

STATE OF ILLINOIS  
STATE RECORDS COMMISSION

FORM-1

APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS

APPLICATION NO. 659  
PAGE 1 OF 2

AGENCY *Children's*  
Department of ~~Mental Health~~

DIVISION Educational and Residential Service  
Children and Family Services (General Office)

SUBDIVISION

RECOMMENDATION:  
*Approved*  
Paul Howard 3/23/65  
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  
Paul R. ...  
CHAIRMAN  
Phyllis Walton  
SECRETARY

Conrad Britland 3/19/65  
HEAD OF AGENCY DATE

March 3, 1965.  
DATE

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

| ITEM NO. | DESCRIPTION OF ITEMS OR RECORD SERIES<br>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 |
|----------|--|--------------|
|----------|--|--------------|

(TOTAL ACCUMULATION OF RECORDS - 300 CUBIC FEET)

1(1) Administrative and General Office Correspondence, 1949-

Files contain both incoming and outgoing correspondence relating to the work of the Educational and Residential Service and the Department of Children and Family Services, including that with institutions, agencies, regional offices, clinics, organizations and individuals, inquiries, transmittal letters, letters of referral, acknowledgment, appeals for contributions and letters of a routine and general nature.

*Alate*  
*84-34*  
*Jan*

Recommendation: Retain for 4 years, then review and retain permanently all legal opinions, court decisions, minutes of meetings, special survey and annual reports, and letters documenting activities and planning of the Department and/or Service. Destroy all routine items.

Disposition Approved

2(2) Consultants Registers, 1960-

Files of consultant register forms and copies of related correspondence. This is a daily register, signed at institution by physician, giving date, name, service performed, time spent and approval signature. This information is posted to time sheet at specific institution and information is then forwarded to General Office, Springfield, for data processing and invoice-vouchering for warrant issuance.

Recommendation: Retain for 2 full years after current biennium, then destroy, provided a post audit has been made under the supervision of the Auditor General.

Disposition Approved

APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS

FORM-1A

(CONTINUATION SHEET)

APPLICATION NO. 65-9  
PAGE 2 OF 8 PAGES

ITEM  
NO.

DESCRIPTION OF ITEMS OR RECORD SERIES

ACTION TAKEN

3(3) Form FA-13, Invoice-Voucher, 1958-

Copies of Invoice-Voucher Forms FA-13 with attachments such as firm's invoice or statement, personal property claims and related correspondence. Institutions and Services retain 2 copies for period of 4 years; they are then destroyed after proper audits. The General Office, Springfield, copies serve no purpose after 6 years.

Recommendation: Retain for 3 full biennia, then destroy, provided a post audit has been made under supervision of Auditor General.

*Disposition  
Approved*

4(8) Statistical Reports, 1955-

These files contain copies of reports in narrative and statistical form concerning case loads and services rendered in institutions/schools/services, movement of population, termination of care of residents, automotive cost reports and alcohol reports. Reports are compiled monthly, quarterly, and are annually summarized and forwarded to the General Office, Springfield, where information is either published or retained in punch card form. There is also a small amount of correspondence with other institutions, universities and clinics either exchanging or comparing or forwarding information. Copies serve no purpose after publication of facts or punch card processing.

Recommendation: Retain for 3 months after publication and then destroy.

*Disposition  
Approved*

5(9) Memoranda File, 1949-

These files contain copies of memoranda issued in General Office by Director, Deputy Directors and other central control areas (exclusive of printed bulletins and memoranda). In addition, there are inter and intra office communications relating to the operation of institutions/schools/services which originate in the office of the Superintendent, Administrative Assistants, Business Managers and other functional areas. Files serve no purpose after one biennium.

Recommendation: Retain 2 years, then destroy.

*Disposition  
Approved*

6(11) Budget Estimates; 1955-

File of copies of Department of Finance Budget Estimate for Biennium, Form FB-1 with attachments. The institutions/schools/services submit forms to General Office for consideration. Budget information serves no purpose after two biennia.

Recommendation: Retain 4 years, then destroy.

*Disposition  
Approved*

*Refer to  
8431  
8433  
7/20/55*

*Discontinue*

*Refer to  
8434  
7/20/55*

*Refer to  
8435  
7/20/55*

APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS  
(CONTINUATION SHEET)

FORM-1A

APPLICATION NO. 65-9  
PAGE 3 OF 8 PAGES

| ITEM NO. | DESCRIPTION OF ITEMS OR RECORD SERIES  | ACTION TAKEN   |
|----------|--|--|
| 7(12)    | <p>Monthly Food Cost Reports, 1955-</p> <p>File of monthly recapitulation sheets and other attachments including the amount consumed, number of meals served, cost of food and ice cream, etc., cost of preparation, food inventory, and other related items. In addition, a Surplus Commodity Inventory report is also made. Information is used by Home Economics Section in preparation of budgets. File serves no purpose after two biennia.</p> <p>Recommendation: Retain 4 years, then destroy.</p>  | <p><i>Disposition Approved</i></p>   |
| 8(13)    | <p>Receiving Reports, 1955-</p> <p>File of order for delivery forms, together with requisitions, authorizations, cancellation of requisitions and authorizations, cancellation and reinstatement of purchase orders, correspondence and other related items. These reports serve no purpose after three biennia.</p> <p>Recommendation: Retain 6 years, then destroy, provided a post audit has been made under the supervision of the Auditor General.</p>  | <p><i>Disposition Approved</i></p> <p><i>4/14/84-35</i><br/><i>Thur</i><br/><i>2</i></p> |
| 9(16)    | <p>Financial Reports to Governor, 1955-</p> <p>File of copies of Quarterly Financial Reports to the Governor, Form G-3, submitted to General Office, Springfield, by all institutions/schools/services. Form lists all miscellaneous collections received, such as receipts in cash from all sources and summarizes all receipts and disbursements. The information received in General Office is consolidated on a single Form G-3 and is forwarded accordingly. Copies of all forms are retained for audit purposes in the General Office. In addition, the information is recorded in a General Ledger which is retained permanently. (Note: See Item 22(30), Transmittal Records, To and From State Treasurer).</p> <p>Recommendation: Retain 6 years, then destroy, provided an audit has been made under the supervision of the Auditor General.</p> | <p><i>Disposition Approved</i></p>   |
| 10(19)   | <p>Departmental Reports, 1949-</p> <p>File of narrative and statistical reports of services rendered within the institutions/schools/services. This information is submitted to the General Office, Springfield, where it is either machine processed or published in Departmental Annual publications or brochures. Material serves no purpose after publication or data processing.</p> <p>Recommendation: Retain 3 months after publication, then destroy.</p>  | <p><i>Disposition Approved</i></p>   |

| ITEM NO.  | DESCRIPTION OF ITEMS OR RECORD SERIES   | ACTION TAKEN   |
|---|---|--|
| <p>11(22)<br/>(23)<br/>(27)<br/>(58)<br/>(27)</p> | <p><b>Patients Trust Fund Receipts, 1955-<br/>Patients Trust Fund Disbursements<br/>Amusements Fund Records<br/>Bank Accounting and Disbursement Records<br/>Commissary Fiscal Records</b></p> <p>The above items are handled independently in the institutions/schools/services. They are reported monthly to the General Office, Springfield, on a Consolidated Form. The information recorded is a reconciliation of receipts and disbursements, cash on hand, savings accounts, bonds and all related financial activities permitted by the general Departmental operational procedures and/or Statutory provisions. In addition, a quarterly report, Form G-5, is forwarded to General Office, Springfield, where information recorded is verified against monthly receipt report and the G-5 is forwarded to Governor's office and Funding information for General Office use is recorded in a general ledger which is retained permanently.</p> <p>Recommendation: Retain for 6 years, then destroy, provided a post audit has been made under the supervision of the Auditor General.</p> | <p><i>Disposition Approved</i></p> <p><i>Dispositive</i></p>     |
| <p>12(39)</p>                                     | <p><b>Transmittal Records, 1955-<br/>(To and From State Treasurer)</b></p> <p>Originals and copies of receipts for Miscellaneous Collections with remittances or drafts are received in General Office from all institutions/schools. In the transactions, the following forms are utilized and copies remain in the files.</p> <p>(a) Duplicate copy of institution receipt for Miscellaneous Collections.<br/>(b) Duplicate copy of Remittance form, MHF-52, for transmittal to Treasurer.<br/>(c) Copy of receipt from Office of Treasurer.<br/>(d) Clearing account records.</p> <p>Information pertaining to transactions is recorded in Miscellaneous Collections Ledger and is retained permanently. See Item 19(16)-Financial Report to Governor. These are coordinated functions in General Office.</p> <p>Recommendation: Retain the entire series for 6 years, then destroy, provided a post audit has been made under the supervision of the Auditor General.</p>   | <p><i>Disposition Approved</i></p> <p><i>Sub 8435 Item 4</i></p> |
| <p>13(70)</p>                                     | <p><b>Telegraphic Communication Records, Telephone Records, 1955-</b></p> <p>Billing statements for General Office use of the above facilities are vouchered on Form FA-13. File also contains copies of Schedules listing payments and quarterly requisition relating to fund appropriations. Information is also posted in Ledger Book which is to be retained permanently. Copies serve no purpose after 6 years.</p> <p>Recommendation: Retain for 3 full biennia, then destroy, provided a post audit has been made under the supervision of the Auditor General.</p>  | <p><i>Disposition Approved</i></p> <p><i>Dispositive</i></p>     |

APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS

(CONTINUATION SHEET)

APPLICATION NO. 65-9  
PAGE 5 OF 8 PAGES

DESCRIPTION OF ITEMS OR RECORD SERIES

ACTION TAKEN

14(26) Physical Inventory, 1959-

File of documents relating to General Office Inventory Control, such as: change report #1, equipment transfer permits, daily reports of new property, inventory location control cards, annual reconciliation registers. This information is now machine processed and a card record is maintained permanently. These records serve no purpose after 6 years.

Recommendation: Retain for 6 years, then destroy, provided a post audit has been made under supervision of Auditor General.

*Memo  
8-4-35  
Flam  
3*

*Disposition  
Approved*

15(26) Quarterly Requisitions, 1958-

The copies of this form, together with Recapitulation Sheet, are used by the General Office to record the needs of the respective services and is retained by them for reference. Other copies are retained in with Receiving Reports, Item 18(13). These files serve no purpose after 2 full years.

Recommendation: Retain for 2 full years, then destroy.

*Memo  
8-4-35  
Flam  
2*

*Disposition  
Approved*

16(29) Kitchen Lab Reports, 1955-

Copies of monthly lab analysis of milk, cream, ice cream, which is consumed in institutions, as well as other inspection reports are furnished to Home Economics Division for informational purposes. Reports serve no purpose after 2 years.

Recommendation: Retain 2 years, then destroy.

*Obsolete*

*Disposition  
Approved.*

17(30) Complaint to Vendor and/or Shipper, 1959-

File of documents used to process Complaints relative to purchases 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. Files serve no purpose after one biennium.

Recommendation: Weed at end of current biennium, then destroy accumulation, retaining permanently those documents relating to incidents which have, or might possibly result in legal action.

*Memo  
8-4-35  
Flam  
2*

*Disposition  
Approved*

18(64) Pest and Insect Control Reports, 1955-

File of reports submitted by institution/school/service to the General Office. Form lists type of service (contractual or institutional), cost and other related items. The reports are forwarded for informational purposes only.

Recommendation: Retain two years, then destroy.

*Obsolete*

*Disposition  
Approved*

APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS  
(CONTINUATION SHEET)

DESCRIPTION OF ITEMS OR RECORD SERIES

ACTION TAKEN

19(115) Travel Vouchers, 1955-

File of copies of Travel Voucher, Forms F-10, F-10B, and Schedules used for processing of authorization and payment of travel expenses. Information is also recorded in Ledger Book for permanent retention.

Recommendation: Retain for 3 full biennia, then destroy, provided a post audit has been made under supervision of Auditor General.

*White*  
*8/4/35*  
*JPM*

Disposition  
Approved

20(63) Summary Store Accounts, 1955-

File of Forms - "Monthly Summary of Store Accounts" - (drug, general, mechanical) together with report of General Office Store Consultants report of general inspection. These items are for informational purposes only, since store accounts are audited in specific institution/school.

Recommendation: Destroy at end of each biennium.

*OB 5/10/62*

Disposition  
Approved

21(84) Leases, Contracts, Service Agreements, 1942-

Basic negotiations are entered into by Department of Children and Family 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:

*White*  
*8/6/30*  
*JPM*  
*2*

- a. Lessor retains original.
- b. Copies to Secretary of State, General Office, Department of Finance, where they are retained permanently.
- c. Copy to Auditor of Public Accounts.
- d. Remaining copies to Department of Children and Family Services for proper distribution.

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/contracts/service agreements in Children and Family Services General Office after final audit. Contracts and Service Agreements are transacted in approximately the same procedures.

Recommendation: Retain 2 full years after current biennium, then destroy, provided post audit has been made under the supervision of the Auditor General.

Disposition  
Approved

APPLICATION FOR AUTHORITY TO DISPOSE OF STATE RECORDS

(CONTINUATION SHEET)

| ITEM NO. | DESCRIPTION OF ITEMS OR RECORD SERIES  | ACTION TAKEN  |
|----------|--|---|
| 22( )    | <p><b>Day Care and Mental Health Clinic Accounting Records</b></p> <p>File of forms, together with some correspondence relating to the operation of Centers and Clinics. The information is submitted monthly to the General Office on Expenditure Detail Sheet, Form WF-36, and a Salary Listing Sheet. These documents are used to bring accounts in balance and as a verification of expenditures against appropriations. Payments are vouchered on Form FA-13, and schedules and requisitions are also prepared. All transactions are machine processed and account cards are retained permanently. Day Care is a State function and local Mental Health Clinics are Federal and State supported facilities.</p> <p>Recommendation: Retain for 3 full biennia, then destroy, provided all State and Federal post audits have been completed.</p> | Disposition Approved  |
| 23( )    | <p><b>Audit Work Files</b></p> <p>File of work papers relating to Internal Audits made in General Office/institutions/school/services. Pertinent information is incorporated in Formal Audit Report which is distributed in accordance with Standard Procedures. The work papers serve no purpose after 6 years. (Formal audits are retained 10 years and then forwarded to Archives for storage).</p> <p>Recommendation: Retain 6 years, then destroy. All files relating to investigations of discrepancies or special audits are to be retained permanently.</p>  | <p>Rebate<br/>82-29<br/>TTM<br/>1-3</p> <p>Disposition Approved</p> |
| 24(123)  | <p><b>Informational Inquiries, 1960- (Educational Grants)</b></p> <p>File of correspondence from interested individuals relating to various grant programs, who do not actively become participants. If no formal application is made within 90 days, correspondence serves no further purpose.</p> <p>Recommendation: Retain 90 days (3 months) and then destroy.</p>   | <p>Obsolete</p> <p>Disposition Approved</p>                         |
| 25(124)  | <p><b>Educational Grant Program, 1960- (#7 - A&amp;B)</b></p> <p><b>A. Stipend Grant (Advanced Training and/or Nursing Education)</b></p> <p>Folder is created for each participant and in general contains: application, Loyalty Oath, transcripts, x-ray and medical reports, university and/or hospital school acceptance statement, references, authorization and agreement, personnel reports, copies of vouchers for expenses incurred, correspondence and other related items.</p> <p>(continued on next page)</p>  | Disposition Approved  |

APPLICATION FOR AUTHORITY TO  
DISPOSE OF STATE RECORDS

(CONTINUATION SHEET)

APPLICATION NO. 65-9

PAGE 8 OF 8 PAGES

DESCRIPTION OF ITEMS OR RECORD SERIES

ACTION TAKEN

15  
26(12) A  
A. Stipend Grant (Advanced Training and/or Nursing Education) - continued

The Stipend Grant is created from the General Revenue Funds. In the event the course is not completed or employment is not accepted, financial reimbursement to the fund becomes a moral but not legal obligation. Master Account Card is maintained permanently in Fiscal Service, General Office. A Master Information Card is to be retained permanently in Special Services Section; therefore, folders serve no purpose after completion of the course and assignment.

Recommendation: Folder is to be held for 5 years after completion of the training and assignment to position and full performance of all contract obligations and then destroyed. All Master Cards to be retained permanently.

Disposition  
Approved

26  
27(12) B  
B. Special Grants (Employee Training)

Folder for each participant contains: applications, authorizations, copies of vouchers for expenses incurred, correspondence and other related items. Mental Health and General Revenue Funds are used to provide for special courses, seminars, workshops or similar training functions and no obligations are incurred by participants. A copy of authorization is incorporated in Master Personnel Folder; therefore, these folders serve no purpose after completion of the course.

Recommendation: Destroy folders 6 months after completion of course.

Disposition  
Approved

7  
28( )  
Form F-1 - Allotment of Appropriations for Current Expenses and Equipment

The General Office maintains file copies of this form which is initialed for each institution and division of the Department receiving appropriations and forward to the Department of Finance to allot by quarter such appropriations.

Recommendation: Retain for two years following end of biennium to which they relate. Then destroy.

Disposition  
Approved

Handwritten: Mut 84-35 Plan 4

28  
29( )  
Form F-4 - Report of Appropriations and Vouchers Passed

This is an internal form whereby institutions and divisions within the Department report to the General Office monthly the status of their appropriation accounts as per their records. These reports are reconciled with the records of the Department of Finance.

Recommendation: Retain for two years following end of biennium to which they apply. Then destroy.

Disposition  
Approved

Handwritten: Mut 84-35 Plan 4