates:</b> 1979- <b>Volume:</b> 1 Cu. Ft. <b>Annual Accumulation:</b> Negligible <b>Arrangement:</b> Alphabetical and Chronological</p> <p>This series consists of all agency record copies of completed inactive applications for employment filed by applicants for positions with the Division. These applications become inactive upon failure of applicants to appear for an interview or report for duty, rejection of applicant, or removal of applicant from the Dept. of Central Management Services Eligible List. The date each application becomes inactive is determined by the date of occurrence of each of these aforementioned incidents.</p> <p>The Dept. of Central Management Services maintains rejected or withdrawn applications for employment files for two (2) years in accordance with approved Application #58-21, Item #2. Also, the Dept. of Central Management Services maintains the essential documentation of reasons for rejection of applicants for Personnel Code positions for a total retention period of six (6) years (per approved Application #78-8), with the approved retention period partially based on the potential need to retrieve these records for use in any litigation that could arise from rejection of an applicant for employment.</p> <p><b>Recommendation:</b> Retain in the office for two (2) years following the date each application for employment becomes inactive, then dispose of (by shredding), providing no litigation is pending nor anticipated.</p>	<p><i>Disposition Approved</i></p> <p><i>Disposition Approved</i></p>
11.	<p><b>Administrative and General Correspondence - (Originals and Duplicates)</b></p> <p><b>Dates:</b> 1979- <b>Volume:</b> 16 Cu. Ft. <b>Annual Accumulation:</b> 4 1/2 Cu. Ft.      <b>Arrangement:</b> Chronological</p> <p>This record series is comprised of the State Central Registry's Administrative and general correspondence files which document both routine activities of administration and the development or operational effect of the Registry's organizational structure, policies and procedures.</p> <p><b>Recommendation:</b> Retain three (3) years in office, then with the joint review and cooperation of the staffs of the Archives and the agency, weed files and dispose of all record and non-record materials possessing insufficient value for further retention. All accumulations which remain are to be transferred to State Archives custody for permanent retention.</p>	<p><i>Refer to 8434 Item 1</i></p> <p><i>Disposition Approved</i></p>

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12. Listings of Daily Case Transactions - (Hard Copy Computer Print-outs and Computer Tapes)

Dates: 1980-  
Volume: 50 Cu. Ft.  
Annual Accumulation: 20 Cu. Ft.  
Arrangement: Chronological

This record series includes computer print-outs giving coded listings of transactions concluded for each day for the investigation and disposition of cases of reported child abuse and neglect placed with the agency for action. The data listed on these print-outs are used in turn for input into other computerized compilations of reports and case disposition statistics. The record's previous and current referral rate is the basis for the recommended disposition of this file series in computer print-out form.

Recommendation: Retain computer print-outs in office for two (2) years, then dispose of (by shredding), providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending nor anticipated. The computer tape source data of the computer print-outs are to be erased and/or disposed of upon the agency's discretion, while any or all other computer tape statistical data compiled from this record series are to be maintained in office on a permanent basis.

*Disposition  
Approved*