

STATE OF ILLINOIS
STATE RECORDS COMMISSION

APPLICATION NO. 61-60

PAGE 1 OF 5 PAGES.

FORM-1

APPLICATION FOR AUTHORITY TO
DISPOSE OF STATE RECORDS

AGENCY: **MENTAL HEALTH**

DIVISION: **Administrative Service**

SUBDIVISION: **General Office - Personnel Services Section**

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.

Francis J. Gerty
HEAD OF AGENCY

10/27/61
DATE

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

RECOMMENDATION:
Approved
Charles J. Argentus
ARCHIVIST 10/30/61
DATE

STATE RECORDS COMMISSION APPROVAL:
Thos. J. Adams
CHAIRMAN
Clayton C. Walton
SECRETARY

November 1, 1961.
DATE

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES GIVE TITLE, INCLUSIVE DATES, 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
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1.	<p>Administrative - General Correspondence and General Memoranda, 1957-</p> <p>Arranged: Alphabetical by subject Volume: 10 cubic feet Annual Accumulation: 2½ cubic feet</p> <p>(1) A. General Correspondence</p> <p>File containing both incoming and outgoing correspondence relative to the work of the Personnel Services, including that with institutions, agencies, regional offices, organizations and states, individuals, inquiries, transmittal letters, copies of reports, letters of referral, acknowledgment, letters of a routine and general nature.</p> <p>(9) B. Memoranda</p> <p>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 and institutions.</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>
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Disposition Approved

APPLICATION FOR AUTHORITY TO
DISPOSE OF STATE RECORDS

(CONTINUATION SHEET)

APPLICATION NO. 61-60

PAGE 2 OF 5 PAGES.

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
2.	<p>Personnel Files, 1955-</p> <p>Arranged: Alphabetical Volume: 574 Cubic Feet Annual Accumulation: 80 " "</p>	
(4)	<p>A. Folders</p> <p>Folders of student workers, Practical Nurse affiliates, institutional and General Office employees - in general, contain notice of appointment, Civil Service status, pension information, salary or stipend rate and subsequent changes, notices of reclassification, notices of separation and other papers relating to service. In the case of student workers, affiliates and institutional employees, carbon copies of all information is retained in specific institution for 5 year period.</p>	
(5)	<p>B. Applications for Employment, 1959-</p> <p>Applications for positions within the institutions from persons who were not accepted for employment. These applicants are non-acceptable for numerous reasons such non-eligibility, medical disabilities, educational or psychological qualifications or no positions available in specific category requested. This file of applications, together with some correspondence relates to all positions, such as professional, medical-non-medical, labor as well as Administrative Service areas.</p>	
(6)	<p>C. Requisitions, 1959-</p> <p>This is a file of requests to the Department of Personnel for the creation of positions or changes therein - consists of Forms 101, 102, 103, 104 and 1112. Job descriptions and limited related correspondence are included in this series.</p>	
()	<p>D. Listings of Eligibles and Probationers, 1959-</p> <p>Form DP-21 - Copy is received from Department of Personnel listing eligibles from which individual is selected for employment. Form DPW-1113 is used as a reference tool; Form 1106A is a recapitulation of institutional and General Office probationary reports. Related correspondence is also to be included in this series.</p>	
(7)	<p>E. Payroll Vouchers, 1952-</p> <p>Arranged: Chronologically Volume: 120 cubic feet Annual Accumulation: 12 " "</p>	

(Continued on next page)

APPLICATION FOR AUTHORITY TO
DISPOSE OF STATE RECORDS

(CONTINUATION SHEET)

APPLICATION NO. 61-60

PAGE 3 OF 5 PAGES.

M-1A

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
2.(7)	<p>E. Payroll Vouchers, 1952- (Continued)</p> <p>Series consists of payroll vouchers and related items. Information relative to the preparation of this item is derived from the payroll information furnished to the General Office by the institutions. The summary and recap sheets are compiled from basic personnel information in the General Office. In turn, pertinent information necessary for issuance of warrant for individual salary payments is furnished the Department of Personnel and Auditor of Public Accounts. Copies of all necessary items are furnished to institutions, where they are maintained for four years.</p>	
()	<p>F. Personnel Reports - Additions, Separations and Changes, 1952-</p> <p>Information relative to personnel additions, separations and changes in status, salary or maintenance is furnished to General Office Payroll Section on Forms 1106, 1107 and 1123. These forms serve no purpose after two years, since they do not require an audit.</p>	✓
()	<p>G. Claims Service Files, 1955-</p> <p>Arranged: By Status (Active and Closed) and Chronological for Inactive Thereunder</p> <p>Claims Service files covering personal injuries of employees, claims for damage to or destruction of personal property of employees, motor vehicle accidents involving state-owned automobiles, claims of visitors and outsiders injured at institutions and miscellaneous matters. The files include the following forms: Injury of Employee (Form #CS-1), status of injured employee (Form CS-3), personal property claim (Form CS-4), Claim for service-connected illness (Form #CC-5a), disability report (Form #CC-5b), findings of advisory committee, Tuberculosis Control Service (Form #CC-5c), supplemental accident report (Form #CC-6), employer's report of Compensable Injury (Form #45), Final Report of Injury (Form #85) and Report of Motor Vehicle Accident (Form #SR-21). Claims made at institutions or regional offices are forwarded to the Claims Service in Springfield for action.</p>	✓
()	<p>H. Analysis and Summary Reports, 1954-</p> <p>Series consists of position allocation lists, personnel and payroll analysis, payroll summary listings, cost analysis and cost analysis summary and related items. Information relative to the preparation of these reports is derived from payroll information furnished to the General Office by the institutions. The summary and recapitulation sheets are compiled from basic information available in General Office. The institutions are furnished copies of payrolls - position allocation lists and cost analysis, which are retained for four (4) years.</p>	

APPLICATION FOR AUTHORITY TO
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(CONTINUATION SHEET)

APPLICATION NO. 61-60

PAGE 4 OF 5 PAGES.

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
2. (-)	<p>I. Accumulated Time Reports, 1959-</p> <p>Series of reports, recapitulation sheets and correspondence used by the institutions as a means of reporting to the General Office the accumulated time of employees and Services such as Dietary, Commissary, etc. Since this acquired time must be used within sixty days, unless otherwise authorized, and no audit is required, these reports serve no purpose after one year.</p> <p>Recommendation:</p> <p>A. Folders</p> <ol style="list-style-type: none"> 1. Retain folders of Student Workers and Practical Nurse Affiliates for one (1) year after termination of services and then destroy all material except: <ol style="list-style-type: none"> a. Loyalty Oath to be removed and retained for an additional year for audit purposes, then destroy. b. Time Sheets to be removed and retained for an additional three years of a total of four (4) years for audit purposes, then destroy. 2. Retain institutional employees' folders for two (2) years after termination of service and destroy contents except: <ol style="list-style-type: none"> a. Time sheets which are to be retained for additional two (2) years, making a total of four (4) years - destroy after audit. <p>NOTE: A duplicate folder containing all information with exception of Loyalty Oath is maintained in specific institution for five (5) years after termination of service.</p> 3. Inasmuch as General Office employees' folders are not duplicated elsewhere, these are to be retained for five (5) years after termination of service and then are to be destroyed. 4. Retain permanently all personnel records in which disciplinary action has been taken and/or records of actual or pending Court action. <p>A Master File Card (DPW Form 1108) is to be prepared for each personnel folder in the above four sections. This card is to be retained as a permanent record.</p> <p>B. Retain two years and destroy C. " " " " " D. " " " " "</p>	<p>Disposition Approved</p>

(Continued on next Page)

APPLICATION FOR AUTHORITY TO
DISPOSE OF STATE RECORDS

APPLICATION NO. 61-60

FORM-1A

(CONTINUATION SHEET)

PAGE 5 OF 5 PAGES.

ITEM NO.	DESCRIPTION OF ITEMS OR RECORD SERIES	ACTION TAKEN
2.	<p>Recommendation: (Continued)</p> <p>E. Retain six years then destroy, provided an audit has been made under the supervision of the Auditor General.</p> <p>F. Retain two years and destroy.</p> <p>G. Claims Service Files</p> <ol style="list-style-type: none"> 1. <u>Minor Claims reports</u> such as injuries, damage to or destruction of personal property of employees, miscellaneous and related items are to be retained for two (2) years after settlement and then destroyed. 2. <u>Major Claims reports</u> - the entire case record relating to a major claim such as motor vehicle accident, Workman's Compensation injury, service-connected illness and cases in which Court action is probable or actual are to be retained permanently. <p style="text-align: center;">(Supersedes Schedule D-194, Item No. 1)</p> <p>H. Analyses and Summary Reports</p> <ol style="list-style-type: none"> 1. Retain Payroll Summary Report for six (6) years, then destroy. 2. Retain all other reports in this series for two (2) years, then destroy. <p>I. Retain one (1) year, then destroy.</p> <p>The items on this Schedule are intended to supersede all General Office Personnel Services documents previously acted upon on Schedules D-13, D-28, D-185, D-186 and D-194.</p>	<p><i>Disposition Approved</i></p>