

JIM EDGAR
Secretary of State
and
State Archivist

STATE OF ILLINOIS
STATE RECORDS COMMISSION

APPLICATION FOR AUTHORITY TO
DISPOSE OF STATE RECORDS

APPLICATION NO. 82-89
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M RM-7.1

AGENCY

Dept. of Children and Family Services

DIVISION

Licensing

SUBDIVISION

Central and all Regional and Field Offices

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.

HEAD OF AGENCY

DATE

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

RECOMMENDATION:

ARCHIVIST

DATE

STATE RECORDS COMMISSION APPROVAL

CHAIRMAN

SAA

SECRETARY

APR 18 1984

DATE

DESCRIPTION OF ITEMS OR RECORD SERIES

ITEM NO.

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. Family Day Care and Foster Home Licensing/Permit Files - (Originals or Record Copies)

Dates: 1946-
Volume: 831 Cu. Ft.
Annual Accumulation: 40 Cu. Ft.
Arrangement: Alphabetical and Chronological

This record series consists of original application(s) for license, family home information sheets, computer print-out "licensing modules" (which includes summary or abstract information concerning the licensed or permitted entities), medical reports on family members, written authorizations for criminal background checks of foster homes, reference letters, completed forms or written narratives of evaluation of the regulated entities' compliance with licensing requirements, copies of permits/licenses issued, and related correspondence comprising the files maintained in the agency's regional and/or field offices for documentation of the Department's regulatory licensing of Family Day Care Homes and Foster Homes pursuant to the "Child Care Act of 1969," Illinois Revised Statutes, 1981, Chapter 23, Paragraph 2211. et seq. Under terms of the "Child Care Act of 1969," issued permits for operations (pending the regulated entities' satisfaction of full licensing requirements) expire upon the lapse of periods which range from two (2) months to six (6) months, and all licenses issued under the Act are valid for two (2) year terms. The agency's recommended retention period of nine (9) years for this record series is based on all previous and anticipated demands for

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DESCRIPTION OF ITEMS OR RECORD SERIES

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the retrieval of the files for use in the settlement of liability claims or suits arising from child injuries on child care premises as well as other factors concerning the records' previous and current reference or evidential values. There are no statutory restrictions on public access which directly apply to this record series.

Application #D 11 rewritten to redefine the individual record series of the child care entity licensing files.

Recommendation: Retain in office for four (4) years following the date of any one of the following occurrences listed below under categories (A) through (C), then transfer to the State Records Center for five (5) years retention and subsequent disposal providing the completion of all audits, if necessary, under supervision of the Auditor General and no litigation is pending nor anticipated:

- A) the scheduled renewal of the corresponding licenses/permits;
- B) the official denial or withdrawal of application for license/permit; and
- C) the date of closure of the licensed/permitted entity(s) through expiration and non-renewal of license/permit, surrender of license/permit, or the revocation of the license/permit.

*Disposition
Approved*

2. Child Welfare Agency, Child Care Institution, Group Home, and Day Care Center Licensing/Permit Files - (Originals or Record Copies)

Dates: 1946-

Volume: 202½ Cu. Ft.

Annual Accumulation: 10 Cu. Ft.

Arrangement: Alphabetical and Chronological

This record series consists of original application(s) for license, computer print-out "licensing modules," documents serving as local fire and health clearances, reports on personnel employed and staff changes at the facility, character and business reference letters, proof of public liability insurance, statements of services offered, building floor plans, sample menus, copies of corporate charters and charter amendments, lists of board(s) of directors of the licensed entities, staff lists, organizational charts, copies of operating budgets, reports of audits of the financial condition of the regulated child care facilities, and related correspondence comprising the files maintained in the agency's regional and/or field offices for documentation of the Department's regulatory licensing of Child Welfare Agencies, Child Care Institutions, Group Homes, and Day Care Centers pursuant to the "Child Care Act of 1969," Illinois Revised Statutes 1981, Chapter 23, Paragraph 2211. et seq. Under terms of the "Child Care Act of 1969," issued permits for operations (pending the regulated entities' satisfaction of full licensing requirements) expire upon the lapse of periods which range from two (2) months to six (6) months, and all licenses issued under the Act are

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DESCRIPTION OF ITEMS OR RECORD SERIES

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valid for two (2) year terms. The agency's recommended retention period of fourteen (14) years for this record series is based on all previous and anticipated demands for the retrieval of the files for use in the settlement of liability claims or suits arising from child injuries on child care premises as well as other factors concerning the records' previous and current reference or evidential values. There are no statutory restrictions on public access which directly apply to this record series.

Application #D 11 rewritten to redefine the individual record series of the child care entity licensing files.

Recommendation: Retain in office for four (4) years following the date of any one of the following occurrences listed below under categories (A) through (C), then transfer to the State Records Center for ten (10) years retention and subsequent disposal providing the completion of all audits, if necessary, under supervision of the Auditor General and no litigation is pending nor anticipated:

- A) the scheduled renewal of the corresponding licenses/permits;
- B) the official denial or withdrawal of application for license/permit; and
- C) the date of closure of the licensed/permitted entity(s) through expiration and non-renewal of license/permit, surrender of license/permit, or the revocation of the license/permit.

*Disposition
Approved*

3. Closed Files of Child Care Entity Licensing Regulations, Hearings and Enforcement Proceedings - (Record Copies)

Dates: 1974-
Volume: 12 Cu. Ft.
Annual Accumulation: 1 1/2 Cu. Ft.
Arrangement: Chronological

This file series contains the agency's central office record copies of pleadings, orders, transcripts, and related correspondence originating from administrative and judicial proceedings held for the enforcement or review of certain Departmental actions taken with respect to the statutory regulation of child care facilities/agencies. There are no statutory restrictions on public access which directly apply to this record series.

Recommendation: Retain each file in office for five (5) years following the final disposition and closure of the corresponding case(s), then transfer to State Archives for permanent retention.

*Disposition
Approved*

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4 Child Care Entity Licensing/Permit Files Maintained by the Department's Central Office - (Originals or Record Copies)

Dates: 1973-

Volume: 60 Cu. Ft.

Annual Accumulation: 7 Cu. Ft.

Arrangement: Alphabetical and Chronological

This record series consists of computer print-out "licensing modules" (currently maintained within the agency's central or Springfield headquarters), which contain licensing team supervisors' and representatives' original signatures for recommendations for the granting of or the denial of licenses/permits issued by the agency pursuant to the "Child Care Act of 1969," Illinois Revised Statutes, 1981, Chapter 23, Paragraph 2211. et seq. Also included within the record series are original applications for license/permit. These are central office licensing files originated from persons/entities applying for license directly through the Department's central offices rather than the agency's regional/field offices. Essential information from this file series is entered in the agency's computer data base for general administrative reference, and the computer tape data extracted from this file are currently updated and retained by the agency on a permanent basis.

Application #D 11 rewritten to redefine the individual record series of the child care entity licensing files.

Recommendation: Retain in office for three months following the date of any of the following occurrences: renewal, denial, expiration, revocation, withdrawal, or surrender of application or permit/license; then dispose of, providing any record series information needed for entry in the agency's computer data base has been entered accordingly, and providing all audits, if required, have been completed under supervision of the Auditor General and there is no pending nor anticipated litigation (which litigation includes administrative and judicial review proceedings). All computer tape formats of this record series will be retained in office on a permanent basis until the agency seeks and obtains State Records Commission approval of erasure and/or disposal of same.

*Disposition
Approved*