

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS

Application No. 86:123
Page 1 of 218

STATE OF ILLINOIS
STATE RECORDS COMMISSION

STATE RECORDS UNIT
ILLINOIS STATE ARCHIVES
SPRINGFIELD, IL 62756
(217)782-2647

AGENCY

Illinois Department of Corrections

DIVISION

Adult Division

SUBDIVISION

All Adult Correctional Centers

Pursuant to the provisions of the *State Records Act* (5 ILCS 160/1 et seq.), I hereby request authority to dispose of state government records according to the schedule which follows. I certify that those records to be disposed of will not be needed in the transaction of current business nor will they be of sufficient administrative, legal, or fiscal value to warrant further retention by this agency. I also certify that any microfilm copies will be made in accordance with the standards of the State Records Commission and will be adequate substitutes for the original records.

SIGNATURE OF AGENCY HEAD

DATE

ACTION TAKEN BY
THE
STATE RECORDS
COMMISSION

John Daly

CHAIRMAN

Michael Devine, by t.p.

SECRETARY

May 18, 1988

DATE

RECORDS LISTED ON THIS APPLICATION MAY BE DISPOSED OF PROVIDING:

- the individual retention period is complete;
- all audits have been completed under the supervision of the Auditor General and no litigation is pending or anticipated;
- the items are correctly listed on a Records Disposal Certificate submitted to and approved by the State Records Commission 30 days prior to disposal.

Certain records, as stipulated on this application, may be microfilmed and the original hardcopy record disposed of if the record is microfilmed in accordance with the standards of the State Records Commission Rules and if the film is retained for the prescribed retention period. **Disposal of records after microfilming must be noted on a Records Disposal Certificate.**

**THIS APPLICATION AND ANY RELATED RECORDS DISPOSAL CERTIFICATES
ARE TO BE RETAINED PERMANENTLY.**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 2 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

WARDEN'S EXECUTIVE OFFICE

100.01 Administrative Correspondence & Reference File (Originals & Duplicates)

Dates: 1971-
Volume: 1520 Cu. Ft.
Annual Accumulation: 95 Cu. Ft.
Arrangement: Alphabetical by Subject

This record series consists of the administrative correspondence and reference files for the Warden's Office administrative detailing matters of the organization, policy and decision-making for the institution. Included would be such documents typed as: all forms and supporting material for accreditation of the institution by the American Correctional Association in College Park, Maryland; copies of Affirmative Action plans developed for the agency; all meeting minutes and policy statements of the institutions Adjustment Committee dealing with changes in operational rules; copies of plans/ specifications for Capital Development Board projects on the grounds of the institution: internal correspondence of memoranda; copies of the hearing transcripts and decisions of the Institutional Inquiry Board which receives grievances from inmates; copies of lawsuits by inmates against the Department of Corrections; "Shakedown Dates" which are letters from the Warden to the D.O.C. administration in Springfield notifying them of the establishment of an institutional "shakedown" and the effective dates of such; meetings of minutes of the institution's Publication Review Committee; a collective bargaining reference file for all matters dealing with: recognition, current contracts; Departmental policies, etc; correspondence between the Warden's Office and the D.O.C. administration in Springfield including incident reports; and correspondence between the institution and the John Howard Association (a private organization which monitors the Correctional profession throughout the United States)

Recommendation: Retain three (3) years in office, then with the assistance and cooperation of the staffs of the agency and the State Archives, review files and weed out any documents no longer possessing any further administrative value and transfer those documents which detail the decision-making, planning, and policy decision-making of the institution to the State Archives for permanent retention. Any documents which do not warrant further preservation are to be disposed of by the agency upon the completion of an approved State Records Disposal Certificate and providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 3 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

100.02 Institutional Reference Files

Dates: 1975 -
Volume: 228 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Alphabetical by Program Area,
then Chronological

This record series consists of copies of meeting minutes from monthly staff meetings and correspondence between the Warden's Office and Department Heads.

Recommendation: Retain in office for three (3) years then review files and dispose of any materials no longer possessing any administrative value, providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

100.03 Civil Lawsuits File (Agency Record Copy)

Dates: 1977 -
Volume: 570 Cu. Ft.
Annual Accumulation: 57 Cu. Ft.
Arrangement: Alphabetical by Plaintiff's name

This record series consists of the institution's copies of civil lawsuits filed by inmates against the administration of the Department of Corrections in whatever court jurisdiction that was appropriate. Included would be the following document types:

- a) Complaint - stating the alleged violation of the inmate(s) civil rights, alleged mistreatment of inmate(s) by Correctional staff, or alleged violation of the D.O.C. administrative rules/procedures
- b) Correspondence - between the institution of the Attorney General's Office to request evidence or clarity statements of fact in defense of the lawsuit
- c) Investigation Reports - which would be the Department's own review of the alleged events/ actions which culminated in the filing of the lawsuit
- d) Incident Reports - copies of any incident reports on file which were relevant to the lawsuit, and
- e) Miscellaneous Evidence - commissary lists, watch reports, key control logs, etc. which were requested as evidence by the Plaintiff(s)' attorneys

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 4 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

Original civil lawsuit files would be maintained by the appropriate circuit, appellate, or court of higher venue depending upon the progression of the litigation.

Recommendation:	Retain five (5) years in office following final closure of all litigation due to: withdrawal of lawsuit by plaintiff(s) case refused to be heard by court, all appeals exhausted by plaintiff(s), or final decision or settlement reached by involved parties.	Disposition Approved 5/18/88
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100.04 Department of Human Rights/EEO Complaint Files (Agency Record Copy)

Dates:	1980 -
Volume:	76 Cu. Ft.
Annual Accumulation:	14¼ Cu. Ft.
Arrangement:	Alphabetical by Plaintiff(s)' name

This record series consists of case files involving changes of alleged unfair employment practices. Files include record of investigation of complaints; conciliation, proceedings, and settlement agreements with specific document types found in each file including: preliminary charge statements, charge report forms, correspondence, public hearing transcripts, any exhibits, interview reports, legal documents such as affidavits of service, notices of conciliation conferences, motions, and stipulated agreements. The agency's Affirmative Action Office maintains their copy of Human Rights Complaint Files for five (5) years (on microfilm) after closure of case as per Application 78-83M, item #1. The Illinois Department of Human Rights as the official regulatory agency in hearing charges of unfair employment practices maintains the official case files for twenty-two (22) years after closure as per Application 81-94, item #22.

Recommendation:	Retain five (5) years in office after closure of all litigation, then dispose of.	Disposition Approved 5/18/88
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APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 5 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

100.05 Lockdown File (Originals)

Dates: 1979 -
Volume: 76 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological by date

Whenever, in the judgement of the Warden or the administration of the Department of Corrections and in order to maintain the safety and security of the institution, a "lockdown status" is implemented which restricts inmates to their cells until such time as conditions warrant return to normal status. This record series consists of those documents completed and maintained by the Warden to notify all necessary security personnel and to establish the procedures to be followed during the lockdown itself. This would include: the official bulletin or notice from the Warden declaring lockdown status; procedure directives which instruct the security staff how to set the lockdown in place; a report during the lockdown on each inmate assignment (who was let out of their cell temporarily and for what purpose); and specialty records which could be the procedure developed to prepare and serve meals, etc.

Recommendation: Retain five (5) years in office, then transfer to the Illinois State Archives.

**Disposition
Approved
As Amended
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 6 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

WARDEN'S OFFICE/AFFIRMATIVE ACTION OFFICE

110.01 Affirmative Action Complaint Files (Duplicate)

Dates: 1972 -
Volume: 76 Cu. Ft.
Annual Accumulation: 5.70 Cu. Ft.
Arrangement: Chronological

This record series consists of files of complaints received from applicants and employees who believe they were discriminated against on the basis of age, sex, race, national origin, handicap or status as a disabled veteran or veteran of the Vietnam Era. A typical file contains: an Affirmative Action Complaint form, transcripts of the Employee Review Board Hearing; disposition of the hearing offices; employee evaluations; records of prior grievances; and other related supporting documents and correspondence. The agency record copy is maintained for five (5) years after closure by the Center's Chief Investigator's Office.

Recommendation: Retain in office two (2) years after settlement of complaint, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

110.02 Monthly Review and Summary Reports

Dates: 1972 -
Volume: 513 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological

This record series consists of Monthly Review and Summary Reports prepared by this office which summarize the composition of each division's personnel according to race and sex. Basic components of the reports are: 1) Work Force Analysis, providing each division's numbers are percentages of male and female workers of each race; 2) Summary of Personnel Transactions, providing such data in terms of job applicants, interviews, new-hires, discipline acts, affirmative action complaints, promotions, transfers and terminations; 3) Final Availability of Numbers, summarizing the number of people of each race according to

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 7 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

job types; 4) Employee Turnover Report; and 5) Employee Review Officer's list of hearings, nature of each charge or violation and the decision. The agency record copy is received and maintained by the agency's Office of Affirmative Action for years as per Application 78-83, item #1.

Recommendation:	Retain in office for five (5) years, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
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110.03 Travel Vouchers (C-10's) (Duplicates)

Dates:	1985 -
Volume:	19 Cu. Ft.
Annual Accumulation:	4 3/4 Cu. Ft.
Arrangement:	Chronological

This record series consists of this office's copies of travel vouchers (C-10) and the respective billings and receipts. Agency record copies are maintained by the Department of Corrections' Division of Prisons for six (6) years as per approved Application 83-52, item #2. The State Comptroller's Office maintains their copy of this record series as per approved Application 76-71.

Recommendation:	Retain in office for five (5) years, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
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110.04 General Administrative Correspondence File (Duplicate)

Dates:	1985 -
Volume:	19 Cu. Ft.
Annual Accumulation:	19 Cu. Ft.
Arrangement:	Alphabetical by subject

This record series consists of all interagency correspondence generated and received by this office; duplicate monthly reports on Recruiting and Orientation sent to the Wardens regarding this office's activities in achieving Affirmative Action goals; Weekly Itineraries (original of which is sent to the agency Office of Affirmative Action); Annual "Under-utilization Report" to the warden on the shortcomings of minority employment programs; correspondence/memoranda regarding staff training courses sponsored by this office or attended by office personnel; telephone log; and other materials generated in the routine operations of this office.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 8 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

Recommendation

Retain in office three (3) years, then review files and dispose of all informational or routine items which are not current or have been revised/updated. Retain all original minutes of meetings, special surveys and reports and any material documenting unique activities and significant policy decisions permanently in office or transfer to the Illinois State Archives for permanent retention.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 9 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

WARDEN'S OFFICE/AUDIT PROCEDURES

120.01 Monthly Reports to the Deputy Director of Corrections - Adult Institutions (Duplicate)

Dates: 1981 -
Volume: 114 Cu. Ft.
Annual Accumulation: 22.80 Cu. Ft.
Arrangement: Chronological

This record series consists of fifteen (15) reports pertaining to the general operations and internal affairs of this facility that are compiled into a single package and sent to the Deputy Director of Corrections - Adult Institutions. Reports of the package include:

- 1) Statistical Summary Report
- 2) Employee Review Board Statistics
- 3) Employee Turnover Report
- 4) Warden's Bulletins
- 5) Warden Timesheets
- 6) Warden's Staff Meeting Minutes
- 7) Highway Crew Work Report
- 8) Stop and Rescind Stop Orders
- 9) Tactical Unit Training Report
- 10) Systems Check Report for (the given month)
- 11) Labor/Management Meeting Minutes
- 12) Firearms Qualification Report
- 13) Emergency Cell Removal Test Report
- 14) Holiday Inspection Report
- 15) Unscheduled Inspection Report

The agency record copy is retained by the Deputy Director of Corrections - Adult Institutions.

Recommendation: Retain three (3) years in office, then review files and with the cooperation of the staffs of the agency and the State Archives, weed out any reports which document significant policy/operational function and transfer these reports to the State Archives for permanent retention. All reports not transferred may be disposed of if no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 10 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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120.02 General Administrative Correspondence (Original and Duplicate)

Dates: 1981 -
Volume: 76 Cu. Ft.
Annual Accumulation: 15.20 Cu. Ft.
Arrangement: Alphabetical by topic/Chronological

This record series consists of general administrative correspondence and memoranda generated and received by this office in the course of its operations. Topics include: correspondence with the Warden regarding administrative problems and staff misconduct; memoranda from the Warden disclosing results of any investigations (and requiring no response from this office); and files for the American Correctional Association (ACA) containing informational materials pertaining to the accreditation of correctional institutions, and correspondence establishing appointments for - and disclosing the findings there of - visiting ACA inspection teams who evaluate the correctional institute according to its standards of humane treatment and efficient management.

Recommendation: Retain in the office for three (3) years, then review files and dispose of all informational or routine items which are not current or have been revised/updated. Retain all original minutes of meetings, special surveys and reports and any materials documenting unique activities and significant policy decisions permanently in office or transfer to the Illinois State Archives for permanent retention.

**Disposition
Approved
5/18/88**

120.03 Local Directives and Policies Files (Record Copy)

Dates: 1981 -
Volume: 57 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Coded number series

One of the functions of the Division of Audit Procedures is the drafting of all directives and policies decreed by the Warden's Office. This record series consists of the record copies of all active and inactive directives and policies. Attached to these documents may

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 11 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

be a memorandum from an administrator expressing the need for an adoption or revision of a policy, or any reports or studies that precipitated the enactment by the Warden's Office.

Recommendation:	Retain in office permanently or transfer to the Illinois State Archives for permanent retention.	Disposition Approved 5/18/88
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120.04 Performance Audit Files (Original)

Dates:	March 1986 -
Volume:	95 Cu. Ft.
Annual Accumulation:	190 Cu. Ft.
Arrangement:	Division/Chronological

This record series consists of Performance Audit "Packages" conducted by this office. This record series consists of audit "packages" containing documents created during annual audits of each division's performance in its operations. A typical "package" consists of: the work schedule assigning a staff member to conduct an audit; questionnaires of interviews of staff in the audited department; miscellaneous notes compiled during the audit; the audit report itself, analyzing the responsibilities of the office and its efficiency in meeting those responsibilities; and a Review Sheet with the Warden's signature attesting his review of the audit.

Recommendation:	Retain six (6) years in office, then dispose of if no litigation is pending or anticipated.	Disposition Approved 5/18/88
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120.05 Auto Usage Reports (Record Copies)

Dates:	1970 -
Volume:	38 Cu. Ft.
Annual Accumulation:	¼ Cu. Ft.
Arrangement:	By equipment number

This record series consists of the institution's record copies of auto usage reports for the accounting of the quantity and cost of gasoline and oil purchased each day.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 12 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

Also included in these files are correspondence, copies of invoice vouchers used to purchase vehicles, and summarizations indicating the total expenditures for the vehicle's operation for the month (i.e., labor charges, parts or fillings, anti-freeze, battery purchases and a summary of purchases categorized by source).

Recommendation: Retain in office for one (1) year, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

120.06 Internal Audit Reports (Originals)

Dates: 1911 -
Volume: 33¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of internal audit reports with related fiscal documents. Internal audit reports are submitted to the Department of Corrections in Springfield.

Recommendation: Retain in office for six (6) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approve
5/18/88**

120.07 External Audit Reports (Record Copies)

Dates: 1911 -
Volume: 23 3/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of external audit reports conducted every two (2) years by the Auditor General. Duplicate copies of external audit reports are forwarded to the Warden's Office. Original reports of state agency audits are presently maintained permanently under approved Application #77-127M providing State Archives accessioning of these reports.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 13 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
120.08	<p>Budget Files (Originals)</p> <p>Dates: 1984 - Volume: 38 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological by fiscal year</p> <p>This record series consists of workpapers, reports and summaries created or received by the Business Office as part of the budget preparation process. Included in these files are original budget requests, allocation requests, Illinois State Legislature (ISL) budget submittals, quarterly budget reviews and related correspondence.</p>	
	<p>Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
120.09	<p>Overtime Equalization Charts (Originals)</p> <p>Dates: 1984 - Volume: 23 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By month</p> <p>This record series consists of charts maintained to monitor and equalize the amount of overtime worked by the various personnel of the Institution. This practice is required by union contract.</p>	
	<p>Recommendation: Retain in the office for two (2) years after the expiration of the union contract, then dispose of providing no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 14 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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120.10 Payroll Administration Files (Record Copies)

Dates: 1983 -
Volume: 114 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological

This record series consists of employee payroll documents generated by the Business Office. Included in these records are vacation and sick leave requests, overtime reports and semi-monthly salary reports indicating an employee's monthly salary rate, summary of salary earned to date and the anticipated salary for the year.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

120.11 Personnel Files (Duplicates)

Dates: 1975 -
Volume: 118 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Alphabetical

This record series consists of duplicate copies of personnel files of the Business Office. Included in these files are copies of employee evaluations, leave of absence reports, time slips and class specification descriptions. Original personnel files are maintained in the Personnel and Timekeeping Offices.

Recommendation: Retain in office for five (5) years after separation/termination of employment, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 16 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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BUSINESS OFFICE/ACCOUNTING

130.01 Miscellaneous Computerized Account Summaries (Computer Printouts)

Dates: 1986 -
Volume: 14¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

These computer printouts list Journal Vouchers; Accounts Payable; Inmate Maintenance (status and grade change); Inmate Restrictions; Commissary sales; transactional adjustments or corrections to be made; and list of checks drawn.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

130.02 Adjusting Entries Journal (Original)

Dates: 1983 -
Volume: 9½ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This journal contains adjusting entries for such accounts as NOW accounts, damage and spoilage, and adjustments for previously unreported sales or billings.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 17 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.03	Authorization for Distribution of Funds (Original and/or Record Copy)	
	Dates: 1982 - Volume: 33¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological and by resident	
	<p>This is the original and/or institutional record copy of a form received from the Adjustment Committee stating residents fined and amounts fined for disciplinary infractions. This form serves as a release for the Department and the Center to collect the fines from the President's Trust Fund and/or pay allowance for the determined amount for restitution.</p>	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.04	Burroughs (9000) Computer System Ledger Cards and Printouts (Originals)	
	Dates: 1978 - Volume: 437 Cu. Ft. Annual Accumulation: 57 Cu. Ft. Arrangement: Numerical	
	<p>These computer system ledger cards and printouts (both the new superseded Burroughs 9000 system and its succeeding 9000 system) summarize all transactions of the Resident Trust Fund.</p>	
	<p><u>Application 83-52, item 12 is rewritten to provide master facility-wide coverage by record series.</u></p>	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 19 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.07	Check Stubs from Resident Trust Fund Expenditures (Originals)	
	Dates: 1980 - Volume: 332½ Cu. Ft. Annual Accumulation: 47½ Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.08	Miscellaneous Computer Printout Fund Reporting and Reconciliation Documents	
	Dates: 1983 - Volume: 114 Cu. Ft. Annual Accumulation: 12½ Cu. Ft. Arrangement: Chronological	
	These are miscellaneous computer printouts received from the Information Services Section in Springfield for general fund status reporting and reconciliation.	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 20 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.09	Computer Printout Furlough Expense Statements and Requests for Payments (Record Copies) Dates: 1980 - Volume: 171 Cu. Ft. Annual Accumulation: 42 3/4 Cu. Ft. Arrangement: Chronological The computer printout statements give amounts allowed for furlough expenses (guards, meals, mileage, etc.). Attached with the statements are written requests for payment. Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.10	General Revenue Fund Collection and Deposit Records - Receipt Deposit Transmittals (C-64's) and State Treasurer's Office Revenue Source Breakdown (DC-276) Dates: 1984 - Volume: 23 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological The Receipt Deposit Transmittals (C-64's) are used to list and cover transmittals of receipts for deposit in the State Treasury. The DC-276 is sent to headquarters/Fiscal Services as well as receipt deposit transmittals for processing and forwarding to the State Treasurer's Office receipts for deposit. Headquarter's copies are retained for three (3) years under authority of approved Application 83-52, item 12. The State Comptroller's Office maintains <u>Receipt Deposit Transmittals</u> as part of the "CUSAS" System. Monthly "CUSAS" reports of state agency expenditures and balances are retained by the Comptroller's Office on a permanent basis and daily reports for a period of one (1) year under provisions of approved Application 77-100M, item #4. Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 22 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.13	Imprest Fund Daily Cash Balance Runs (Machine Tape) (Originals)	
	Dates: 1984 - Volume: 19 Cu. Ft. Annual Accumulation: 6¼ Cu. Ft. Arrangement: Chronological	
	These machine tapes are cross-referenced with the Imprest Fund ledger.	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.14	Imprest Funds Ledger (Original)	
	Dates: 1984 - Volume: 23 ¾ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological	
	This ledger shows Imprest Fund checks issued from the balance of residents' Trust Funds upon parole. The ledger is cross referenced to the daily cash balance tapes ran for the Imprest Fund.	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.15	Quarterly and Cumulative Year-End Interest Reports for all Funds and the Commissary (Duplicates)	
	Dates: 1980 - Volume: 42 ¾ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological	
	These reports are sent in original format to Fiscal Services in Springfield headquarters for showing for the various funds involved interest	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 23 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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earned on NOW accounts and certificates of deposit.

Recommendation:	Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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130.16 Local Funds Bank Statements (Record Copies)

Dates:	1984 -
Volume:	28½ Cu. Ft.
Annual Accumulation:	9½ Cu. Ft.
Arrangement:	By account and Chronological

These are bank statements received for reporting the status of funds deposited locally.

Recommendation:	Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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130.17 Locally Held Funds Financial Reports and Duplicate Ledger Sheets (Original and Duplicate)

Dates:	1980 -
Volume:	42 3/4 Cu. Ft.
Annual Accumulation:	4 3/4 Cu. Ft.
Arrangement:	Chronological

This report shows all disbursements, receipts, reconciliations, and other related data pertinent to the institution's local funds management and condition. Copies of ledger sheets devoting the general status and balance of the funds are included within the scope of the series.

Recommendation:	Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 24 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.18	Monthly Physical Inventory Report (Original)	
	Dates: 1984 - Volume: 23 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This is the original inventory report of the Commissary showing stock room and counter area quantities, unit costs, and total costs. Commissary maintains a duplicate. This inventory is cross referenced to the Accounting Office's general ledger.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.19	Commissary Profit & Loss Statements Compiled by the Accounting Office (DC-904) (Duplicates)	
	Dates: 1984 - Volume: 23 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>These are duplicate preliminary and official Commissary profit and loss statements showing sales volumes, liabilities and net profits. The original of this statement is sent to the departmental headquarters fiscal office.</p>	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 25 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.20	Monthly Profit and Loss Statements Received from the Commissary (Duplicates) Dates: 1982 - Volume: 33¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological <p>These Profit and Loss Statements are prepared by and received from the Minimum Security Unit and the Commissary from their internal journals and ledgers. Among the information given in the report are entries for resident sales, sales to Jaycees, visitors and totals. The statements also provide accounting breakdowns for damage and spoilage. These internal statements are referenced by the Accounting Office for the compilation of their statements forwarded to the Fiscal Office of the Springfield headquarters.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.21	Resident Claim Forms for Non-receipt of Trust Funds or Merchandise (Originals) Dates: 1983- Volume: 38 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological and by resident <p>This form is prepared by accounting upon receipt of a "referral" from a resident's counselor as notice of the claim.</p>	
	Recommendation: Retain in office for two (2) years after resolution of the claim, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.22	Resident Commissary Fund Account Statements (Duplicates)	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

These are duplicates of resident commissary sales statements listing the resident, register number, amount, and balance of the account. This information is entered in the Business Office computer base primarily for capturing in the account's ledger.

Recommendation:	Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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130.23 Resident Commissary Fund, Resident Benefit Fund, and Employee Benefit Fund Ledgers and Cash Receipt Log (Originals)

Dates: 1983 -
Volume: 19 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological and by fund
Recommendation:

Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

130.24 Resident Commissary Sales Journals (Originals)

Dates: 1982 -
Volume: 33¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This journal contains daily and monthly entries of accounts receivable and payable, minimum security unit sales, retail sales, and "shortages" (i.e., discrepancies from not getting full amounts ordered). Accounts from this journal are used for commissary ledger compilation and reconciliation.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 27 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
130.25	Resident Payroll Listing and Ledger (Computer Printout)	
	<p>Dates: 1985 - Volume: 76 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: By work arrangement</p> <p>These computer printouts contain name, cell house, type of work assignment, register numbers (etc.). These are reconciliation documents used for verifying the reported type of work and pay rates due.</p>	
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
130.26	Resident Personal Property Safe Keeping and Disposition Form - Special Order Items (Original)	
	<p>Dates: 1980 - Volume: 42 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological and by resident</p> <p>This form is used to identify residents personal property maintained in the Center's safe until delivery to the owner/resident at the appropriate time. This form is used mostly for the safe keeping and delivery of "special order" items.</p>	
	<p>Recommendation: Retain in office for three (3) years after the delivery of the personal property items to the resident then dispose of providing no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 28 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

130.27 Receipts from Resident Fund Donations and Expenditures (Duplicates)

Dates: 1980 -
Volume: 52¼ Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

Original receipts are provided the applicable resident or donor.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

130.28 Computer Printouts of Resident Trust Fund Transfers (Originals)

Dates: 1981 -
Volume: 285 Cu. Ft.
Annual Accumulation: 57 Cu. Ft.
Arrangement: Chronological

These printouts list name, register number, amount of check issued for transfer, and date transferred.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 29 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

130.29 Trust Fund "Money Sheet" Used for Forwarding Trust Fund Balances to Other Institutions for Transferees (Originals)

Dates: 1985 -
Volume: 57 Cu. Ft.
Annual Accumulation: 28½ Cu. Ft.
Arrangement: Chronological

This sheet is received from the Records Office listing residents transferred to given centers so that Trust Fund balances may be forwarded to the institutions accordingly.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

130.30 Resident Trust Fund Money Vouchers (DC-828) (Record Copies)

Dates: 1980 -
Volume: 152 Cu. Ft.
Annual Accumulation: 25¼ Cu. Ft.
Arrangement: Chronological

This voucher is copied with the applicable resident and is used as authorization to extend trust funds and as ongoing documentation of available Trust Fund balances.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 30 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.31	Computer Printout Resident Trust Fund Transaction and Status Statements (Originals)	
	Dates: 1986 - Volume: 19 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.32	Resident Trust Fund Withdrawal Authorization Form (DC-316) (Duplicate)	
	Dates: 1983 - Volume: 38 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological	
	These are duplicates of original authorization(s) to withdraw (DC-316) sent to other institutions holding Trust Funds for the appropriate withdrawal of such funds.	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
130.33	Statement of Outstanding Receivables (DC-713) (Duplicates)	
	Dates: 1982 - Volume: 38 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological	
	These are duplicates of accounts receivable statements sent in original format to the Department's Springfield headquarters indicating name	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 31 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

of resident, register number, amount outstanding, institutions transferred to or if paroled, and comments on monies received or yet outstanding.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

130.34 Training School Planning Sheets (Duplicates)

Dates: 1984 -
Volume: 4 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Chronological

These are Business Office reference copies of Training School planning sheets received from the Training School for fiscal administration review/planning activities with regard to class offerings, schedules, and the quantitative hours of training.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

130.35 Employee Travel Expenses Advance Form (Original)

Dates: 1980 -
Volume: 28 1/2 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Chronological

This form is used to document cash advances made from the Center's cashier to employees for official travel expenses. Copies of this form are provided the Vouchering Unit for travel voucher processing.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 32 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

Recommendation:	Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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130.36 Monthly Trial Balance Sheets (Originals)

Dates:	1984 -
Volume:	9½ Cu. Ft.
Annual Accumulation:	¼ Cu. Ft.
Arrangement:	Chronological and by fund

These are the accounting office's monthly trial balance sheets ran for all funds for vouchering and budget administration.

Recommendation:	Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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130.37 Commissary Cash Receipt and Sales Log (Originals)

Dates:	1980 -
Volume:	½ Cu. Ft.
Annual Accumulation:	Negligible
Arrangement:	By date order

This record series consists of sales sheets completed daily by the Commissary Supervisor indicating the amount of total sales, daily sales and the cash count for the Commissary.

Recommendation:	Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/20/91
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**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 33 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.38	Locally Held Funds Cancelled Checks (Originals)	
	Dates: 1980 - Volume: 2 Cu. Ft. Annual Accumulation: Negligible Arrangement: By fund and number order	
	This record series consists of original copies of cancelled checks for Locally Held Funds.	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/20/91
130.39	Employee Commissary Cash Register Tapes (Daily) (Originals)	
	Dates: 1982 - Volume: 16 Cu. Ft. Annual Accumulation: 2 Cu. Ft. Arrangement: Chronological by date order	
	This record series consists of cash register tapes recording daily sales (by key number) in the Employee Commissary.	
	Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 2/20/91
130.40	Employee Commissary Cash Audit (Originals)	
	Dates: 1980 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by date order	
	This record series consists of reports verifying cash audits of the Employee Commissary cash drawer. This audit is completed internally by the Business Office staff.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 34 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 2/20/91</p>
130.41	Commissary Accounts Payable Sub-Ledgers (Originals)	
	<p>Dates: 1980 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by date order</p> <p>This record series consists of Commissary accounts receivable and accounts payable subsidiary ledgers listing each vendor and amounts outstanding.</p>	
	<p>Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 2/20/91</p>
130.42	Trust Fund Reconciliation Worksheets (Monthly and Weekly) (Originals)	
	<p>Dates: 1984 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by date order</p> <p>This record series consists of worksheets indicating reconciliation of checkbook balances with computerized trust fund balances.</p>	
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 2/20/91</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 35 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.43	Inmate Commissary Receipts (DCA-1506) (Originals) Dates: 1980 - Volume: 6 Cu. Ft. Annual Accumulation: ½ Cu. Ft. Arrangement: Chronological by date order This record series consists of Inmate Commissary receipts which are used to post the disbursements off the inmate's trust account. Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 2/20/91
130.44	Money Receipt Lists (Computer Printouts) (Originals) Dates: 1984 - Volume: 3 Cu. Ft. Annual Accumulation: ½ Cu. Ft. Arrangement: Chronological by date order This record series consists of Inmate Trust Fund computer listings indicating all monies received by the Trust Fund. Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 2/20/91
130.45	Trust Fund Cashier Receipts (Originals) Dates: 1980 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by date order This record series consists of original receipts received from the cashier for trust fund checks which are being deposited into other funds. Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 2/20/91

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 36 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
130.46	Stale dated Check Lists (Originals)	
	Dates: 1980 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological by date order	
	This record series consists of lists signed by the bank which serve as notification for the bank that the Business Office will staledate the checks listed and return the money to the inmate.	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 2/20/91
130.47	Store Requisitions with Supporting Computer Printouts (DC 7164-1) (COM)	
	Dates: 1987 - Volume: 3 Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Numerical	
	This record series consists of the original copy of the store requisition (DC 7164-1) and the computer print out of the back-up. This requisition consists of the item, catalog number and the quantity issued by the individual store. The back-up gives the dollar amount of each issue and the total dollar amount.	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 4/20/94

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 38 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

BUSINESS OFFICE
EMPLOYEE SERVICES UNIT/PAYROLL OFFICE

140.01 Payroll Administration Master File (Original & Duplicate)

Dates: 1943 -
Volume: 494 Cu. Ft.
Annual Accumulation: 25¼ Cu. Ft.
Arrangement: By pay period

This file serves as the primary file controlling the overall payroll administration procedures for the correctional facility. Forms/documents included in this file are in both computer printout and manual formats and include the following titles and/or functional classifications: group insurance membership enrollment forms. Payroll Office copies of original Personnel Position Action Form(s) maintained by the Personnel Office of the facility, Final Timekeeping Form(s) for Separation and Leaves of Absence (SCC-7), Timework Summary Transaction Basic Work Schedule (and supplemented), Time Lost - Reinstatement, pay period listings of name and "Timekeeping Group Code Number" changes, Payroll Time Report, internal ledger for account, retirement contribution summary account from the Springfield Office, and Notification/Service Merit Performance Increases.

Recommendation: Retain group insurance membership enrollment forms until the expiration of administrative value through supersedure or obsolescence from the cancellation or revision of contract coverage and/or change of enrollment form, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Retain all other record series documents in office for six (6) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 39 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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140.02 Payroll Deduction Authorization/Revocation Cards (Originals)

Dates: 1970 -
Volume: 19 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Alphabetical and Chronological

These are cards completed and executed by employees authorizing or revoking specific deductions from their payroll warrants for various fees and services.

Recommendation: Retain in office for six (6) years following the date the card becomes inactive through separation of employee or revocation of deduction, then dispose of providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

140.03 Payroll Vouchers (Record Copies)

Dates: 1982 -
Volume: 171 Cu. Ft.
Annual Accumulation: 42 ¾ Cu. Ft.
Arrangement: Chronological

These are institutional record copies of all payroll vouchers dated from 1982. Departmental level record copies of payroll vouchers are maintained by the Department's Division of Administration for six (6) years under authority of Application 84-61.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 40 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

140.04 Employee Payroll Summary Card File (Original)

Dates: 1950 -
Volume: 61 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Alphabetical & Chronological

This card file serves as an internal summary of payroll administration transactions per active and inactive employees.

Recommendation: Dispose of upon discretion of Payroll Office.

**Disposition
Approved
5/18/88**

140.05 Garnishment Files (Originals or Record Copies)

Dates: 1965 -
Volume: 76 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Alphabetical & Chronological

This record series consists of completed forms used to initiate and hold garnishments of payroll for the satisfaction of employees' outstanding liabilities. These forms attain inactive status when liabilities are finally disposed of through full collection or other settlement.

Recommendation: Retain in office until attainment of inactive status, then continue to retain in office for an additional six (6) years, then dispose of providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 41 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

140.06 W-4 Forms (Originals)

Dates: 1966 -
Volume: 76 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

These are executed W-4 forms for income tax exemption declarations covering both active and inactive correctional employees working within the facility.

Recommendation: Retain in office for seven (7) years following the date the forms become inactive through separation of employee or through supersedure by revision, then dispose of providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 43 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain for three (3) years in office, then transfer to the State Records Center for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
150.03 Employee Files (Originals or Record Copies)		
Dates:	1947 -	
Volume:	570 Cu. Ft.	
Annual Accumulation:	14 1/4 Cu. Ft.	
Arrangement:	Alphabetical and Chronological	
	<p>This record series consists of files maintained by individual employees for documenting specific timekeeping transactions. File series contents include: summary memoranda from personnel; adjustment memos; grievance forms (where applicable); and copies of transfer carry-over forms which are sent to Central Management Service's Personnel Division. This record series embraces files of employees currently employed with the facility and files of employees who have terminated or transferred state service.</p>	
Recommendation:	Retain in office until inactive through the termination or transfer of the respective employee(s) and the lapse of six (6) years thereafter, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 3/23/94

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 44 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

BUSINESS OFFICE
EMPLOYEE SERVICES UNIT
WORKMEN'S COMPENSATION CLAIMS OFFICE

160.01 Workmen's Compensation Claims Case Files (Institutional Record Copies)

Dates: 1984 -
Volume: 285 Cu. Ft.
Annual Accumulation: 114 Cu. Ft.
Arrangement: Alphabetical by claimant

This record series includes the center's copies of Workmen's Compensation Claims case file documents. Categories of claims included within the scope of the series are Temporary Disability, Total Disability, and Extended Benefits. These files are comprised of the following forms or documents: Department of Corrections Worker's Compensation Documents Log showing the type and submission dates of case file forms/documents; Employees First Report of Injury (IC Form 45); Employees Report (DP900-L); Medical Report (DP900-2); Supervisor's Report (DP900-3); Summary of Disability (DP900-4); Release Authorization (DP900-5); Witness Report (DP900-5); and various other documents and correspondence relating to or germane to the settlement of a case.

The Illinois Industrial Commission retains its case file documentation for workmen's compensation claims for five (5) years after the final disposition and closure of the respective cases per Application 85-54. This approved retention period and the fact that the correctional centers' Workmen's Compensation case files are duplicated for maintenance by the Department's central headquarters for an identical five (5) year period (pending approval of Application 86-117) serve as the basis for the retention period recommended for the institutional copies of this series.

Recommendation: Retain in office for one (1) year after closure of the respective case(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 45 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

BUSINESS OFFICE/GENERAL ACCOUNTING

170.01 General Accounting Ledgers (Originals)

Dates: 1893 -
Volume: 19 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: By fiscal year

This record series consists of the general accounting ledgers documenting the overall allotments, encumbrances and expenditures of the Institution.

Recommendation: Retain for two (2) fiscal years in office, then transfer to the State Records Center for four (4) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

170.02 Commissary Request Forms (Inmate Order Forms) (Originals)

Dates: 1983 -
Volume: 1,368 Cu. Ft.
Annual Accumulation: 456 Cu. Ft.
Arrangement: Chronological

This record series consists of original copies of Commissary Request Forms/Inmate Order Forms maintained by the Business Office as a record of articles ordered by inmates from the Commissary.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 46 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
170.03	Detail Report of Physical Inventory (Forms 2 & 5)	
	Dates: 1975-1986 Volume: 152 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: By month	
	<p>This record series consists of Detail Reports of Physical Inventories generated on a monthly basis by Central Management Services. These reports were superseded by the Property Control System computer printouts received from the Department of Corrections in Springfield.</p>	
	Recommendation: Dispose of accumulation.	Disposition Approved 5/18/88
170.04	Orders for Delivery (Duplicates)	
	Dates: 1982 - Volume: 28½ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Alphabetical by vendor	
	<p>This record series consists of duplicate copies of orders for delivery for goods and services provided by vendors. Original orders for delivery are maintained in the Purchasing Unit.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
170.05	Property Control System Files (Computer Printouts)	
	Dates: 1983 - Volume: 114 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: By month, by tag number, and by location	
	<p>This record series consists of computer printouts generated monthly by the Department of Corrections in Springfield. These computer printouts are utilized by the Business Office as a means of verifying and updating the use and disposition of property in the custody of Stateville Correctional Center. Included on the computer printouts is the following information: tag</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 47 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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number; description of item; purchase price and reference number.

From 1975-1986, the Business Office received Detail Reports of Physical Inventories (Forms 2 & 5) from Central Management Services. Beginning in 1983, the Department of Corrections in Springfield assumed the responsibility for issuing property control inventories for Stateville Correctional Center.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

170.06 Purchase Orders and Sub-Orders (Duplicates)

Dates: 1982 -
Volume: 114 Cu. Ft.
Annual Accumulation: 28½ Cu. Ft.
Arrangement: Alphabetical by vendor

This record series consists of duplicate copies of purchase orders and sub-orders maintained for reference use only by the Business Office. Original purchase orders and sub-orders are maintained in the Purchasing Unit.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

170.07 Requests for Change of Status of Equipment (Originals)

Dates: 1983 -
Volume: 38 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: By fiscal year

This record series consists of forms used to transfer or dispose of property in the custody of Stateville Correctional Center.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 48 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
170.08	Store Receiving Reports (Originals)	
Dates:	1982 -	
Volume:	304 Cu. Ft.	
Annual Accumulation:	76 Cu. Ft.	
Arrangement:	Alphabetical by vendor	
	<p>This record series consists of store receiving reports containing the following information: amount received; item description; catalog number; unit cost and total cost. Also included in these files are inventory adjustment and receipts.</p>	
Recommendation:	Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
170.09	Monthly Summarization Reports (Computer Printouts)	
Dates:	1982 -	
Volume:	456 Cu. Ft.	
Annual Accumulation:	114 Cu. Ft.	
Arrangement:	Chronological	
	<p>This record series consists of computer printouts indicating monthly summarizations of various transactions within the Business Office. These reports include summarizations of the following: all journal transactions; all store requisitions issued; usage of store supplies; and other related transactions. Since 1984 these reports have been maintained on microfiche.</p>	
Recommendation:	Retain one (1) year in office, then dispose of	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 49 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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170.10 Trial Balance (Computer Printouts)

Dates: 1982 -
Volume: 19 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: By fiscal year

This record series consists of computer printouts indicating any corrections of errors to the General Accounting Ledgers by the Business Office.

Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

170.11 Vouchers, Schedules and Related Documents (Record Copies)

Dates: 1982 -
Volume: 1,168½ Cu. Ft.
Annual Accumulation: 285 Cu. Ft.
Arrangement: Chronological & Alphabetical

This record series consists of all vouchers (i.e., invoice, journal payroll and travel) with supporting schedules, grouping sheets and orders for delivery. Original vouchers are retained by the State Comptroller's Office for three (3) years in accordance with approved Application 76-71.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 50 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
170.12	Trust Office Commissary Slips - DC7120 (Originals)	
	Dates: 1984 - Volume: 1,656 Cu. Ft. Annual Accumulation: 276 Cu. Ft. Arrangement: Numerical by batch number order	
	This record series consists of original trust office commissary slips signed by the inmate which indicate what the inmate purchased, the amount spent, finger prints and the amount of money on the books prior to purchase.	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/15/91
170.13	Inmate Placement Forms (DCA-16484/DCA-16272) (Agency Record Copy)	
	Dates: 1980 - Volume: 460 Cu. Ft. Annual Accumulation: 46 Cu. Ft. Arrangement: Chronological	
	This record series consists of verification forms which an inmate signs in order to indicate that he/she has received the proper orientation from the Reception and Classification Unit upon his/her arrival at the Institution. This includes the following: general orientation and instructional film, information on Protective Custody Procedures and an interview by a counselor to determine medical and security needs.	
	<u>The Agency's Litigation Proceedings Case Files are maintained for a period of five (5) years following the closure of the case as per State Records Application 86-123, item 277.</u>	
	Recommendation: For Inmate Placement Forms relevant to litigation, retain in office for five (5) years following the final disposition and subsequent closure of the respective case(s), then dispose of. For Inmate Placement Forms <u>not</u> needed or related to any litigation, retain in office for five (5) years from the date of each form's generation, then dispose of.	Disposition Approved 5/15/91

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 51 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
170.14	Electric Eye Sign-in Sheets (DCA 16210/DCA 16191) (Originals)	
	Dates: 1984 - Volume: 276 Cu. Ft. Annual Accumulation: 46 Cu. Ft. Arrangement: Chronological	
	This record series consists of original sign-in sheets for visitors of inmates and/or the institution which are maintained in conjunction with the electric eye system.	
	Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/15/91

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 52 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

BUSINESS OFFICE/INMATE TRUST FUNDS

180.01 Administration Review Board Files (Originals and Duplicates)

Dates: 1985 -
Volume: 38 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Chronological

The Administrative Review Board hears and adjudicates on cases regarding any claims (by inmates or employers) of discrepancies of the Inmate Payroll. These files contain: original meeting minutes; corrected Stateville Inmates' Payroll Sheets; and memos announcing the Board's decisions.

Recommendation: Retain all original meeting minutes permanently in the office or the State Archives. Retain all other materials for three (3) years in the office, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

180.02 Appliance Repair Log Books

Dates: 1980 -
Volume: 42 3/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of log books for any repairs done on inmates' appliances (televisions, stereos, radios, etc.). Each entry indicates the inmate's name, item being repaired, date of purchase, company from which the item was initially purchased, when it went in to be repaired and when it was returned.

Recommendation: Retain at the discretion of the agency.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 53 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
180.03	Cancelled Checks - Trust Fund Accounts (Originals)	
	Dates: 1984 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By account, then Chronological Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
180.04	"CUSAS" Reports	
	Dates: 1984 - Volume: 23 ¾ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of computer printouts issued monthly by the Office of the State Comptroller. These reports indicate the status of appropriations, detail object expenditures, and obligation activities as documented under the "Comptroller's Uniform Statewide Accounting System." The State Comptroller's Office currently maintains their monthly "CUSAS" reports of state agency expenditures and balances on a permanent basis as per item #4 of approved Application 77-100M.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 54 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
180.05	Jewelry Storage Log	
	Dates: 1980 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Numerical by property number	
	This record series consists of a log listing all inmate's jewelry being stored in the Institution's vault for safekeeping.	
	Recommendation: Retain in the office for two (2) years after return of all relevant items, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
180.06	Orders for Delivery (Originals)	
	Dates: 1984 - Volume: 95 Cu. Ft. Annual Accumulation: 28½ Cu. Ft. Arrangement: By fiscal year	
	This record series consists of Orders for Delivery, documenting any goods and/or services purchased through the Institution's various trust funds.	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 56 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

BUSINESS OFFICE/PROCUREMENT

190.01 Court of Claims Case Files (Agency Record Copies)

Dates: 1983 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Alphabetical by defendant

These case files are established and maintained for claims initiated against the State of Illinois and Stateville Correctional Center by vendors and injured parties (employees and residents in most cases). Principal documents contained in a case file include duplicate complaints executed by the involved vendor or injured party, written requests from the Attorney General's Office for a departmental report, duplicate Court of Claims opinions, and supporting documents which may consist of notices, general releases, copies of documents used for evidence (e.g. invoices, store receiving reports, vouchers), and related correspondence.

Original claim records are retained by the Court of Claims for a period of ten (10) years as per approved Application 76-74.

Recommendation: Retain in office for one (1) year after closure of case, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

190.02 Fruits and Vegetables Bid Files

Dates: 1984 -
Volume: 57 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Chronological by month

These files are created and maintained to monitor and document the bidding and purchasing process for fruit and vegetables for the Institution. Included are invitations to bids (sent to vendors), requests for invitations to bids (received from vendors), successful and unsuccessful bids, and copies of corresponding Order for Delivery.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 57 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
190.03	OFD Log (Original)	
	<p>Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological</p>	
	<p>This record series consists of a log for all Orders for Delivery created by the Institution showing the date, document number, vendor, and the item or service provided by each OFD.</p>	
	<p>Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
190.04	Purchasing Document Log (Original)	
	<p>Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological</p>	
	<p>This record series consists of a log for all purchasing documents (printing requisitions, special requisitions, sub-orders, purchase orders for delivery), created by the Institution. For each document this log shows: the date; document number; type of document; vendor; and the item or service provided.</p>	
	<p>Recommendation: Retain two (2) years in the office, then dispose of provided no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 58 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
190.05	Purchase Orders, Requisitions, and Supporting Documents (Record Copy)	
	Dates: 1985 - Volume: 57 Cu. Ft. Annual Accumulation: 28½ Cu. Ft. Arrangement: Numerical and Chronological	
	<p>This record series consists of copies of purchase orders, requisitions, sub-orders, release orders, print orders, special authorizations, and any other documents and correspondence created and used for the purchasing and procurement of equipment, supplies, and services required for the general operation of the Institution. Original purchase orders and requisitions are transmitted to Central Management Services for clearance and processing, and are retained by that agency for six (6) fiscal years in accordance with approved Application 77-43, item 1 and 2.</p>	
	Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
190.06	R and M Project Bidding Files (Agency Record Copies)	
	Dates: 1981 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By fiscal year	
	<p>This record series consists of the Institution's official specification, bid proposals, and other bid-letting documents for repair and Maintenance Projects. The Institution's Chief Engineer's Office maintains duplicate, as well as more detailed, documentation of these projects. Original Repair and Maintenance project files are maintained in the Capital Programs Unit of the Department of Corrections.</p>	
	Recommendation: Retain two (2) years after completion of project, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 59 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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190.07 Scheduled Buying Files (Originals)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of files created for items which are purchased on a standard periodic basis (e.g. every six (6) months or every year). Included are requisitions along with related memos.

Recommendation: Retain for two (2) years in office, then transfer to the State Records Center for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

190.08 Vendor Contract File (Originals)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: By contract number

This record series consists of all original goods and services contracts (e.g. repair contracts, paving contracts, contracts with doctors and hospitals) for the Institution. Also included are Contract Obligation Documents.

Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 60 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
190.09	Contract Monitoring Files (Agency Record Copy)	
	Dates: 1988- Volume: 1½ Cu. Ft. Annual Accumulation: ½ Cu. Ft. Arrangement: Chronological by year, by contractor or vendor	
	<p>This record series consists of all documentation used to monitor the status of agency contracts with outside vendors for medical (i.e., physicians, nurses) and nonmedical (i.e., elevator repair) services. The files include: copies of the contracts; monitoring specs (DC 24190); sign-in sheets (CD 311); monthly monitoring sheets/reports to the Warden; quarterly monitoring reports (DCA 30284) and all related correspondence/memoranda.</p> <p>Original vendor contracts are maintained for five (5) years following expiration of contract by the Department's Business Office/Procurement Division per State Records Application 86-123, Item No. 190.08.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 3/18/92
190.10	"Complaint to Vendor" Files (Agency Record Copy)	
	Dates: 1988- Volume: Negligible Annual Accumulation: Negligible Arrangement: Numerical by vendor complaint number	
	<p>This record series consists of forms used for the communication of departmental complaints to vendors regarding problems in procurement of goods and services (i.e., overshipments, shortages, failure to deliver as scheduled, etc.). The files include: "Complaint to Vendor" forms (DAS 43.4/3-79) and "Status to Vendor and Custom Service Requests" (DAS 43.3/3-79 and DC 283).</p>	
	Recommendation: Retain in office for two (2) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 3/18/92

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 61 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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EMPLOYEE HEARING OFFICER

200.01 Disciplinary Files (Duplicates)

Dates: 1956 -
Volume: 760 Cu. Ft.
Annual Accumulation: 95 Cu. Ft.
Arrangement: Alphabetical by employee's name

This record series consists of the hearing officer's working files for all employee disciplinary hearings before DOC's Employee Review Hearing Officer. Specific document types found in each file includes: "write up" or narrative description of employee's alleged misconduct and/or violation of Departmental rules/policies; Notice of Hearing, supporting documents such as incident reports or investigation reports, handwritten notes by the hearing officer; and the final report of the institution's hearing officer. Disciplinary hearings resulting in actions taken against the employee are documented in that employee's personnel file maintained by the Institution's Personnel Office.

Recommendation: Retain all active/unresolved disciplinary files in the office until final disposition of case, then retain for five (5) years, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

200.02 Employee Closed Grievance File (Agency Record Copy)

Dates: 1980 -
Volume: 228 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Alphabetical by docket type

This record series consists of grievance forms showing the name of the employee filing the grievance; date of incident(s) prompting grievance being filed; the date of filing; statement of the grievance; present classification of the employee; action taken at each step of the grievance; and any supporting documents, such as notices of hearings, warden's notes, panel's recommendation, exhibits, related correspondence, director's decision, notice of director's decision, copy of arbitrator's report (if applicable), and post hearing correspondence, if any.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 62 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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The Department of Central Management Services retains their copy of this record series for twenty (20) years in those cases where the grievance is resolved to Level 4A of the Grievance Procedure under the authority of State Records Commission Application 82-70, item 3. Contractual grievances which have been resolved through arbitration are retained for twenty (20) years as per Application 86-102, item 1.

Recommendation: For grievances filed by employees under the Personnel Code jurisdiction, retain in the office for one (1) year after expiration of the applicable union contract, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

200.03 Overtime Equalization Records

Dates: 1983 -
Volume: 152 Cu. Ft.
Annual Accumulation: 28½ Cu. Ft.
Arrangement: Chronological by year

This record series consists of rosters of all employees covered by union contract and is broken down into (1) shifts and (2) job classification. It is used by the agency to monitor the awarding and assignment of overtime duties to employees and is required to be maintained by union contract for two (2) years.

Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 63 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
200.04	Administrative Reference File	
	Dates: 1982 - Volume: 38 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological by date	
	<p>This record series consists of monthly reports of the Correctional Center, dockets indicating employee grievance cases to be heard, and any miscellaneous administrative records of reference value for the Employee Hearing Officer.</p>	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 64 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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INTERNAL AFFAIRS

201.01 Log of Inmates Placed on Investigative Status (IL 426-13681/DCA 30217's) (Originals)

Dates: 1989-
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Daily

This is an internal log kept on inmates placed on investigative status by the Internal Affairs office.

Recommendation: Retain in office for two (2) years, then dispose of providing no litigation is pending or anticipated and providing all other legal, administrative, and/or investigative value has expired.

**Disposition
Approved
4/15/92**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 65 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

INTERNAL INVESTIGATIONS

210.01 Investigation Reports

Dates: 1979 -
Volume: 608 Cu. Ft.
Annual Accumulation: 95 Cu. Ft.
Arrangement: Numerically by ID number

This report (form DC-346) is completed whenever an incident is serious enough to warrant referral to the Internal Investigations Office by the Chief Administrative Office of the Institutions. The Internal Investigations Office conducts a formal investigation of the incident and these files contain: the Investigation Report; any disciplinary reports; adjustment committee reports; and medical reports, if any.

Recommendation: Retain ten (10) years in office, then review files and weed out any materials no longer possessing any further administrative/legal value providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

210.02 Administrative Correspondence and Reference File

Dates: 1984 -
Volume: 19 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological by date

This record series consists of monthly unit staff meeting minutes which documents the training of staff, as well as any correspondence/memoranda exchanged internally by the institution or outside agencies/individuals.

Recommendation: Retain three (3) years in office, then review files and dispose of any materials which no longer possess any administrative reference value.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 66 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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210.03 Evidence Disposal Reports (Contraband)

Dates: 1984 -
Volume: 228 Cu. Ft.
Annual Accumulation: 114 Cu. Ft.
Arrangement: Chronological by date, then Alphabetical by
contraband type

The Evidence Disposal Report (used throughout the agency) is completed monthly to identify by category all contraband confiscated from within the institution for that month. A report is completed for each type of contraband (weapons, currency, narcotics, alcohol, tools, and personal property). The Evidence Disposal Report indicates: facility, name of evidence custodian, disposition date, exhibit number, date confiscated, description of item(s), disposition of item(s), and statements signed by the employee destroying the contraband or some other disposition and a witness to the final destruction/ disposition of the contraband.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 67 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

WARDEN'S OFFICE/INQUIRY BOARD

220.01 Resident Grievance Files (Original)

Dates: 1979 -
Volume: 950 Cu. Ft.
Annual Accumulation: 133 Cu. Ft.
Arrangement: Alphabetical

It is the purpose of this Inquiry Board to hear and evaluate grievances against the staff and facility by resident inmates. Grievances might include such things as wrongful or severe treatment from correctional staff; disagreements in the amounts of coupons earned by the inmate workers; housing conditions or quality of food, etc.

Documents found in a typical file include: 1) a Grievance Form filed by the inmate relating the nature and facts of the complaint; 2) Inquiry Board Form containing all facts provided on the Grievance Form, the Inquiry Board's findings, and a recommendation to the Warden on actions to be taken; 3) a copy of any Incident Reports that were filed regarding the basis of the grievance (particularly in matters of alleged misconduct); and 4) a duplicate Tort Claim the original of which is submitted to the Secretary of State to compensate for the loss or damage of personal property.

Recommendation: Retain five (5) years after closure of all litigation, then dispose of.

**Disposition
Approved
5/18/88**

220.02 Printout - "Inmate Grievances by Type and Disposition" (Duplicate)

Dates: 1984 -
Volume: 19 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

This record series lists the case number, nature, and decision of each residential grievance filed with this office. (A grievance might be filed for alleged wrongful or severe treatment from correctional staff, living conditions, etc.). A copy of the printout is transmitted to the Division of Audit Procedures of the Warden's Office for inclusion in the Statistical Summary Report to be sent to the Deputy Director of Corrections - Adult Institutions.

Recommendation: Retain in office for two (2) years, then dispose of.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 68 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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220.03 Appointment Dockets and "Log-in Sheets" (Original)

Dates: 1984 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This record series consists of docket sheets listing all inmates having appointments with this office on a given day regarding a grievance. Also included are log-in-sheets recording the charge of each grievance filed and the time and date on which it was received by this office.

Recommendation: Retain in office for two (2) years, then dispose of.

**Disposition
Approved
5/18/88**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 69 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

PERSONNEL OFFICE

230.01 Personnel Files (Originals & Duplicates)

Dates: 1911 -
Volume: 3,116 Cu. Ft.
Annual Accumulation: 608 Cu. Ft.
Arrangement: Alphabetical by name

This record series consists of the personnel files for all professional and administrative staff of the Correctional Center. Correctional Officers are hired directly through the recruitment and selection process by the Department of Corrections and these files represent the official personnel files for those individuals. All other staff of the institution are selected through the Department of Central Management Services. Document types found in each file are: applications for employment; personal information including photographs; original quarterly and annual evaluations; payroll transaction reports; incident reports involving misconduct by the employee; recommendations for promotion or reclassification; insurance records; and receipts of copies of documents provided to the employee. Copies of employment applications, 201's evaluation forms, personnel transaction forms, and disciplinary reports are also maintained by the Springfield Office in personnel files.

This App 86-123 Item #230.01 cancelled. See App 86-123W, Item #230.01

Recommendation: For Correctional Officer Personnel Files -retain five (5) years in office after separation from employment, then transfer to the State Records Center for sixty (60) years, then dispose of providing no litigation is pending or anticipated. For all other categories of employees - retain five (5) years in office after separation from employment then dispose of providing no litigation is pending or anticipated.

Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 71 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

For documents dated 1988 and thereafter:
Correctional Officer Personnel Files are to be microfilmed (dispose of hardcopy by shredding). Agency use record series microforms are to be retained in office for sixty-five (65) years following termination from employment, then disposed of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Transfer security record series microforms (reel film only) to the State Records Center for sixty-five (65) years following termination from employment, then dispose of. Records of all other categories of employees are to be microfilmed (dispose of hardcopy by shredding). Agency use record series microforms are to be retained in office for five (5) years following termination of employment, then disposed of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Transfer security record series microforms (reel film only) to the State Records Center for five (5) years following termination of employment, then dispose of.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 72 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
230.02	Position Description & Allocation Listings (Agency Record Copy)	
	Dates: 1980 - Volume: 76 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Alphabetical by position title	
	This record series consists of the current job description for each correctional staff position as well as a computer printout of each position's current occupant(s).	
	Recommendation: Retain until superseded or revised by new job description, then dispose of upon discretion of agency.	Disposition Approved 5/18/88
230.03	Closed Employee Grievance Files (Duplicates)	
	Dates: 1984 - Volume: 38 Cu. Ft. Annual Accumulation: 14¼ Cu. Ft. Arrangement: Chronological by date	
	This record series consists of duplicate employee grievance files involving reversal decisions and class action suits which are maintained by the Personnel Office for reference value. The official employee grievance file is maintained by the Employee Hearing Officer.	
	Recommendation: Retain at discretion of the agency.	Disposition Approved 5/18/88
230.04	Administrative Correspondence & Reference Files (Originals & Duplicates)	
	Dates: 1977 - Volume: 38 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Alphabetical by subject	
	This record series consists of the administrative correspondence and reference files for the Personnel Office. Included would be: copies of pay plans negotiated with employee unions; letters establishing hiring freezes, "copies of 201's (evaluations of employees); copies of notices of suspensions and/or termination; correspondence between the Personnel Office and the Department of Correction's Springfield headquarters; and any other	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 73 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

documents involving the administration of personnel of the facility.

Recommendation:

Retain three (3) years in office, then review files and weed out any materials no longer possessing any further administrative value and dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 74 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

ASSISTANT WARDEN FOR OPERATIONS
EXECUTIVE OFFICE

240.01 General Administrative Correspondence Files (Originals & Duplicate)

Dates: 1972 -
Volume: 54 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

The Office of Assistant Warden for Operations is responsible for the basic routine necessities of a correctional facility, including security, maintenance and overhaul of property and equipment, dietary services and correctional industries.

This record series consists primarily of general administrative correspondence and memoranda produced by this office or received from other offices in this facility, the Department of Corrections' General Offices, and other state agencies. This includes Administrative Orders mandated by the Director of the Department; copies of annual Public Health Inspection Reports, State Fire Marshall Reports, and reports to the Director of the cause, chain-of-events, and conclusions of all "lockdowns", "shakedowns" and work stoppages occurring at the correctional center.

Included in this series are case files containing documentation and correspondence pertinent to litigation this office is a party to; bound copies of all Internal Bulletins (a staff circular) reporting new appointments, programs, or special events; and work schedules for all divisions of the operations office.

Recommendation: Retain in office three (3) years, then review files and dispose of all informational or routine items which are not current or have been revised/updated. Retain all original minutes of meetings, special surveys and reports, and any materials documenting unique activities and significant policy decisions permanently in office or transfer to Illinois State Archives for permanent retention.

Disposition
Approved
5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 75 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
240.02	Form DC-434 Incident Reports (Originals)	
	Dates: 1979 - Volume: 285 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: Alphabetical	
	<p>This record series consists of Incident Reports filed with this office on DC-434 forms. Correctional staff use this form to report unusual or unruly incidents allegedly committed by resident inmates or other staff at this correctional center such as: brawls; quarrels; receipt of contraband, illegal substances or currency from staff or visitors; etc. The Incident Report documents the names and registration numbers of all parties involved, time, location and description of the incident that transpired.</p> <p>Duplicates are distributed to each party involved, the resident's master file, and the Offices of Internal Investigations, Chief of Security, Inmate Legal Services, the Warden, and the Director of the Department of Corrections.</p>	
	Recommendation: Retain seven (7) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
240.03	Incident Files by Employee - (Originals & Duplicates)	
	Dates: 1975 - Volume: 228 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Alphabetical by employee	
	<p>These are files established for documenting employee involvement in incidents of alleged criminal acts and/or infractions of rules. Series contents include copies of incident reports, investigation reports, memos, and related correspondence. Institutional record copies of documents showing the performance or work record of employees with regard to any potential or actual disciplinary matters are contained in the personnel files maintained by the center's personnel office.</p>	
	Recommendation: Retain in office until final resolution or disposition of respective incident(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 76 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
240.04	Daily Activity Unit Logs - (Originals)	
	Dates: 1982 - Volume: 57 Cu. Ft. Annual Accumulation: 14¼ Cu. Ft. Arrangement: Chronological	
	These logs show all activities transpiring during a guard's shift. The logs are specifically comprised of shakedown books, sergeant logs, and line movement logs.	
	Recommendation: Dispose of upon discretion of agency, providing any pertinent litigation has been finally disposed of.	Disposition Approved 5/18/88
240.05	Duty Wardens Log Books	
	Dates: 1984 - Volume: 19 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological	
	This record series consists of binders containing the <u>Duty Warden Log Book</u> , which designates the correctional officer(s) at each post at a given time. The log is to be an official documentation of assignments in the occurrence of an incident and any resultant investigation and litigation.	
	Recommendation: Retain in office for two (2) years, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
240.06	Incidents Notebooks - (Internal) (Originals)	
	Dates: 1978 - Volume: 52¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	Recommendation: Dispose of upon discretion of agency, providing any pertinent litigation has been finally disposed of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 77 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
240.07	Incident log, Assault Log, Disturbance Log, Central Office Notification Log and Contraband Log (Originals) Dates: 1981 - Volume: 38 Cu. Ft. Annual Accumulation: 4 Cu. Ft. Arrangement: Chronological The Central Office Notification Log summarizes follow-ups and disposition from the Warden's Office of logged assault, disturbance, and contraband incidents. Any and all incidents are captured in the Incident Log. Recommendation: Retain in office for two (2) years, then dispose of upon the discretion of the agency.	Disposition Approved As Amended 5/18/88
240.08	Duty Warden Logs and Inspection Log (Originals) Dates: 1981 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological These are internal logs of inspection reports and movement and activity monitoring within the facility. Recommendation: Dispose of upon discretion of office, providing any pertinent litigation has been finally disposed of.	Disposition Approved 5/18/88
240.09	Stop Orders - (Originals) Dates: 1984 - Volume: 23 ¾ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological These are originals of forms executed by the operations office for stopping or withdrawing authorizations for employee entry in given areas of the facility. Recommendation: Retain in office until order is no longer in effect then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 78 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
240.10	Procedures Reference File - (Duplicates)	
	Dates: 1985 - Volume: 57 Cu. Ft. Annual Accumulation: 28½ Cu. Ft. Arrangement: Chronological	
	<p>This is a file maintained as a historical record of all administrative procedures promulgated with relevance to the center's day-to-day operation. This procedures documentation is in the form of memos, bulletins, and loosely formatted narrative descriptions. Institutional record copies of all pertinent procedures since (ca.) 1977 are maintained by the Warden's Administrative Office. This latter body of procedures includes those that have been superseded.</p>	
	Recommendation: Dispose of upon discretion of office.	Disposition Approved 5/18/88
240.11	Resident Files for the Operations Office - (Originals & Duplicates)	
	Dates: 1975 - Volume: 33¼ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Alphabetical	
	<p>This record series includes the files, maintained by the office, for documenting transactions specifically affecting individual residents and having direct or indirect bearing on the Operations Office duties and/or activities. With the exception of investigation reports, file contents are duplicates of documents generated by other administrative units or by the Operations Office. Types of documents include incident reports, forms authorizing documenting extended visits, personal property complaint staff reports, investigation reports, polygraph results and change of grade forms. These documents are also heavily duplicated with the resident master files.</p>	
	Recommendation: Retain in office for seven (7) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 80 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
250.03	Adjustment Committee Summary Supplemental Form - (Duplicates)	
	Dates: 1985 - Volume: 38 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological and Alphabetical	
	This is a supplemental form to the Adjustment Committee Summary (DC7113C). The original of this form is maintained in each resident's master file jacket.	
	Recommendation: Retain in office for two (2) years after discharge of corresponding resident, then dispose of.	Disposition Approved 5/18/88
250.04	Log Books of Adjustment Committee Violation Reports, Program Violation Reports and Continuances (Originals)	
	Dates: 1980 - Volume: 42 3/4 cf Annual Accumulation: 4 3/4 cf Arrangement: Chronological	
	Recommendation: Retain in office until expiration of administrative value, then dispose of.	Disposition Approved 5/18/88
250.05	Disciplinary Reports and Summaries (Duplicates)	
	Dates: 1945 - Volume: 1,140 Cu. Ft. Annual Accumulation: 14 1/2 Cu. Ft. Arrangement: Chronological and Alphabetical	
	This record series consists of copies of disciplinary reports and attached summaries which serve as a record of proceedings and disposition of cases before the Adjustment Committee. The originals are retained permanently in each resident's master file jacket (maintained by the individual correctional facilities). In addition, the Illinois Administrative Code (DR5047) states "A grievance shall be filed within 6 months after the discovery of the incident, occurrence or problem which gives rise to the grievance or within 6 months after the receipt of decision concerning an informal resolution thereof."	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 81 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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This Application supersedes State Records Application 86-123, item number 250.02 to revise the record series title and the recommendation to allow for the retention of the records for two years (in office) after the inmate's hearing date per agency request. This request is based on the agency's contention that in the event of a request for information, the documents will be pulled from the original "master file."

Recommendation:

Retain in office for two (2) years after the hearing date of the resident, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/15/02**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 82 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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DIETARY SERVICES

260.01 Lock Up Unit Worksheets (Satellite Worksheets)

Dates: 1985 -
Volume: 190 Cu. Ft.
Annual Accumulation: 95 Cu. Ft.
Arrangement: Chronological by date

This record series consists of reports completed by the supervisor of the Dietary Services Department which indicates the number of units (meals) prepared and sent out to "satellite" serving locations (meals delivered to inmates in "lock up" status, Sick Bay, and the Segregation Unit). The worksheets also indicate size of portions served and time food was delivered.

Recommendation: Retain in office for one (1) year, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

260.02 Menu Changes

Dates: 1982 -
Volume: 152 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological by date

This record series consists of the monthly menus prepared by Dietary Services which serves as the schedule for what food will be served and states what will be served each breakfast, lunch, and dinner for the upcoming month.

Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 83 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
260.03	Lockdown Reports	
	Dates: 1982 - Volume: 38 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological by date	
	<p>This report, prepared whenever the institution is on "lockdown" indicates what menu items were prepared for distribution to the cellhouses and which inmates were released from their cells to work in the Dietary Department on a specific day.</p>	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
260.04	Inmate Payroll Sheets (Duplicates)	
	Dates: 1984 - Volume: 28½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological by payroll period	
	<p>This report completed daily, indicates the hours each inmate worked per day (per shift) and is used to complete the payroll summary sheets which are submitted to the institutions Business Office for preparation of the payroll checks.</p>	
	Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
260.05	Production Sheets	
	Dates: 1920 - Volume: 171 Cu. Ft. Annual Accumulation: 85½ Cu. Ft. Arrangement: Chronological by date	
	<p>These reports, completed daily, indicates the quantity of each menu item prepared, the size of each menu item portion to be served, the temperature prepared at, the amount leftover, the resident cook for that meal, and supervisor in charge.</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 84 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
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260.06 Weekly Inspection Reports

Dates:	1986 -
Volume:	19 Cu. Ft.
Annual Accumulation:	19 Cu. Ft.
Arrangement:	Chronological

**This App
86-123 Item
#260.06
cancelled.
See App
86-123W
Item 260.06**

Contents of inspections of dishwashing equipment, kitchen, and general sanitation of Dietary Services Department.

	<p>Recommendation: Retain (1) year in office, then dispose of providing no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
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260.06 Daily and Weekly Inspection and Temperature Charts for Kitchen Equipment (Original)

Dates:	1995 -
Volume:	2 Cu. Ft.
Annual Accumulation:	1/2 Cu. Ft.
Arrangement:	Chronological by year

This record series consists of documents which monitor the operation, sanitary condition, and functioning temperature of kitchen equipment used by the agency in the preservation/preparation of food. Data include type of equipment (i.e., freezers, refrigerators, dishwashing machines), thermometer readings, time/date of reading, problems indicated, tape check for pots/pans, and signature of staff.

This application item supersedes item 260.06 in order to change the title and description of the record series. (No change in the previously approved disposition is proposed.)

	<p>Recommendation: Retain in office for one (1) year, then dispose of .</p>	<p>Disposition Approved 1/19/05</p>
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**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 86 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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CHIEF ENGINEER'S OFFICE

270.01 General Administrative Correspondence File

Dates: 1980 -
Volume: 28 ½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This record series consists of general routine correspondence received by the Chief Engineer's Office from vendors, suppliers, the Springfield DOC office, and other offices with Statesville Correctional Center.

Recommendation: Retain in the office for three (3) years, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

270.02 Fiscal Administration File (Duplicates)

Dates: 1980 -
Volume: 180½ Cu. Ft.
Annual Accumulation: 28½ Cu. Ft.
Arrangement: Chronological by fiscal year

This record series includes purchase orders, requisitions, sub-orders, orders for delivery, and other related procurement documents and correspondence necessary for the procurement of general goods and services necessary for the day-to-day workings of the Chief Engineer's Office. Originals of these documents are maintained by the Business Office as per this application.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 87 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
270.03	Foremen Daily Sign-in/Sign-out Log Sheets	
	Dates: 1980-1985 Volume: 9½ Cu. Ft. Annual Accumulation: N/A Arrangement: Chronological	
	<p>These sign-in/sign-out sheets were filled out by the various foremen giving the times they left from and returned to the office and what job(s) they intended to work on. These sheets have since been rendered superfluous by the Foremen's Daily Work Logs (which began in 1983).</p>	
	Recommendation: Dispose of accumulation.	Disposition Approved 5/18/88
270.04	Foremen's Daily Work Logs	
	Dates: 1983 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological by month	
	<p>This record series consists of logs completed daily by the various foremen indicating what jobs their crews have worked on and/or completed for the day.</p>	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
270.05	Resident's Payroll Records (Duplicates)	
	Dates: 1985 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By month	
	<p>This record series consists of payroll sheets and other payroll information maintained on residents who are under the employ of the Chief Engineer's Office. Originals of these records are maintained by the Inmate Payroll Section of the Business Office.</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 88 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
270.06	Monthly Personnel Transaction Reports (Duplicates)	
	<p>Dates: 1980 - Volume: 42 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological by month</p> <p>This form is prepared and utilized by the agency to report any personnel transactions (job applications, job interviews, or disciplinary actions) to the Affirmative Action Office each month. The originals of this record series are maintained by the Affirmative Action Office.</p>	
	<p>Recommendation: Retain in office for one (1) year, then dispose of provided no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
270.07	Powerhouse Call-in Sheets	
	<p>Dates: 1981 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By fiscal year</p> <p>This record series consists of sheets documenting a call-in every one-half hour by employees manning the powerhouse. These sheets are utilized to ensure that workers are alert, awake, and on the job at all times.</p>	
	<p>Recommendation: Retain in the office for six (6) months, then dispose of provided no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 89 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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270.08 Project Contract Files (Originals & Duplicates)

Dates: 1980 -
Volume: 456 Cu. Ft.
Annual Accumulation: 76 Cu. Ft.
Arrangement: Numerically by project number

This record series consists of copies of both the rejected and accepted bids, as well as other documents relating to the awarding of contracts for specific building projects at the institution (Minor Capital Improvements, Repair and Maintenance, Capital Development Board projects, and in-house projects). Included in these files are: copies of contracts with the architect, copies of contracts with the head contractors and sub-contractors, warranty bonds, equipment catalogs, manuals, "as built" drawings, various project reviews and field reports, bid tallies and other bid letting documents, and related correspondence.

Original Capital Development Board Project files are maintained permanently on microfiche as per item 1 of Application 78-23M.

Other Minor Capital Improvement project files and Repair and Maintenance files are maintained in the Capital Programs Unit of the Department of Corrections.

Recommendation: Retain five (5) years in office after completion of project, then dispose of providing all audits have been completed.

**Disposition
Approved
5/18/88**

270.09 Monthly Project Status Reports

Dates: 1982 -
Volume: 9½ Cu. Ft.
Annual Accumulation: N/A
Arrangement: By month

This record series consists of reports showing the percentage completed of each ongoing construction project at the end of each month. This information is now gathered via telephone.

Recommendation: Dispose of at discretion of agency.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 90 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
270.10	Monthly Telephone Logs	
	Dates: 1982 - Volume: 33¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By month	
	Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
270.11	Temperature Monitoring Records (Computer Printouts)	
	Dates: 1985 - Volume: 95 Cu. Ft. Annual Accumulation: 114 Cu. Ft. Arrangement: Chronological	
	This record series consists of computer printouts showing the temperature at each building in the institution every hour.	
	Recommendation: Retain one (1) year in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
270.12	Employee Time Sheets (Duplicates)	
	Dates: 1985 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological by month	
	Original time sheets are maintained by the Business Office.	
	Recommendation: Retain at the discretion of the agency.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 91 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
270.13	Tool Inventory Records (Duplicates)	
	Dates: 1980 - Volume: 28½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological by year	
	This record series consists of monthly tool inventory sheets. The originals of these records are submitted to and maintained by the Tool Control Office.	
	Recommendation: Retain one (1) year in office, then dispose of.	Disposition Approved 5/18/88
270.14	Daily Water Reports	
	Dates: 1981 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological by month	
	This record series consists of daily water reports showing the number of gallons of water pumped by each of the institution's wells each day. This information is needed to figure the amount owed to the city of Joliet for sewage disposal.	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
270.15	Water Consumption Reports	
	Dates: 1981 - Volume: 38 Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: --	
	This record series consists of copies of memos sent to the city of Joliet stating how much water the institution has pumped for the month (this information is derived from the Daily Water Reports) so the city can accordingly bill the institution for sewage disposal.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 92 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated .</p>	<p>Disposition Approved 5/18/88</p>
270.16	Monthly State Water Surveys (Record Copies)	
	<p>Dates: 1980 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By fiscal year</p> <p>This record series consists of the results of monthly sample testings of the institution's well water conducted by the Illinois Environmental Protection Agency, along with certain recommendations (i.e., to add or delete certain chemicals) from the IEPA. The originals of this record series are maintained permanently on microfilm by the IEPA as per item 1 of Application 84-26M.</p>	
	<p>Recommendation: Retain in office for three (3) years, then dispose of.</p>	<p>Disposition Approved 5/18/88</p>
270.17	Work Orders (Originals)	
	<p>Dates: 1980 - Volume: 684 Cu. Ft. Annual Accumulation: 114 Cu. Ft. Arrangement: By month</p> <p>This record series consists of work orders received by the Chief Engineer requesting certain repair or maintenance work to be done within the institution. The form shows a description of the work needed, location of the work, date requested and the signatures of the persons requesting and authorizing the work.</p>	
	<p>Recommendation: Retain in office for two (2) years, then dispose of.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 93 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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270.18 Composite Work Request Logs (Originals)

Dates: 1980 -
Volume: 42 3/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological by year

This record series consists of yearly work request logs showing the number of work requests, completed requests, uncompleted requests, and the number of hours worked for each month, as well as monthly year-to-date totals for all these categories. These logs are maintained for statistical purposes only.

Recommendation: Retain in office for three (3) years and dispose of at the discretion of the agency.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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occur when in operation. Internal audits are conducted annually by the Operation and Program Audit Unit.

Recommendation: Retain in office until trade-in, retirement, or other disposition of vehicle(s), then dispose of providing all internal audits have been completed.

**Disposition
Approved
6/19/91**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 96 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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CHIEF OF SECURITY (MAJOR'S OFFICE)

280.01 General Administrative Correspondence

Dates: 1985 -
Volume: 228 Cu. Ft.
Annual Accumulation: 190 Cu. Ft.
Arrangement: Alphabetical by subject

The file arranged and used on a "subject file" basis, contains correspondence, completed forms, and various reports generated or received by the Major's Office. This record series includes administrative correspondence detailing matters of junctions, procedures, organizational and policy decision-making and general correspondence documenting transactions of routine nature, such as referrals, courtesy replies, inquiries and letters of transmittal.

Samples of records contained in this record series are: correspondence with debts, committees, state and federal agencies; lock and key requests; key control documents; traffic control movement sheets; visitor requests; employee stop order memos; overtime waivers; seniority lists; commissary reports; and duplicate minutes of the meetings of various boards and committees.

Recommendation: Dispose of all informational or routine items after three (3) months. Retain all other materials for three (3) years in office, then review files and take the following steps for disposition:

- 1) Retain all original minutes of meetings, special surveys and reports, and any material documenting the planning and policy formation of the Major's Office permanently - either in the office or the State Archives.

- 2) Dispose of materials lacking further administrative value due to supersedure by more current information or due to materials no longer possessing any ongoing reference value.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 97 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.02	Additional Duty Log Books	
	Dates: 1983 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	This record series consists of log books utilized in the assigning of additional duties to guards.	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.03	"Bump" Forms	
	Dates: 1985 - Volume: 28½ Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological	
	This record series consists of memos and shift change forms utilized when an employee's day off is taken, or "bumped" by someone with more seniority.	
	Recommendation: Retain one (1) year in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.04	Employee Review Hearing Reports (Duplicates)	
	Dates: 1985 - Volume: 38 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: By month	
	This record series consists of reports on the result of Employee Review Hearings. The originals of these results are maintained in the individual personnel files in the Personnel Office.	
	Recommendation: Retain at the discretion of the agency.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 98 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.05	Employee Sign-in Sheets (Originals)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By month	
	Recommendation: Retain one (1) year in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.06	Fire and Safety Inspection Reports (Originals)	
	Dates: 1935 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	This record series consists of reports of periodic inspections conducted to ensure that adequate fire and safety precautions (extinguishers, hoses, alarms, signs, etc.) are present in different areas of the institution.	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.07	Monthly Grounds Search Reports	
	Dates: 1986 - Volume: 9½ Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: By zone or unit	
	This record series consists of reports generated by metal detector searches and visual inspections of the institution grounds, showing the times and area searched, officer in charge of the search, and any contraband discovered.	
	Recommendation: Retain three (3) months in office, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 99 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.08	Guard Daily Log Books (Originals)	
	Dates: 1976 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	This record series consists of daily sign-in log books for all guards.	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.09	Institutional Count Records (Originals)	
	Dates: 1976 - Volume: 180½ Cu. Ft. Annual Accumulation: 171 Cu. Ft. Arrangement: By month	
	This record series consists of daily counts of inmates at the Stateville Correctional Center and its minimum security unit. These counts are then logged into the institutions official count books, which are also included in this record series.	
	Recommendation: 1) Retain daily count records for one (1) year in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
	2) Retain official count books permanently in the office or the State Archives.	
280.10	Officer's Meeting Minutes (Originals)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain permanently in the office or the State Archives.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 100 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.11	Fiscal File (Duplicates)	
	Dates: 1985 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	This record series consists of copies of requisitions, purchase orders, orders for delivery, vouchers and invoices. Originals of these records are maintained for six (6) years by the Business Office.	
	Recommendation: Retain three (3) years in office, then dispose of.	Disposition Approved 5/18/88
280.12	Information Packets (Originals)	
	Dates: 1985 - Volume: 38 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological	
	This record series consists of envelopes which were used to carry various documents accompanying inmates out on writs or furloughs. They are now empty and retained because of the information written on them (in case of an escape or other emergency). This information would include: the inmate's name; institutional number; record information (crime, sentence, board date, maximum release date, and committing county); description of clothing worn; major medical problems; type of release; and the route to be taken.	
	Recommendation: Retain one (1) year in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.13	Incident Reports (Duplicates)	
	Dates: 1986 - Volume: 47½ Cu. Ft. Annual Accumulation: 76 Cu. Ft. Arrangement: By month	
	This record series consists of reports of any disciplinary problems (verbal, physical, or otherwise) occurring with the inmates and gives a complete narrative of the incident including the names of any inmates.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 101 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Original incident reports are maintained by the Assistant Warden for Operations.</p> <p>Recommendation: Retain until all investigation/internal inquiries are closed, then dispose of.</p>	<p>Disposition Approved 5/18/88</p>
280.14	Inmate Pass Logs (Originals) Dates: 1986 - Volume: 38 Cu. Ft. Annual Accumulation: 57 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of logs, or listings, or all inmates passes issued each day. Once they are logged, the actual passes are destroyed. Also included are resident movement sheet logs showing who requested a certain number of passes, as well as the time and reason for such requests.</p> <p>Recommendation: Retain one (1) year in office, then dispose of.</p>	<p>Disposition Approved 5/18/88</p>
280.15	Residents' Payroll Records (Duplicates) Dates: 1986 - Volume: 14¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By month	
	<p>This record series consists of payroll sheets and other payroll information maintained on residents who are under the employ of the Major's Office. Originals of these records are maintained by the Inmate Payroll Section of the Business Office.</p> <p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 102 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.16	Perimeter Patrol Logs	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	This record series consists of log-in sheets located at each guard tower which must be signed by guards as they pass by. This is now done on a sporadic basis only.	
	Recommendation: Retain one (1) year in office, then dispose of.	Disposition Approved 5/18/88
280.17	Personnel Files (Duplicates)	
	Dates: 1982 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Alphabetical by name	
	This record series consists of personnel files for the captains and office personnel who fall under the Major's Office. Included are copies of employee evaluations, performance reviews, and related correspondence. Original personnel files are maintained by the Personnel Office.	
	Recommendation: Retain in the office for five (5) years following separation from employment, then dispose of.	Disposition Approved 5/18/88
280.18	Personnel Vacation Scheduling Forms (Originals)	
	Dates: 1986 - Volume: 14¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By shift	
	Recommendation: Retain one (1) year, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 103 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.19	Promotion Application Files	
	Dates: 1985 - Volume: 38 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological by open position	
	This record series consists of test results and applications for higher level security positions which become open at the institution.	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.20	Radio Contact Information Sheets	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	This record series consists of reports, files when transporting prisoners outside the institution, showing the time of radio contacts with other corrections institutions. These contacts are required when passing through each institution's designated zone.	
	Recommendation: Retain one (1) year in office, then dispose of.	Disposition Approved 5/18/88
280.21	Daily Rosters (Originals)	
	Dates: 1985 - Volume: 646 Cu. Ft. Annual Accumulation: 418 Cu. Ft. Arrangement: Chronological	
	This record series consists of daily roster computer printouts showing the specific guard assigned to each post for each shift that day. Also included are recapitulation sheets summarizing the number of assigned posts and employees needed for each section of each unit.	
	Recommendation: Retain in the office for eighteen (18) months, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 104 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.22	Daily Sally Port Movement Sheets Dates: 1986 - Volume: 14¼ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological This record series consists of log sheets showing the vehicle, firm represented, time, time out, and name of each person entering the Institution's two sally ports (back entrances for transporting supplies and other goods in and out). Recommendation: Retain six (6) months in office, then dispose of.	Disposition Approved 5/18/88
280.23	Security Inspection Check Lists Dates: 1985 - Volume: 9½ Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: By zone or unit This record series consists of check lists completed weekly and utilized to determine that all security items (e.g. weapons, handcuffs, tear gas, locks, lights, doors) are safe and secure. Recommendation: Retain three (3) months in office, then dispose of.	Disposition Approved 5/18/88
280.24	Shakedown Log Books (Originals) Dates: 1977 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological This record series consists of log books regarding the body searches of persons entering the institution. Information included would be: the date and time of the search, offices conducting the search, any contraband found, and the signatures of the person being searched. Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 105 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.25	Daily Shift Reports (Originals)	
	Dates: 1934 - Volume: 38 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By shift, then Chronological	
	<p>This record series consists of shift reports submitted by each shift commander daily giving a recount of all activities and/or problems occurring during that shift.</p> <p>Duplicates of these reports are sent to the Warden, the two assistant wardens, the seven correctional superintendents, investigations and clinical services.</p>	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.26	Safety and Sanitation Inspection Check Lists	
	Dates: 1985 - Volume: 9½ Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: By zone or unit	
	<p>This record series consists of check lists completed weekly indicating that certain areas of the institution are safe and clean.</p>	
	Recommendation: Retain three (3) months in the office, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 106 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
280.27	Temporary Inmate Assignment Sheets	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of information sheets regarding inmates who are being temporarily assigned to the institution because of pending court appearances. Information included on these sheets would be: the inmate's name; institutional number; security level and grade; MSR date; date of court appearance; medical concerns; escape risk; enemies; gang affiliations; rap partners; protective custody needs; and disciplinary record.</p>	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.28	Employee Time Sheets	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Alphabetical by name	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
280.29	Inmate Transport Logs (Originals)	
	Dates: 1986 - Volume: 14¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of daily log books for inmates temporarily leaving or being transported to somewhere from the institution. These logs show each inmate's name, his institutional number, date of transport, reason for trip (medical reasons, funeral, writ, etc.), vehicle being used and destination.</p>	
	Recommendation: Retain six (6) months in office, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 107 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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280.30 Central Transportation Unit Records (Originals and Duplicates)

Dates: 1984 -
Volume: 100 Cu. Ft.
Annual Accumulation: 18 Cu. Ft
Arrangement: Chronological

This record series consists of the original of the Inmate Check List and Locating Devices, IL 426-1597; the original of the Safety & Security Equipment Inventory Checklist, IL 426-1596; copies of the Personal Property Receipt Form, IL 426-14027; and copies of the Master Files Receipt, IL 426-0270. The forms are used to document transactions of inmates, personal property, and master files during transfers made via the Central Transportation Unit. These forms and their use are as outlined in the Central Transportation Unit manual. Audits are conducted annually by the Operation and Program Audit Unit.

Recommendation: Retain in office for three (3) years, then dispose of provided the Operation and Program audit has been completed.

**Disposition
Approved
As Amended
9/18/91**

280.31 Key Issuance Logs

Dates: 1981 -
Volume: 50 Cu. Ft.
Annual Accumulation: 5 Cu. Ft.
Arrangement: Chronological by cellhouse

This record series consists of key issuance logs which are used by Armory and cellhouse personnel to record the issuance and return of keys to authorized personnel. Forms used are IL 426-9451 and IL 426-9453. Forms are required as per Administrative Directive 05.01.013. Audits are conducted annually by the Operation and Program Audit Unit.

Recommendation: Retain in office for one (1) year, then dispose of provided the Operation and Program audit has been completed.

**Disposition
Approved
As Amended
9/18/91**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 108 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

CHIEF OF SECURITY/SHIFT COMMAND OFFICE

290.01 Administrative and General Correspondence with Related Forms and Memoranda (Originals and Duplicates)

Dates: 1975 -
Volume: 95 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

This file series consists of the administrative/ general correspondence and memoranda of the Shift Command Office as well as originals or use copies of forms maintained by the office for the general and immediate supervision of personnel performance, as well as for documenting and allocating personnel time, attendance, and duty assignments. Types of related documents or forms include Assignment and Days Off/Shift Change memoranda, Notification of Absence/Call-in Reports, Sergeant Sign-in Sheets, fire drill notification memoranda, Stateville Correctional Center Escape Risk Checks, Lock and Key Requests form(s), and Inmate Movement Charts. This materials is also variously held as circumstances required by the Stateville Offices of Timekeeping, Personnel and the Chief of Security as well as the employees' collective bargaining representative(s) or agent(s).

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

290.02 Overtime Equalization Form (Duplicate)

Dates: 1984 -
Volume: 95 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological

The original of this form is filed with the Employee Review Board for summarizing how much overtime is offered and worked by security personnel.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 109 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
290.03	Overtime Slips, Employee Time and Attendance Sheets and Preliminary Roll Calls (Originals and Duplicates) Dates: 1975 - Volume: 38 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological <p>The originals of time and attendance records, primarily the <u>Report of Overtime and/or Comp. Time - Temporary Assignment - Standby - Call Back - Paid Lunch</u>, overtime slips, and preliminary roll call are retained in the Shift Command Office in conjunction with the Time Keeping Office of the Employee Services Unit. The <u>Master Roll Call/Sign-in Sheets</u> are sent to the Time Keeping Office for their use for general payroll administration.</p> Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
290.04	Roster Management/Shift Command/Daily Roster - (Duplicates) (Computer Printouts) Dates: 1986 - Volume: 9½ Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological <p>This form is filled out in the Shift Commander's Office and transmitted to the Major's administrative office for general reference to shifts assigned and shifts worked by correctional officers for the internal timekeeping and allocation of personnel.</p> Recommendation: Dispose of upon expiration of administrative value.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 110 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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290.05 Employee Files (Reference Copies)

Dates: 1965 -
Volume: 456 Cu. Ft.
Annual Accumulation: 28½ Cu. Ft.
Arrangement: Alphabetical by employee

This record series contains the Shift Command Office copies of personnel files containing applications for employment; copies of hiring or appointment notices; written performance evaluations; copies of various time, attendance, and shift assignment records such as leave slips and wavier of overtime forms, affirmative action survey forms, and when applicable, Employee Assistance Programs referral forms and records of employment termination. Also contained are records of disciplinary actions taken against an employee, such as oral warning forms, written reprimand(s), employee disciplinary letters, and Furnish Proof, Extension of Furnish Proof, and Placement of Furnish Proof for letters used in cases of suspected or substantiated abuse of sick leave or other forms of excessive absenteeism for requesting the submission of written doctors' verifications of office visits or other verification of emergency leave. Institutional record copies of personnel files are maintained by Stateville's Personnel Office operating under the Employee Services Unit.

Recommendation: Retain in office for five (5) years after separation/termination of employee, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

290.06 Armory Control Center Radio Transmission and Receiving Logs

Dates: 1991 -
Volume: 3 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: Chronological

This record series consists of a log documenting all radio traffic to and from the Armory Control Center, including the date, time, radio transmitting, radio receiving, message of transmission and response.

Recommendation: Retain in office for three (3) years, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
As Amended
8/17/94**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 111 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
290.07	Armory Control Center Staff Sign-In Logs	
	Dates: 1991 - Volume: 3 1/2 Cu. Ft. Annual Accumulation: 1 1/4 Cu. Ft. Arrangement: Chronological	
	This record series consists of a log documenting the name, time entering, and time leaving for any employee who enters the Armory.	
	Recommendation: Retain three (3) years in the office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved As Amended 8/17/94
290.08	Armory Control Center Equipment Issuance and Return Logs	
	Dates: 1991 - Volume: 4 1/2 Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Chronological	
	This record series consists of logs documenting the date, time of issuance, time of return and the signature of employees who are issued handcuffs, radios, flashlights, weapons, and/or other equipment.	
	Recommendation: Retain three (3) years in the office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved As Amended 8/17/94
290.09	Emergency Key "Sight - Inventory" Log	
	Dates: 1991 - Volume: 3 Cu. Ft. Annual Accumulation: 1 Cu. Ft. Arrangement: Chronological	
	This record series consists of a log documenting the date, time, results, and signature of employees conducting the emergency key "sight - inventory."	
	Recommendation: Retain three (3) years in the office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved As Amended 8/17/94

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 112 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

LAUNDRY & INMATE PERSONAL PROPERTY

300.01 Assigned Inmate Supervision Records (Duplicates)

Dates: 1985 -
Volume: 290 Cu. Ft.
Annual Accumulation: 95 Cu. Ft.
Arrangement: By inmate and Chronological

Originals and/or record copies of the types of forms/records as listed below and maintained by this unit for the general correctional supervision of inmates assigned to the Laundry Unit are retained and scheduled for disposition by any or all of the following other institutional units: Clinical Services (mostly through incorporation within the Inmates' Master File Jackets); the Adjustment Committee; the Office of the Chief of Security; and the Assistant Warden for Operations Administrative Office. The specific types of forms/records include:

- 1) Personal Property (DR535)
- 2) Statement of Responsibility (Inmate)
- 3) Property Authorization Forms
- 4) Disciplinary Reports
- 5) Adjustment Committee Summary(s)
- 6) Count Slips
- 7) Shakedown Slips and
- 8) Incident Report(s) (534)

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

300.02 Security Inspection Reports (Duplicates)

Dates: 1985 -
Volume: 9½ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

Originals of these reports are maintained within the Chief of Security's Office.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 113 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
300.03	Daily Laundry Inventory (Originals)	
Dates:	1985 -	
Volume:	9½ Cu. Ft.	
Annual Accumulation:	4 ¾ Cu. Ft.	
Arrangement:	Chronological	
	This is an internal daily inventory record of laundry and related items. Essential information from this inventory is captured in the institution's property control files.	
Recommendation:	Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
300.04	Inmate Personal Property Lists and Receipts (Duplicates)	
Dates:	1985 -	
Volume:	9½ Cu. Ft.	
Annual Accumulation:	4 ¾ Cu. Ft.	
Arrangement:	By inmate	
	Ultimately, these lists are routed through security, and finally, Clinical Services for disposition upon parole, death, or discharge of inmates.	
Recommendation:	Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 114 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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300.05 Laundry Work Requests (Duplicates)

Dates: 1985 -
Volume: 9½ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

These work requests are generated and issued or received for laundry special orders and laundry equipment repairs. Original work requests are retained by the requesting party(s).

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

300.06 Requisitions (Duplicates)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

The institutional record copies and/or originals of these requisitions are maintained within the facility's Business Office (or Stores as Store Requisitions, if applicable).

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

300.07 Tool Control Charge-out Forms (Duplicates)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This is the laundry and Inmate Personal Property Unit's copy of its Tool Control charge-out forms.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 115 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office until the respective tool(s) is returned to the Tool Control Unit, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
300.08	Inmate Personal Property Files	
Dates:	1971 -	
Volume:	266 Cu. Ft.	
Annual Accumulation:	114 Cu. Ft.	
Arrangement:	By inmate number	
	<p>This record series consists of personal property files maintained on all inmates of the institution. Included in these files would be: Personal Property Permits (for radios, televisions, fans, watches, typewriters, etc.); Personal Property Receipts (for smaller items such as cassette tapes, and razor heads); Musical Instrument Permits; Unauthorized Property Memos; Evidence Receipts (for contraband confiscated from an inmate); and other memos to or from an inmate regarding his personal property.</p>	
Recommendation:	Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 116 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

CORRECTIONAL INDUSTRIES

310.01 Resident Affirmative Action Reports (Duplicates)

Dates: 1982 -
Volume: 33¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: By shop, then Chronological

This record series consists of Resident Affirmative Action Reports indicating the various job assignments open to inmates, the number of positions filled for each job assignment, the ethnic background of the inmates occupying those positions, the monthly pay for each assignment, the percentage of minorities filling each assignments positions, and the imbalanced percentage of minorities in each assignment (as determined by the institution's Affirmative Action Plan). Originals of these reports are maintained by the Affirmative Action Office.

Recommendation: Retain three (3) years in office, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

310.02 Resident Employee Applications (Originals)

Dates: 1981 -
Volume: 47½ Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: By shop

This record series consists of the Resident Employee Applications for the Division of Correctional Industries. The information generally includes: background data (e.g. name, social security number, birthdate, sex, race); military service; industry/job applied for; restricted physical activities; work experience/previous employers; and record of education.

Recommendation: Retain in office for five (5) years after separation of employment, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 117 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.03	Employment Applications	
	Dates: 1981 - Volume: 47½ Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: By shop	
	Recommendation: Retain two (2) years in office, then dispose of.	Disposition Approved 5/18/88
310.04	A/P End-of-Month Documentation Reports (Originals)	
	Dates: 1983 - Volume: 28½ Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: Chronological by month	
	<p>This record series consists of the A/P End-of-Month Documentation Reports for the Division of Correctional Industries. The records generally include information denoting the status of A/P (Accounts Payable) by: voucher number; receiving report number; vendor/inventory number; obligation document number; amount of invoice; date of receipt; minor object code; shop; institution; and date.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
310.05	Daily Attendance Records (Record Copies)	
	Dates: 1982 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By shop, then Chronological	
	<p>Original attendance records are maintained by the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 118 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.06	Monthly Assignment Census (Duplicates)	
	Dates: 1982-1985 Volume: ¼ Cu. Ft. Annual Accumulation: N/A Arrangement: By shop, then Chronological	
	<p>This record series consists of Monthly Assignment Census showing the number of assignments (inmate positions) needed for production purposes that month, the actual number assigned, and a reason for anytime the number assigned is less than the number needed. These census are no longer conducted. The originals of these records are maintained at the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
310.07	Anticipated Delinquent Orders Forms (Duplicates)	
	Dates: 1981 - Volume: 38 Cu. Ft. Annual Accumulation: 4 ¾ Cu. Ft. Arrangement: By shop, then Chronological	
	<p>This record series consists of forms utilized to notify the Springfield Office (of Correctional Industries) of orders which cannot be delivered on time. Information included on these forms would be: the production and sales order number; the O.F.D. number; the name of the customer; the item; the quantity ordered; the scheduled delivery date; the revised delivery date; and the reason for delay.</p>	
	<p>Originals of these records are maintained by the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 120 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.10	Incident Reports (Duplicates)	
	Dates: 1981 - Volume: 38 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of reports on any disciplinary problems (verbal, physical or otherwise) occurring with the inmates and gives a complete narrative of the incident including the names of any inmates of staff involved and any witnesses to the incident.</p> <p>Original incident reports are maintained by the Office of the Assistant Warden for Operations.</p>	
	Recommendation: Dispose of when administrative value has expired.	Disposition Approved 5/18/88
310.11	Monthly Indirect Labor Reports (Originals)	
	Dates: 1980 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By shop, then Chronological	
	<p>This record series consists of monthly reports on the time and money expended on indirect labor necessary in the production process of the Correctional Industries Unit.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 121 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.12	Inventory Transfer Records (Originals)	
	Dates: 1979 - Volume: 47½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of the Inventory Transfer Records for the Division of Correctional Industries. The records generally include transfer shuts which indicate all adjustments made to the agency's accounting record as a result of a transfer of inventory from other state facilities. The information includes: the object code; date of transfer; description of inventory; transfer number; quantity; unit and unit price; extensions; receiving report number; and official signatures.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
310.13	Job Quotation Sheets (Record Copies)	
	Dates: 1980 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological by quarter	
	<p>This record series consists of quarterly Job Quotation Sheets used to evaluate and quote sales prices on the various items manufactured and sold by Stateville's Correctional Industries' Unit. This quoted sales price is arrived at by estimating the quantity and unit cost of labor to be used; the overhead factor; and the anticipated profits. Originals of these forms are maintained by the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 122 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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310.14 Weekly Open Orders Report (Originals)

Dates: 1980 -
Volume: 42 3/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of the Weekly Open Orders Report for the Division of Correctional Industries. The record series generally include information indicating all weekly pending orders by: date promised; customer name; product number and description; quantity; unit and total price; facility; and shop.

Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

310.15 Resident Payroll Sheets (Duplicates)

Dates: 1980 -
Volume: 42 3/4/
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological by month

This record series consists of the Resident Payroll Sheets for the Division of Correctional Industries. The information generally includes: the resident's name; number; clock hours; hourly rate; wage extension; production points/rate; bonus; total wages; industry (type of work) operated; and total (monthly) hours of production. Originals are maintained with the Office in Springfield Department of Correction's Industries.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 123 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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310.16 Summary of Personnel Transactions (Agency Record Copy)

Dates: 1980 -
Volume: 42 3/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of the Summary of Personnel Transactions for the Division of Correctional Industries. The records generally includes information denoting all personnel transactions (e.g., hiring, discharges, promotions) by name, birth date, sex, position title, effective date and detail information. Originals are maintained by the Department of Correction's Industries Office in Springfield.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

310.17 Production and Sales Reports (Duplicates)

Dates: 1982 -
Volume: 33 1/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: By shop, then Chronological

This record series consists of Weekly Production and Sales Reports which are logs of the information contained on Production and Sales Orders. Originals of these records are maintained by the Department of Corrections Industries Office in Springfield.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 124 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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310.18 Monthly Product Inventory Listings (Record Copies)

Dates: 1980 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: By shop, then Chronological

This record series consists of monthly inventory listings for products being manufactured by Correctional Industries (specifically garments, furniture, and soap). A separate sheet is completed for goods in each of the three manufacturing stages: Raw Materials, Work in Process, and Finished Goods. Each sheet lists the number of products or pieces on hand, as well as a breakdown of the costs involved in purchasing and/or producing them.

The originals of this record series are maintained by the Department of Correction's Industries Office in Springfield.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

310.19 Production and Sales Orders and Shipping Reports (Duplicates)

Dates: 1978 -
Volume: 38 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This record series consists of Production and Sales Orders and Shipping Reports. These two forms are used to recheck orders once they are filled. They each give a description of the article, the quantity ordered and shipped, then the number of units and the unit price.

Originals of these forms are maintained by the Department of Correction's Industrial Office in Springfield.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 125 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.20	Profitability Summary of Finished Jobs (Duplicate)	
	Dates: 1980 - Volume: 42 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of Year-to-Date Profitability Summaries of Profitability of Finished Jobs (one which is monthly, and one which has all monthly and annual totals) which serve as an income statement for each of the three industries managed by this office (soap, furniture, and garments). This statement subtracts all costs and expenses from gross revenue received in order to determine the profitability of each industry. Original copies are transmitted to and maintained by the Deputy Director of Adult Programs, Correctional Industries, for years as per approved Application 83-52, item 8.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
310.21	Property Control Records (Duplicates)	
	Dates: 1980 - Volume: 42 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: --	
	<p>This record series consists of the Property Control Records for the Division of Correctional Industries. The records generally include: agency reports of acquired new property and additions (e.g. tag number, description of property, location code, purchase date and price, object code, voucher number); request for change of status of equipment (e.g., tag number, new location code, object code, purchase price, disposition); and property change report (e.g., current tag number, location code, transaction code, change information).</p>	
	<p>Originals are maintained by the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain in the office until superseded by more current listings.	Disposition Approved 5/18/88
310.22	Purchase Orders, Orders-for-Delivery Files (Duplicates)	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 126 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Dates: 1979 -
Volume: 14¼ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This record series contains duplicate purchase orders and orders-for-delivery generated by this division. Original documents are transmitted to and maintained by the Department of Central Management Services for a period of six (6) years under approved Application 77-42, items 1 and 2.

Recommendation:	Retain in office for two (2) fiscal years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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310.23 Requisitions (Duplicates)

Dates: 1979 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: By fiscal year

The originals of these requisitions are maintained by the Department of Correction's Industries Office in Springfield.

Recommendation:	Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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310.24 Service Contracts and Lease Files (Agency Record Copies)

Dates: 1979 -
Volume: 19 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Alphabetical by vendor

This record series consists of agency record copies of service contracts and leases entered into by the agency with vendors for the delivery and performance of various goods and services required for the general

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 127 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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operations of the agency. Also included are related repair orders, receipts, bid letting documents, and correspondence. These contracts are maintained by the State Comptroller's Office for a period of ten (10) years after completion of all contractual transactions and obligations per Application 78-41.

Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

310.25 Daily Employee Sign-in Sheets (Originals)

Dates: 1978 -
Volume: 28½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological by day

This record series consists of the Daily Employee Sign-in Sheets for the Division of Correctional Industries. The records generally include information indicating time in, time out, and the signature of all employees entering and leaving the facility.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

310.26 Store Receiving Reports

Dates: 1978 -
Volume: 38 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This record series consists of Store Receiving Reports used to check incoming supplies, equipment and raw materials and to compare and substantiate the accompanying bill or invoices. Also attached to the reports are corresponding purchase orders or orders-for-delivery.

Recommendation: Retain in office for six (6) years, then dispose of

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 128 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.27	Supply Inventory Listings (Duplicates)	
	provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	
	Dates: 1980 - Volume: 42 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By shop, then Chronological	
	This record series consists of monthly inventories of supplies (e.g. gloves, brooms, and cleaning supplies). Original inventory listings are maintained by the Department of Correction's Industries Office in Springfield.	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
310.28	Vendor Complaint Forms	
	Dates: 1982 - Volume: 33 1/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	This record series consists of forms completed by vendors to document complaints against this office.	
	Recommendation: Retain six (6) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 129 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.29	Monthly Verification of Obligation Balances Forms (Duplicates)	
	Dates: 1983 - Volume: 28½ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of internal budget forms entitled <u>Monthly Verification of Obligation Balances</u>. These forms are utilized to notify the Springfield Industries Office of the unencumbered budget balance at the end of each month. The originals of these forms are maintained by the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
310.30	Vouchers (Duplicates)	
	Dates: 1982 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By type voucher, then by fiscal year	
	<p>This record series consists of travel vouchers and invoice vouchers along with corresponding voucher schedules. Originals of these vouchers are maintained by the State Comptroller's Office as per item 1 of State Records Application 76-71 and record copies are maintained by the Department of Correction's Industries Office in Springfield.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 130 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
310.31	Work Orders (Duplicates)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	Original work orders are maintained by the Chief Engineer's Office.	
	Recommendation: Retain in the office until completion of work, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 131 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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KEY CONTROL AND ARMORY

320.01 Key Control Records (Computer Printouts)

Dates: 1986 -
Volume: 14¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of computer printouts indicating where all the keys for each gate or lock are located and who is responsible for them.

Recommendation: Retain until revised or superseded.

**Disposition
Approved
5/18/88**

320.02 Key Request Slips

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Chronological

Recommendation: Retain one (1) year in office, then dispose of.

**Disposition
Approved
5/18/88**

320.03 Work Orders (Duplicates)

Dates: 1984 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: By year

Original work orders are maintained by the Chief Engineer's Office.

Recommendation: Retain at the discretion of the agency.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 133 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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MAILROOM SUPERVISOR

330.01 Check Pick-up Log Books

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of receipt books signed by employees to indicate they received certain checks which were sent to them through the mail.

Recommendation: Retain one (1) year in office, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

330.02 Money Order Reports (Computer Printouts)

Dates: 1985 -
Volume: 9½ Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological by month

This record series consists of computer printouts showing each money order sent to an inmate. Also listed is the amount of the money order, the day it was received, and the name of the sender.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 134 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
330.03	Inmate Inquiry/Complaint File	
	Dates: 1980 - Volume: 95 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Alphabetical by name	
	This record series consists of letters of inquiry or complaints received from inmates regarding mail room operations. Also included are copies of the mail room's responses to these letters. Recommendation: Recommendation: Retain three (3) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
330.04	Incoming Resident Mail Card File (Original)	
	Dates: 1950 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By inmate register number	
	This is a card file logging all incoming mail for residents.	
	Recommendation: Retain in office until the respective resident is transferred or discharged, then dispose of the cards for discharged residents and for those residents transferred, collate with other relating mail control records and forward to the designated correctional center.	Disposition Approved 5/18/88
330.05	Forms and Supporting Log Books Indicating Mail Returned to Sender (Originals)	
	Dates: 1984 - Volume: 19 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological	
	Recommendation: Dispose of upon expiration of administrative value.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 136 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
330.08	Legal Mail Log Books (Originals)	
	Dates: 1982 - Volume: 4 3/4 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: Chronological	
	These internal log books support the receipt and handling of all mail related to legal representation/ litigation matters.	
	Recommendation: Dispose of upon expiration of administrative value.	Disposition Approved 5/18/88
330.09	Employee Mail Card File (Originals)	
	Dates: 1950 - Volume: 180 1/2 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: By employee number	
	This card file is used for sorting employee mail for distribution.	
	Recommendation: Dispose of upon discretion of the mailroom (or when administrative value expires).	Disposition Approved 5/18/88
330.10	Magazine/Periodical Card File (Originals)	
	Dates: 1950 - Volume: 9 1/2 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: By register number of inmate	
	This card file indicates specific magazines and periodicals received by residents.	
	Recommendation: Retain in office until the respective resident is transferred or discharged, then dispose of the cards for discharged residents and for those residents transferred, collate with other relating mail control records and forward to the designated correctional center.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 137 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
330.11	Publications Screening Forms (Form 460-550) (Original)	
	Dates: 1950 - Volume: 228 Cu. Ft. Annual Accumulation: 6¼ Cu. Ft. Arrangement: Numerical and Chronological	
	<p>This series has been used to indicate which materials have been "screened" and accepted by the Publications Review Committee. This committee reviews and passes on the allowance of certain publications subscriptions/orders by residents. The Publications Review Committee, the officer passing the material, and the receiving resident all "sign-off" on this form as it is processed through the mail distribution system. The mailroom maintains the official and only copy of this form.</p>	
	Recommendation: Retain in office until the respective resident is transferred or discharged, then dispose of the cards for discharged residents and for those residents transferred, collate with other relating mail control records and forward to the designated correctional center.	Disposition Approved 5/18/88
330.12	Resident Mail Log Books (Originals)	
	Dates: 1973 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: By resident and Chronological	
	<p>These books record daily data on the nature, distribution, volume and handling cost transactions of resident mail. This series is produced and used on an internal basis solely for convenience of reference and is therefore not subject to audit.</p>	
	Recommendation: Dispose of upon expiration of administrative value.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 138 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
330.13	Inventory Records of all Supplies Used for Prison-Wide Xerox Operations (Originals)	
	Dates: 1984 - Volume: 23 3/4 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	This is a handwritten inventory account of all supplies used for nine xerox machines dispersed throughout the prison.	
	Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
330.14	Legal Mail Receipts	
	Dates: 2003- Volume: 81 Cubic Feet Annual Accumulation: 3 Cubic Feet Arrangement: Alphabetical	
	This record series consist of mail receipts for inmates receiving legal correspondence. A handwritten legal receipt is delivered to the inmate with their legal mail by a correctional officer. The receipt contains the following information: Inmate's name, inmate's number, location, date, and correspondent's name. Signatures are required from the officer handing out the legal mail and the inmate receiving the mail. Copies of the receipt are maintained by the mailroom and the inmate.	
	Recommendation: Retain legal mail receipts for seven (7) years after date of generation and destroy in a secure manner or delete from system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.	Disposition approved as amended 3/18/15

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 139 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

SAFETY AND SANITATION

340.01 Building Code Violation File (Originals)

Dates: 1985 -
Volume: 7.6 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This record series consists of reported violations of Illinois Building Code and Department of Correction's safety and sanitation standards in this Correctional Center. (Inspectors for this office record these violations on the same Incident Report form used throughout the center to report disturbances and unlawful acts.). Such violations might include a crumbling wall, bad plumbing, broken side walk, non-functioning buzzer or alarm, etc., and are not charged against the liability of that facility's supervisor. Attached to the Incident Report will be any resultant work request orders to remedy the problem, the original of which is transmitted to and retained by the Chief Engineer's Office for two (2) years.

Recommendation: Retain in office for two (2) years, then dispose of.

**Disposition
Approved
5/18/88**

340.02 Weekly Safety and Sanitation Reports (Originals)

Dates: 1935 -
Volume: 11.4 Cu. Ft.
Annual Accumulation: 11.4 Cu. Ft.
Arrangement: Chronological

This record series consists of weekly Safety and Sanitation Reports, reporting assessment of all buildings' conditions that are part of this correctional center on each day of that week. Inspectors evaluate the safety and maintenance of all building features (steps, railings, floors, electrical outlets, etc.); all sanitary conditions; and the working order of all alarms and emergency systems. The form also records the number of incident reports filed for each building (reporting safety and sanitary inadequacies) and the number of work orders sent to the Chief Engineer to remedy the situation.

Recommendation: Retain one (1) year in office, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 140 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
340.03	Weekly Security Inspection Reports (Original)	
	Dates: 1984 - Volume: 76 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of security inspection reports completed weekly by inspectors of this office. A report shows the results of inspections of each facility in the Correctional Center. Inspectors rate all locks, doors, windows and screens, contraband storage areas and bars as to whether or not they are secure, and if repairs are warranted. It will also note if a work order for any such repairs has been submitted to the Chief Engineer. Duplicates are transmitted to the Chief of Security.</p>	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
340.04	Safety and Sanitation Work Request Order File (Duplicates)	
	Dates: 1985 - Volume: 95 Cu. Ft. Annual Accumulation: 47½ Cu. Ft. Arrangement: Numerically by work order	
	<p>This record series consists of a photocopy of all Safety and Sanitation Work Request Orders issued by this office to remedy violations of the Illinois Building Code and Department of Corrections safety and sanitation standards. The original is transmitted to and retained by the Office of the Chief Engineer for two (2) years.</p>	
	Recommendation: Retain in office for one (1) year, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 141 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

TELECOMMUNICATIONS

350.01 Hardware and Munitions Inventory Files (Original) (Printout)

Dates: 1982 -
Volume: 33¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: By system (item)

This record series consists of running inventories of the following security hardware and munitions in stock at this Correctional Center: guns, ammunition, glare guns, tear gas, handcuffs, leg restraints, gas masks, bulletproof vests and audio-visual equipment. For the make and model number of each item, the inventory provides the total quantity purchased, total issued/expended, total remaining, location of storage, and any comments on the purchase, use or care of the item.

Recommendation: Retain four (4) years in office, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

350.02 Key Requisition Slips (Originals)

Dates: 1985 -
Volume: 28½ Cu. Ft.
Annual Accumulation: 14¼ Cu. Ft.
Arrangement: Chronological

This record series consists of key requisition slips submitted to this office by correctional staff requesting this office's approval of any changes relating to this correctional center's key rings. Such changes would include the addition of new keys to a given ring, duplication of existing keys, removal of discontinued keys, or re-assignment of responsibility for the key rings. This series is used periodically by agency auditors in confirming the whereabouts of all agency keys.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 142 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
350.03	Printout - Key Control Index	
	Dates: 1986 - Volume: 7.6 Cu. Ft. Annual Accumulation: 7.6 Cu. Ft. Arrangement: None	
	<p>This record series consists of a printout monitoring all keys and key rings issued throughout the correctional center. Data is cross-indexed according to the number of the key, the respective lock, location of the key ring, and to the assignment (officer responsible for the key).</p>	
	Recommendation: Retain until updated, then dispose of.	Disposition Approved 5/18/88
350.04	Radio Service Log (Original)	
	Dates: 1986 - Volume: 14¼ Cu. Ft. Annual Accumulation: 14¼ Cu. Ft. Arrangement: Numerical by property control number	
	<p>This record series consists of a service sheet for each radio in stock and in use at this Center, and lists when the system was serviced, for what reason(s), and any additional comments.</p>	
	Recommendation: Retain six (6) months in office, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 144 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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TOOL CONTROL UNIT

360.01 Monthly and Weekly/Daily Tool Control Status Reports (Originals)

Dates: 1960 -
Volume: 342 Cu. Ft.
Annual Accumulation: 14¼ Cu. Ft.
Arrangement: Chronological

These reports indicate specific items being held, missing, etc. for follow-up in acquiring tools again in the inventory.

Recommendation: Retain in office until expiration of administrative value, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

360.02 Tool Control Log Books of Tool Charge-outs for Foremen and Individual Sign-outs (Originals)

Dates: 1960 -
Volume: 114 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

This is another internal log for tool charge-outs and returns.

Recommendation: Retain in office until expiration of administrative value, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 145 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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360.03 Tool Master Inventory Log (Original)

Dates: 1960 -
Volume: 190 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

This master tool inventory log is maintained in bound volumes within the Mechanical Stores Tool Control Vault. These data are captured within the institution's property control system.

Recommendation: Retain in office until expiration of administrative value, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 146 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

**ASSISTANT WARDEN FOR PROGRAMS
EXECUTIVE OFFICE**

370.01 Subject Files (Originals and Duplicates)

Dates: 1977 -
Volume: 1,368 Cu. Ft.
Annual Accumulation: 190 Cu. Ft.
Arrangement: Alphabetical by subject

This record series consists of the administrative reference or "subject files" for the Office of the Assistant Warden for Programs - who oversees the institution's correctional industries, the library, Health Care Unit, Mental Health Unit, Clinical Services (inmate visitation, housing and assignments unit, Bureau of Identification and Records Office), educational programs, recreation and protective custody functions. Included in this record series would be all policy statements, internal memoranda, correspondence reports and related reference material for:

- Accreditation criteria
- Adjustment Committee Reports
- Affirmative Action Plan
- Audits - Internal & External
- Classification Committee recommendations
- Crisis Intervention guidelines
- Education Department memoranda/correspondence
- Grievance files for employees & inmates
- Incident Reports
- Industries - production reports
- Inspection Reports - Fire & Safety
 - Ground Detector
 - Health & Safety
 - Safety & Sanitation
- Investigation Reports (Duplicates)
- Legal Suits (Duplicates)
- Prisoner Legal Assistance - policy statements, program narratives
- Special Evaluation Unit
- Task Force recommendations on Inmate Assignments, Visitation
- Policy and New Department Rules

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 147 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain three (3) years in office, then with the assistance of the Archives staff, review files and weed out any materials no longer possessing any further administrative value, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
370.02	Inmate Files	
Dates:	1981 -	
Volume:	19 Cu. Ft.	
Annual Accumulation:	¼ Cu. Ft.	
Arrangement:	Alphabetical by name	
	<p>This record series consists of correspondence between inmates and the Assistant Warden for Programs. This would involve requests from inmates for educational services, special housing assignments, visitation privileges, etc. The official record of the inmate's conduct, program participation, medical history and assignments is maintained by the Clinical Services/Records Office.</p>	
Recommendation:	Retain three (3) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
370.03	Chronological File	
Dates:	1974 -	
Volume:	54 Cu. Ft.	
Annual Accumulation:	4½ Cu. Ft.	
Arrangement:	Chronological by date, Alphabetical by program area	
	<p>This record series consists of internal memoranda circulated to the staff or to Department Heads dealing with rules or policy matters under the supervision of the Assistant Warden for Programs.</p>	
Recommendation:	Retain three (3) years in office, then review files and weed out any materials no longer possessing any administrative value, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 148 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
370.04	Personnel Files (Duplicates)	
	Dates: 1981 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Alphabetical by employee name	
	<p>This record series consists of duplicate personnel files for staff assigned under the Assistant Warden for Programs. Included would be: evaluations, correspondence, time and attendance information, payroll adjustment and transaction information, etc. All of this information is forwarded to the Institution's Personnel Office and maintained for sixty-five (65) years or five (5) years after separation from service - depending on the category of employee.</p>	
	Recommendation: Retain five (5) years in office after separation from employment, then dispose of.	Disposition Approved 5/18/88
370.05	Warden's Correspondence (Chronological File)	
	Dates: 1974 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of correspondence initiated by the Warden to be sent to the Assistant Warden which covers: program development, staff development, directives, and disciplinary matters.</p>	
	Recommendation: Retain three (3) years in office, then review files and weed out any materials no longer possessing any administrative value, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 149 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

CHAPLAIN'S OFFICE

380.01 Administrative Correspondence & Reference File (Agency Record Copy)

Dates: 1970 -
Volume: 114 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Alphabetical by subject

This record series consists of the administrative correspondence and reference files for the institution's Chaplaincy. Specific record types included in this record series are: warden's bulletins; minutes from meetings involving the warden; regulations of the Department of Corrections; procedures for conducting marriages (memos verifying blood tests, copies of marriage licenses); calendar of events, requirements for accreditation of program; schedule of chapel hours, materials from the Illinois Association of Chaplains; notices of absences from chapel and individual sessions; budgets for office and the program; reference material from the National Prison Ministries who provide fee bills and religious literature to Correctional Systems, and any correspondence dealing with the chaplaincy program.

Recommendation: Retain three (3) years in office, then review files and weed out any material no longer possessing any administrative value, then dispose of.

**Disposition
Approved
5/18/88**

380.02 Volunteer Service Files

Dates: 1976 -
Volume: 38 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Alphabetical by organization name

This record series consists of all forms and documents necessary to permit volunteer service organizations to visit the institution and sponsor programs or courses for the benefit of the general population. Found in this file would be: applications completed by the volunteer group which detail their services and outline the manner in which the sessions or course work will be conducted; waiver forms for accidents or injury; communications describing the history and objectives of the organizations; identification

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 150 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>data for volunteers who are regular visitors of the institution, and report forms which provide information on the results and response of the inmates for the volunteer program.</p> <p>Recommendation: Retain three (3) years in office, then review files and weed out any material no longer possessing any administrative value, then dispose of providing no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
380.03	Time Sheets for Inmate Clerks	
	<p>Dates: 1984 - Volume: 4 3/4 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: Chronological</p> <p>Time sheets are used to prepare payroll sheets for the Institution's Business Office.</p>	
	<p>Recommendation: Retain in office for two (2) years, then dispose of.</p>	<p>Disposition Approved 5/18/88</p>
380.04	"General Stores" Fiscal Administration File (Duplicates)	
	<p>Dates: 1982 - Volume: 4 3/4 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: Chronological by year</p> <p>This record series consists of requisitions, purchase orders, receiving reports, and general store order forms used to document the acquisitions of goods and services necessary for operation of the program.</p>	
	<p>Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 151 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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380.05 Reference Files for Religious Groups

Dates: --
Volume: 4 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Alphabetical by name of religion

This record series consists of miscellaneous information on all religious groups represented by the general population of the institution (traditions, holy days, etc.).

Recommendation: Retain at the discretion of the agency.

**Disposition
Approved
5/18/88**

380.06 Religious Preference Files

Dates: 1981 -
Volume: 114 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Numerical by inmate number

Upon assignment at the institution, an inmate's orientation would include receiving the Chaplaincy Department's orientation material which includes the Religious Preference Form which permits the new inmate to indicate a religious preference, be notified of the weekly schedule of religious instruction, receive a schedule of visitations by the institution's clergy, and to order religious materials and request personal interviews with a chaplain.

Recommendation: Retain at the discretion of the agency.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 152 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

CLINICAL SERVICES/INMATE VISITATION

390.01 General Administrative Correspondence (Originals and Duplicates)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of all correspondence and memoranda accumulated through the routine operations of this office. Such topics covered may be announcements of the hiring of new employees; the scheduling of facilities for an inmate's wedding ceremony; Correctional Center events; changes of policy, and other related materials.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

390.02 Form 005 Incident Reports (Duplicates)

Dates: 1984 -
Volume: 14 1/4 Cu. Ft.
Annual Accumulation: 6 1/4 Cu. Ft.
Arrangement: None

This record series consists of the original copies of all Form 005 Incident Reports prepared by Visiting Room security officers. These reports provide all known facts pertaining to violations of visiting rules by inmates and/or visitors (i.e., smuggling money, contraband, or illegal substances), and provides the names of all inmates, visitors and Correctional Center staff involved and any other pertinent information. Original incident reports are submitted to the Assistant Warden for Operations where they are maintained for seven (7) years.

Recommendation: Dispose of when administrative value has expired.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 153 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
390.03	Inmate Visitation Record (Original)	
	Dates: 1978 - Volume: 28½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Numerical by inmate's number	
	This record series consists of note cards for individual inmates listing the date of each visit they received.	
	Recommendation: Retain until the inmate is released, then dispose of.	Disposition Approved 5/18/88
390.04	List of Visitors Received (Original)	
	Dates: 1980 - Volume: 228 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: Chronological	
	This record series consists of a running list of all visitors meeting inmates in the Visiting Room. The list records the individual's name, the number of the inmate visited, the inmate's cell number, at which table the visitor and inmate were seated, the time of the visit, and the visitor's relationship with the inmate.	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
390.05	Log Books of Daily Visits (Original)	
	Dates: 1980 - Volume: 38 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	This record series consists of daily log books recording the names of all visitors to the Visiting Room and the names of correctional officers on duty.	
	Recommendation: Retain two (2) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 154 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
390.06	Form IL 401-405 Supply Requisition Forms (Duplicates)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of duplicate Form IL 401-405 requisitions for supplies expended in the routine operations of the Visiting Room. The original copy is submitted to the Procurement Office where it is retained for six (6) years.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 155 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

CLINICAL SERVICES/VISITATION CLERK

400.01 Inmate Visitation Files (Originals & Duplicates)

Dates: 1979 -
Volume: 380 Cu. Ft.
Annual Accumulation: 53.20 Cu. Ft.
Arrangement: Numerical by inmate's number

This record series consists of individual inmate files of materials documenting their visitational status and history. Typical materials contained in an inmate's file are: all visitation records from prior correctional centers where the inmate was detained; a note card giving the name, address, telephone number and relationship to the inmate of the person to be contacted in the event of an emergency involving the inmate or visitors; duplicates of any Incident Reports filed with the Warden of Operations by a visiting room guard reporting any incident in violation of visiting room rules and any subsequent stop orders and memoranda issued by the Warden in response, and any letters from the Department of Correction's General Office rescinding stop orders.

Recommendation: Retain until release from custody of inmate, then dispose of.

**Disposition
Approved
5/18/88**

400.02 "Temporary and Permanent Visiting Restriction List" & "Stop Order" Card Files (Duplicates)

Dates: 1984 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Numerical by inmate's number

This record series consists of a card file of all people listed on a monthly printout generated by the Department of Correction's General Office entitled "Temporary and Permanent Visiting Restriction List". This lists all people denied entry to Illinois correctional centers after a "stop order" has been placed against them by the Department for smuggling money, contraband or illegal substances to inmates or other questionable acts. The stop order will be either temporary or permanent in duration. This record series also includes the printout.

Recommendation: Retain in card file until stop order is rescinded, then dispose of.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 157 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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CLINICAL SERVICES/RECORDS OFFICE

410.01 Cell Movement Count Sheets (Originals)

Dates: 1980 -
Volume: 627 Cu. Ft.
Annual Accumulation: 104½ Cu. Ft.
Arrangement: Chronological

These are original forms used to track residents assigned living units and living unit transfers.

Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

410.02 Daily Count Sheets (Originals)

Dates: 1985 -
Volume: 76 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological

These sheets show a daily resident bread count with parole, transfer and release status. The count total is broken down into a "white" and "black" count for data on ethnic mix. Copies are transmitted to the Bureau of Administration and Planning of the Department's central headquarters.

Recommendation: Retain in office for two (2) years, then dispose of.

**Disposition
Approved
5/18/88**

410.03 Clinical Services/Record Office Housing Reports and Alpha Numeric Reports and OTS Files (Computer Printout) (Computer Disc/Tapes)

Dates: 1980 -
Volume: 1,273 Cu. Ft.
Annual Accumulation: 209 Cu. Ft.
Arrangement: Chronological, Alphabetical and Numerical

This record series consists of Clinical Services/Record Office Housing Reports and Alpha Numeric Reports (computer printouts) which were generated for reference to the following groupings of data: inmates by

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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register number and name, security classification, grade, cell house assignments, escape risk factor and work assignments (normal and temporary).

These printouts were originally generated under the Department's Correctional Institution Management Information System (CIMIS); however, this system was rendered obsolete in October of 1989 when it was replaced by the Offender Tracking System (OTS). The OTS allows all of the information (assimilated from CIMIS) listed on these two reports to be retrieved immediately for any time period via OTS terminals as required.

Recommendation: A) Dispose of all hard copy documentation (printouts) generated under CIMIS (1980-1989) upon approval of this application and providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
4/15/92**

B) Retain all on-line record series data (OTS) for six (6) years, then delete from the system providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. All computer tape/disc maintenance and preservation procedures are to be fully applied.

410.04 Incident Reports (Duplicates)

Dates: 1984 -
Volume: 38 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Chronological

These are reports of various incidents occurring throughout the facility which may or may not result in investigation and/or disciplinary proceedings/criminal prosecution. Institution-wide record copies of incident reports are maintained by the Office of the Assistant Warden for Operations.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 159 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
410.05	Institutional Transfer Criteria and Exception Memos (Originals)	
	<p>Dates: 1979 - Volume: 76 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological</p> <p>These memos establish the presence of all criteria for all types of administrative or institutional transfer.</p>	
	<p>Recommendation: Retain in office for seven (7) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated</p>	<p>Disposition Approved 5/18/88</p>
410.06	Litigation Proceedings Case Files (Originals and Duplicates)	
	<p>Dates: 1974 - Volume: 380 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: Alphabetical and Chronological</p> <p>This record series includes the institution's copies of case files of litigation involving the Department and the facility. File contents include duplicates of various adjudication proceedings documents and attendant working papers (research notes, briefs, pertinent correspondence, etc.).</p>	
	<p>Recommendation: Retain in office for five (5) years following the final disposition and subsequent closure of the respective case(s), then dispose of.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 160 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
410.07	Movement Releases (Duplicates)	
	Dates: 1980 - Volume: 57 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: By register number & Chronological	
	<p>These are duplicates of day releases, medical or any other type of movement release authorized for resident's movement within and outside the Center. The originals of these are maintained within the resident master files of "resident jackets".</p>	
	Recommendation: Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
410.08	Prison Activities Photos (Prints)	
	Dates: 1940 - Volume: 114 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: N/A	
	<p>These are prints of photographs taken of inmate activities at various institutions.</p>	
	Recommendation: After expiration of all administrative use by the Department, transfer to the Illinois State Archives custody. All or any accumulations transferred will be reviewed by State Archives staff and upon completion of the review, the State Archives staff will dispose of all or any photographs determined to possess insufficient value for further retention after notice of any planned disposal(s) has been issued to the Department of Corrections.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 161 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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410.09 Resident Master Files or "Resident Jackets" (Originals)

Dates: 1956 -
Volume: 5,320 Cu. Ft.
Annual Accumulation: 177¼ Cu. Ft.
Arrangement: By register number

This is the individual case file for each felon and is created at the time of admission for sentence to the Illinois Department of Corrections. Contained in jackets, each file details the history of the felon by documentation including but not necessarily limited to cover sheets, movement records, photo, identification sheet, visiting/mail record, statement of facts, mittimus, mug shots and fingerprints, movement releases, disciplinary forms/records, any applicable adjustment committee forms, indictment, parole agreement, F.B.I. record, Bureau of Identification report, discharge, warrant, medical record, medical progress report, classification report, reclassification report, psychological report, psychological screening report, psychiatric report, disciplinary report, assignment report, program evaluation report, visitation report, and citizenship papers.

These records must be microfilmed because of volume and because they must be stored and maintained for legal reference.

These records are kept in the Microfilm Center only.

Application 76-98M superseded to add to the Department of Correction's master schedule.

Recommendation: Microfilm records as they are received, then dispose of originals. Send security copy of microfilm to the State Archives for permanent retention. Agency copy is to be retained permanently in office.

**Disposition
Approved
5/18/88**

410.10 Resident and Employee Mug Shots and Fingerprints (Duplicates)

Dates: 1892 -
Volume: 1,682 Cu. Ft.
Annual Accumulation: 18 Cu. Ft.
Arrangement: Alphabetical, Numerical and Chronological

This record series is maintained in both file folder and card file formats and is copied in the respective resident and employee institutional jackets/personnel files.

Application 78-52, items 1 and 2 superseded.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 162 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for five (5) years after discharge/separation of resident/employee, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
410.11	Monthly Statistical Reports on the Resident Population - Manual and Computer Printout (Originals or Record Copies)	
Dates:	1950 -	
Volume:	285 Cu. Ft.	
Annual Accumulation:	9½ Cu. Ft.	
Arrangement:	Chronological	
	<p>These are monthly statistical reports maintained and used within the institution for reference to data on Stateville's resident population regarding intake, transfers, escapes, paroles, and discharges, as well as correctional program participation and disciplinary action statistics. Some of the reports have been routinely copied with the various federal governmental agencies overseeing and/or monitoring prison administration on the state level as well as with the administrative headquarters of the Department of Corrections, while others have been used and distributed solely on an internal basis.</p>	
Recommendation:	Retain three (3) years in the office, then transfer to the Illinois State Archives for permanent retention.	Disposition Approved 5/18/88
410.12	Clinical Services Resident Counseling Files (Duplicates) (Discontinued)	
Dates:	1990-1991	
Volume:	25 Cu. Ft.	
Annual Accumulation:	N/A	
Arrangement:	By inmate name and number	
	<p>These records consist of duplicate records which are used as a counselor's "work" file. Information in these files are copies of original information contained in the Resident Master Files of the Record Office. (These files are no longer used in Maximum facilities.) Resident Master Files are maintained permanently as per State Records Application 86-123, Item 410.09.</p>	
Recommendation:	Dispose of accumulation.	Disposition Approved 3/18/92

APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)

Application No 86-123
Page 163 of 220

Item No.

Record Series Title, Description and Recommendation

Action Taken

CLINICAL SERVICES
PLACEMENT OFFICE

**411.01 Reports of Inmate Racial Composition in Assignments and Housing
(Discontinued) (Originals)**

Dates: 1978 - 1988
Volume: 4 1/2 Cu. Ft.
Annual Accumulation: N/A
Arrangement: Chronological by month

This record series consists of monthly reports which were used to record the percentages of minorities placed in various inmate facility job assignments and/or housing units. These files were generated and compiled per Consent Decree S-CIV-76-0158 (United States of America vs. Illinois Department of Corrections), which expired in June, 1984. At that time, the reports were forwarded to the Springfield Office of the Department of Corrections and Affirmative Action where they were reviewed by the federal government. Due to the expiration of the Consent Decree, these records are no longer generated by the facility.

Recommendation: Transfer entire accumulation to the State Records Center and retain for ten (10) years, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
3/23/94**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 164 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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EDUCATION OFFICE

420.01 Annual One and Five Year Plans and Related Chapter I Plans

Dates: 1983 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

These are internal supporting working papers and office copies of annually updated one (1) and five (5) year plans and Chapter I plans for the administration of the Centers educational programs. Originals of five (5) and one (1) year plans are on schedule for deposit with the State Archives custody under Application 76-79.

Recommendation: Retain in office and dispose of upon discretion of the agency.

**Disposition
Approved
5/18/88**

420.02 General & Administrative Correspondence Files (Originals and Duplicates)

Dates: 1983 -
Volume: 38 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

This correspondence file contains no documentation of long-term value.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

420.03 Education Office Fiscal Records (Duplicates)

Dates: 1980 -
Volume: 38 Cu. Ft.
Annual Accumulation: 6¼ Cu. Ft.
Arrangement: Chronological

This record series includes the Education Office's copies of vouchers,

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 165 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

requisitions, property control record, operational budget papers and copies of School District contracts and University contracts. Originals or record copies of these documents are processed and maintained by either the facility's Business Office, the central headquarters of School District #428 or the contracting university(s).

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

420.04 Staff/Employee Files (Duplicates)

Dates: 1968 -
Volume: 38 Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Alphabetical by employee

With the exception of the personnel files for two (2) staff members for special education, which are maintained in record copy by the Office of the Regional Education Superintendent, the full-time staff of the Center's Education Office (School District #428) is under Personnel Code jurisdiction. Record copy personnel files for those staff members covered by the Code are maintained by the District #428 Office of the central headquarters of the Department. File contents maintained by the Office of the Center consists primarily of evaluations (DP-201's) Personnel Action forms, and time records.

Recommendation: Retain in office for five (5) years after separation/termination, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 166 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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420.05 Miscellaneous Program Claim, Eligibility and Status Reports (Originals and Duplicates)

Dates: 1979 -
Volume: 152 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Chronological, then by program

This record series contains various duplicate or internal supporting summary reports on the educational program completed and used for reporting the program's eligibility for reimbursement from federal and state grant or appropriated support funds. Specifically, these reports consist of: Vocational Education Reimbursement Claims; Vocational Education Data System Report - Mid-term Apportionment Verification Form; copies of student attendance records and enrollment summaries; Chapter I Program Statistical Reports of Attendance, Enrollment and Educational Gains; Summary Reports of Special Education Programs of Enrollment, Attendance and Educational Gains; and Monthly Quantitative Reports to the School District.

Except Vocational Education Reimbursement Claims, original or record copies of these documents are maintained by the administrative office of School District #428 and/or the State Board of Education without current State Records Commission records retention schedules. Vocational Education Reimbursement Claims are scheduled for a six (6) year retention period per Application 76-84.

Recommendation: Retain for five (5) years in office, then transfer to the State Records Center for five (5) years, then dispose of provided all audits (federal and state) have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

420.06 Student Records (Duplicates)

Dates: 1981 -
Volume: 266 Cu. Ft.
Annual Accumulation: 57 Cu. Ft.
Arrangement: Numerical by register number

This record series consists of student records containing transcripts, including transcripts from other institutions of incarceration and/or education, achievement test scores, grades and copies of GEDs. Students may be matriculated in any level of education, including four (4) years

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Item No.	Record Series Title, Description and Recommendation	Action Taken
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college programs, special education programs and adult educational programs. All student records are included in each participating resident's master file.

Recommendation:

Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 168 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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FIRE SAFETY

430.01 Fire Safety Inspection "Check-off" Form (Originals)

Dates: 1985 -
Volume: 57 Cu. Ft.
Annual Accumulation: 28½ Cu. Ft.
Arrangement: Chronological

This is a form used internally within the institution to review the results of inspections for possible areas of violation of fire safety laws and regulations.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

430.02 Notice of Fire Drill Memos (Originals)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

Copies of these memos are transmitted to the Assistant Warden for Operations Office.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 169 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
430.03	Fire Extinguisher Services Log Books (Originals)	
	Dates: 1986 - Volume: 19 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological	
	This record series consists of volumes logging all maintenance services performed for the operation of the Centers' fire extinguishers.	
	Recommendation: Retain for the life of the corresponding fire extinguisher(s), then dispose of.	Disposition Approved 5/18/88
430.04	Fire Extinguisher Inspection Tags	
	Dates: 1986 - Volume: 14¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain in office until superseded by reinspection or the retirement of the corresponding extinguisher(s), then dispose of.	Disposition Approved 5/18/88
430.05	Monthly Fire Extinguisher Usage Reports (Originals)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	These reports document the operational history of fire extinguishers within the Center, especially dates and results of operational testing.	
	Recommendation: Retain in office for the life of the corresponding fire extinguisher(s), then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 170 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
430.06	Monthly Emergency Generator Test Reports (Originals)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain in office for the life of the corresponding generator, then dispose of.	Disposition Approved 5/18/88
430.07	Reports of Annual Tests of Fire Hoses (Originals)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain two (2) years in office, then dispose of.	Disposition Approved 5/18/88
430.08	Reports of Quarterly Inspections of Fire Trucks (Originals)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	These reports indicate the overall operational soundness of the fire truck units.	
	Recommendation: Retain in office for two (2) years, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 171 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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LEISURE TIME SERVICES/CENTRAL OFFICE

440.01 Chronological File (Duplicate)

Dates: 1982 -
Volume: 57 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Chronological

This record series consists of interoffice correspondence and memoranda generated by this office in its routine operations; Daily Releases lists from the Assistant Warden of Operations announcing the names of inmates being released or transferred; and the minutes of all Leisure Time Services staff meetings.

Recommendation: Retain in office for three (3) years, then review files and dispose of all informational or routine items which are not current or have been revised/updated. Retain all original minutes of meetings, special surveys and reports, and any materials documenting unique activities and significant policy decisions permanently in offices or transfer to Illinois State Archives for permanent retention.

**Disposition
Approved
5/18/88**

440.02 Fiscal Administration Files (Duplicates)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of duplicate Orders-for-Delivery forms, the originals of which are submitted to Inmate Financial Services for the purchase of supplies. Also included in this series are receipts for all supplies purchased.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 172 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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440.03 Human Rights Complaint Files (Duplicate)

Dates: 1982 -
Volume: 33¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of Human Rights Complaint forms received from the Affirmative Action Office after an employee or inmate has filed a complaint that their rights have been infringed upon. The form will describe the alleged violation and all facts the complainant feels are significant to the case. The original is maintained for five (5) years by the Warden's/Executive Office.

Recommendation: Retain in office for five (5) years after separation of employment, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

440.04 Job Descriptions (Staff)

Dates: 1986 -
Volume: 14¼ Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: None

This record series consists of a job description for each staff position of this office. The description specifies all duties to be performed and what function they serve in the operations of this division.

Recommendation: Retain in office until superseded, then dispose of.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 173 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
440.05	Inmate Job Descriptions	
	Dates: 1982 - Volume: 33¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: None	
	<p>This record series consists of a job description for each job assignment this division has to be filled by an inmate. The description specifies all duties to be performed and what function they serve in the operations of this division.</p>	
	Recommendation: Retain in office until superseded or the position is eliminated, then dispose of.	Disposition Approved 5/18/88
440.06	Inmate Payroll Administration Files (Originals and Duplicates)	
	Dates: 1982 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of three documents generated by monthly inmate payroll functions. The basis of the series is the monthly <u>Inmate Sign-in Sheets</u> (original) on which inmates record their hours worked. Office staff refer to the sign-in sheets when preparing <u>Inmate Payroll Forms</u>, the original of which is submitted to Inmate Institutional Services and is retained for two (2) years. The form lists the name and identification number, hours worked for the month, and hourly wage of each inmate employee. These are later cross checked against a computer printout received from the Business Office entitled Stateville Inmate Payroll also included in this series, to verify that all hours and wages were recorded properly.</p>	
	Recommendation: Retain in office for two (2) years, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 174 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
440.07	Personnel Files (Duplicate)	
	Dates: 1982 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Alphabetical	
	<p>This record series consists of a personnel file for each employee of Leisure Time Services. A typical file consists of: quarterly and annual evaluations of the employee's job performance; all disciplinary records (the originals of which are maintained by the Personnel Office's hearing officer for five (5) years); all requests for leaves of absence, and bulletins from the Personnel Office reporting training courses the individual must take. Original documents are maintained in the individual's official file in the Personnel Office where it is maintained for sixty-five (65) years after the separation of employment.</p>	
	Recommendation: Retain in office five (5) years, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
440.08	Program Evaluations (Duplicate)	
	Dates: 1982 - Volume: 19 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of annual evaluations of Leisure Time Services programs conducted by the Assistant Warden of Programs. The following programs are sponsored by this Division to help meet the recreational and humanity needs of inmates: Art, Art Shows, Actor's Workshop, Plays, Musicals, Band, Basketball, Track, Softball and Football. Programs are evaluated on the inmate's demand for such activities; the fiscal and staff management of the program; and significant contributions it might have to the inmates' well being and rehabilitation. The original is maintained by the Assistant Warden of Programs for three (3) years.</p>	
	Recommendation: Retain in office for two (2) years, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 175 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
440.09	Program Files (Original)	
	Dates: 1982 - Volume: 114 Cu. Ft. Annual Accumulation: 28½ Cu. Ft. Arrangement: By program	
	<p>This record series consists of a file for each of the following programs sponsored by this Division: Art, Art Shows, Actor's Workshop, Plays, Musicals, Band, Basketball, Track and Football. A typical file consists of: press releases regarding different events coordinated under that program; an annual budget request for the program's activities and administration; attendance and participation reports for each event, and all requisitions for supplies needed for a program.</p>	
	Recommendation: Retain three (3) years in office, then review files and dispose of any materials no longer possessing any administrative value.	Disposition Approved 5/18/88
440.10	Subject File (Originals and Duplicates)	
	Dates: 1982 - Volume: 114 Cu. Ft. Annual Accumulation: 28½ Cu. Ft. Arrangement: Alphabetical	
	<p>This record series consists of routine correspondence and inter-office memoranda received by this office during the general operations of this Division; bulletins from the Warden's Office regarding new policy, programs, or current activities for inmates or staff; duplicates of work orders submitted to the Chief Engineer's Office; duplicate daily and weekly <u>Security, Safety and Sanitation Reports</u>, (the originals of which are maintained by the Office of Safety and Sanitation for one (1) year); duplicate <u>Fire and Safety Inspection Reports</u> (the originals of which are maintained for two (2) years); duplicate memoranda sent to the Affirmative Action Office summarizing this Division's personnel transactions; duplicate employee grievances (the originals of which are submitted to the Affirmative Action Office and retained for five (5) years); all requests submitted by individuals or groups to acquire permission to come onto the grounds of the institution (athletic teams, lecturers, performers, etc.); Property Control inventories received from the Department of Correction's General Office listing all property assumed to be in the possession of this division; duplicate preparatory and announcement correspondence regarding movie presentations sponsored by this division, and duplicate copies of all</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 176 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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Warden's meetings and staff meetings of other departments.

Recommendation:

Retain in office three (3) years, then review files and dispose of all informational or routine items which are not current or have been revised/updated. Retain all original minutes of meetings, special surveys and reports and any material documenting unique activities and significant policy decisions permanently in the office or transfer to the Illinois State Archives for permanent retention.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 177 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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LEISURE TIME SERVICES/JAYCEES

450.01 Financial Ledgers of Jaycees Business Operations (Originals)

Dates: 1983 -
Volume: 114 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological

This record series consists of double entry financial ledgers of all business operations managed by the Jaycees Club for a given year. The ledgers provide a financial picture of the sales and inventory of the concession stands, photography services, and any ongoing short term projects (i.e., fruit basket sales during the holiday season).

Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

450.02 Purchase Request Order Files (Duplicate)

Dates: 1986 -
Volume: 38 Cu. Ft.
Annual Accumulation: 38 Cu. Ft.
Arrangement: Chronological

Determining what products will be marketed each month at the Jaycees' concession stands is achieved by a majority vote of the entire club membership. For each product selected, a Purchase Request Order (used exclusively for this function of the Jaycees) is submitted to the Procurement Office, a duplicate of which is retained in this series. This firm designates the product requested by the club; its vendor and address, and quantity and cost of the purchase.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 178 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
450.03	Daily Concession Inventory Sheet (Originals)	
	Dates: 1984 - Volume: 95 Cu. Ft. Annual Accumulation: 47½ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of a daily inventory of merchandise to be sold by the Jaycees Club's concession stands and a total of all coupons redeemed by inmates' purchases. These are used to monitor the volume of trade and to plan procurement of additional merchandise.</p>	
	Recommendation: Retain in office for one (1) year, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
450.04	Vendor's Billing Receipts (Originals)	
	Dates: 1980 - Volume: 57 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Vendor/Chronological	
	<p>This record series consists of all bills and respective receipts of payment received from vendors for inventory to be sold by the Jaycees Club's business operations.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 179 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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450.05 Vendor Files (Originals and Duplicates)

Dates: 1980 -
Volume: 57 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Vendor/Chronological

This record series consists of duplicate invoice vouchers generated by the purchase of inventory for the Jaycees' business operations. The invoices for each vendor are bound by fiscal quarter and accompanied by a quarterly report of business transactions with that vendor which is prepared by club managers. The original invoices are submitted to the Business Office where they are maintained for six (6) years.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

450.06 General Administrative Correspondence (Originals and Duplicates)

Dates: 1980 -
Volume: 95 Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Alphabetical by subject

This record series consists of general administrative correspondence and memoranda received and generated by the Jaycees Club. This includes correspondence with vendors and the National Organization; interoffice memoranda about programs and meetings; an ongoing membership roster; minutes of all meetings (board and general) and a copy of the club's charter from the National Organization.

Recommendation: Retain in office three (3) years, then review files and dispose of all informational or routine items which are not current or have been revised/updated. Retain all original minutes of meetings, special surveys and reports and any materials documenting unique activities and significant policy decisions permanently in office or transfer to the Illinois State Archives for permanent retention.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 180 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
450.07	Jaycees Monthly Financial Status Report "Treasurer's Report" (Originals) Dates: 1980 - Volume: 38 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological <p>This record series consists of monthly balance sheets regarding the financial status of the Jaycees Club and its business operations. This series reports the condition of the club's checking and savings accounts; outstanding liabilities, and income for the month which is reported in further detail according to the Jaycees' in-house concession stands, in-house and visiting photography projects and any on-going short-term projects (i.e. fruit basket sales on holidays). The reports are prepared by managing inmates and signed by a Jaycee advisor. These reports are an accumulation of data from the In-House Concession Stands Daily Summary Sheets and the Photography Project Files which are retained for six (6) years.</p>	Disposition Approved 5/18/88
450.08	In-House Concession Stands Daily Summary Sheets (Originals) Dates: 1982 - Volume: 25¼ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological <p>This record series consists of a daily summary of inventory and revenue exchanged by the operations of five (5) in-house concession stands managed by the Jaycees Club. These summary sheets are the basis of the ten financial audits and monthly financial status reports which are retained for six (6) years.</p>	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 181 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
450.09	Photography Project Files - Jaycees Club (Originals)	
	Dates: 1982 - Volume: 33½ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	<p>The Jaycees Club offers a photography service to take photographs of inmates and visitors in the Visiting Room. This record series consists of a form for each request made for the service which provides the inmate's name, number, cell number, number of photographs produced, the cost and a confirmation of payment.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
450.10	Financial Audits - Jaycees Club (Originals)	
	Dates: 1982 - Volume: 15.20 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of financial audits of the Correctional Center's Jaycees Club. Audits are completed ten (10) times a year on "Project Budget Sheet" forms. These audits monitor the club's vending operations (candy bars, cigarettes, sodas, etc.), short term projects (i.e. fruit basket sales) and an in-house and visitation photography services.</p>	
	Recommendation: Retain in office for six (6) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 183 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
451.03	Minutes of Lifers Incorporated (Originals)	
	Dates: 1986 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consists of minutes of meetings of the general membership, board of directors, and miscellaneous committees of Lifers, Inc.	
	Recommendation: Retain for seventy-six (76) years within the correctional system, then transfer the original paper <u>or</u> Archives use record series microforms to State Archives for permanent retention.	Disposition Approved 3/23/94
451.04	Meeting Motions Approving of Expenditures of Lifers Incorporated (Duplicates)	
	Dates: 1986 - Volume: 1 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological by year	
	This record series consists of motions taken from the minutes of Lifers Incorporated which authorize or deny expenditures. Original motions are permanently maintained within the "Minutes of Lifers Incorporated" per item 451.03 of this application.	
	Recommendation: Retain in office for three (3) years, then dispose of.	Disposition Approved 3/23/94

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 185 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
460.03	Medical Case Files (Originals)	
	Dates: 1933 - Volume: 2,717 Cu. Ft. Annual Accumulation: 133 Cu. Ft. Arrangement: By inmate register number/ Alphabetical by employee	
	<p>This record series consists of original medical/clinical case files for all inmates and employees of the institution. Included in these files are results of physical examinations, medical histories, flow sheets, progress notes, various types of lab reports (i.e., x-rays, EKG's), medication dispensing records, treatment consent/refusal forms, dental records and injury reports. Inmate medical records are presently being microfilmed and retained permanently in each inmate's permanent record (resident jacket).</p>	
	Recommendation: Retain inmate medical records for two (2) years in office after inmate is discharged, then microfilm records, dispose of hard copy and retain microfilm permanently in inmate permanent record file. Retain employee medical records ten (10) years in officer after termination/separation of employment, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
460.04	Medical Services Log Books (Originals)	
	Dates: 1981 - Volume: 114 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of log books maintained by Medical Services as a reference source. Log books are kept for every area in which services are provided and contain summarizations of various types of medical services rendered to inmates and personnel throughout the institution.</p>	
	Recommendation: Dispose of at the discretion of the agency providing no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 186 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
460.05	Pharmaceutical Files (Originals)	
	Dates: 1975 - Volume: 418 Cu. Ft. Annual Accumulation: 38 Cu. Ft. Arrangement: Chronological	
	<p>This record series consists of pharmaceutical files containing prescriptions, controlled substance forms and medication dispensing records. Duplicate copies of medication dispensing records are maintained in inmates medical case files. Medical case files are microfilmed and retained permanently in the inmate's permanent record files.</p>	
	Recommendation: Retain in office for five (5) years, then dispose of.	Disposition Approved 5/18/88
460.06	Reports of Infectious Diseases (Record Copies)	
	Dates: 1981 - Volume: 342 Cu. Ft. Annual Accumulation: 66½ Cu. Ft. Arrangement: Chronological	
	<p>Infectious Disease Reports are submitted to the Department of Public Health for permanent retention under approved Application 74-43M.</p>	
	Recommendation: Retain five (5) years in office, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 5/18/88
460.07	Staff Meeting Minutes (Originals)	
	Dates: 1981 - Volume: 38 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological	
	Recommendation: Retain permanently in office or transfer to the State Archives for permanent retention.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 187 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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460.08 Training Files (Originals)

Dates: 1970 -
Volume: 446½ Cu. Ft.
Annual Accumulation: 19 Cu. Ft.
Arrangement: Alphabetical

This record series consists of training records (i.e. progress notes, training criteria) and copies of employee time sheets kept by Medical Services in conjunction with the continuing education program offered at the institution. Original time sheets are maintained in the Time Keeping Office.

Recommendation: Retain five (5) years in office after separation/termination of employment, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

460.09 X-Rays (Active & Inactive) (Originals)

Dates: 1970 -
Volume: 2,400 Cu. Ft.
Annual Accumulation: 150 Cu. Ft.
Arrangement: Active & inactive status & by inmate register number

This record series consists of original x-rays and x-ray reports of active and inactive inmates. X-ray reports are maintained permanently in the inmate's permanent record files.

Recommendation: Retain x-rays five (5) years in office after inmate is discharged, then dispose of. Retain x-ray reports permanently in inmate's permanent record file.

**Disposition
Approved
5/18/88**

460.10 Requests for Lab Work (Originals)

Dates: 1980 -
Volume: 30 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: Chronological

This record series consists of requests for medical laboratory work (i.e. blood counts) to be completed by Health Care Unit Staff for various

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 188 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>facility residents. Lab work results are incorporated in the residents' medical jackets for permanent retention as per State Records Application 86-123, item no. 460.03.</p> <p>Recommendation: Retain in office for three (3) years, then dispose of provided no litigation is pending or anticipated.</p>	<p>Disposition Approved As Amended 6/16/93</p>
460.11	<p>Doctors "Call Line" Listings (Originals)</p> <p>Dates: 1980 - Volume: 30 Cu. Ft. Annual Accumulation: 2 Cu. Ft. Arrangement: Chronological</p> <p>This record series consists of an internal worksheet used to record scheduling of residents' calls to physicians in the Health Care Unit. The listings show: residents name, physician and field of specialization (i.e. physical therapy), nature of problem, residents' cell location and time of arrival.</p> <p>Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 6/16/93</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 189 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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MENTAL HEALTH UNIT

470.01 Subject Reference Files (Originals and Duplicates)

Dates: 1980 -
Volume: 38 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Alphabetical by subject

This file, arranged and used on a "subject file" basis, contains various types of reports, forms, correspondence, minutes and agenda pertaining to the Mental Health Unit.

Samples of records contained in this record series are: Crisis Intervention Referral forms; Crisis duty rosters; minutes of Crisis team meetings; organization charts; Self-Inflicted Injury Reports; training program materials; daily contact sheets (showing which inmates each counselor met with each day); employee time sheets; various duplicate committee meeting minutes; and related correspondence.

Recommendation: Retain in office for three (3) years, then weed files and after the completion of an approved State Records Disposal Certificate, dispose of all records possessing insufficient legal, fiscal, administrative or historical use for further retention. All accumulations which remain after such review and disposals are to be retained permanently in the agency or the State Archives.

**Disposition
Approved
5/18/88**

470.02 Inmate Mental Health Case Files (Duplicates)

Dates: 1985 -
Volume: 76 Cu. Ft.
Annual Accumulation: 76 Cu. Ft.
Arrangement: Alphabetical by inmate's name

This record series, maintained solely for staff convenience, consists of individual files created for each inmate referred to the Mental Health Unit. Forms/documents which are found in a typical case file would be: initial referral forms; psychological reports; psychiatric reports; close supervision logs (for problem patients/inmates); incident reports and correspondence from inmates. Originals of all these documents are maintained by Medical Services.

Recommendation: Retain at the discretion of the agency.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 190 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
470.03	Personnel Files (Duplicates)	
	Dates: 1978 - Volume: 52¼ Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Alphabetical by name	
	<p>This record series consists of duplicate personnel files for the faculty of the Mental Health Unit. Included are copies of employee evaluations, disciplinary citations ("write-ups"), absence reports, and related memos. The Center's original personnel files are maintained by the Personnel Office.</p>	
	Recommendation: Retain in office for five (5) years following the date of separation from employment, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 191 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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MINIMUM SECURITY UNIT

480.01 Officer's Duty Logs of Incidents and Resident Movement (Originals)

Dates: 1982 -
Volume: 38 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

This record series consists of all log books maintained from Minimum Security Unit Officers' shifts for documenting general incidents and movement within the unit.

Recommendation: Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

480.02 Staff Employee Files (Duplicates)

Dates: 1984 -
Volume: 28½ Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Alphabetical by employee

These are the Minimum Security Unit level copies of personnel files maintained for individual staff members. The file contains quarterly and yearly evaluations, leave approval and call in slips, and employee phone numbers and addresses. Facility record copy personnel documentation for all employees of the institution are maintained by the Center's Personnel Office.

Recommendation: Retain three (3) years in office or until inactive or obsolete by updated information/separation/transfer of employee - whichever is applicable - then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 192 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
480.03	Administrative Correspondence with Related Notes and Working Papers (Originals and Duplicates) Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological & Alphabetical This record series consists of the Unit's administrative correspondence documenting routine day-to-day operations of Minimum Security. Related papers predominantly consist of handwritten notes and copies of incident reports that are sent to the Assistant Warden for the Operations Office. Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
480.04	Resident Disciplinary Tickets (Duplicates) Dates: 1984 - Volume: 57 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological and by resident These are duplicates of disciplinary tickets issued to residents for conduct or rule infractions. The official or "controlling" copy is sent to the Adjustment Committee while an additional duplicate is provided to the appropriate Program Team. Unit copies are retained primarily for the restriction of commissary privileges. Recommendation: Retain in office until the ticket is no longer in effect through the final disposition and/or execution of the proposed disciplinary action, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 193 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
480.05	Institutional Directives (Reference Copies) Dates: N/A Volume: 5 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological & Numerical These are directives pertinent to the general operation of the Center. These are reference copies with the masters being retained and scheduled for disposition from the appropriate administrative level within the Center. Recommendation: Dispose of upon discretion of the Unit.	Disposition Approved 5/18/88
480.06	Automated Roster Management System Records - Daily & Monthly Unit Rosters (Computer Printouts) Dates: 1984 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological Original daily rosters are maintained for internal reference by the Chief of Security or the Major's Office. Recommendation: Dispose of upon discretion of the Unit.	Disposition Approved 5/18/88
480.07	Reports for the Special Evaluation Unit (Originals and Duplicates) Dates: 1981 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological The Superintendent of the Minimum Security Unit also serves as the head of the Special Evaluation Unit under the Programs Office. This record series consists of the Superintendents reports received and maintained for the supervision of the Special Evaluation Unit, namely weekly status reports from the psychiatrist, daily reports of admittance and discharge of residents, and weekly reports from the uniform staff of major incidents, such as hangings and suicides. Recommendation: Retain in office for five (5) years, then dispose of.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 194 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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PROTECTIVE CUSTODY UNIT

490.01 Protective Custody Shift Activity Reports (Originals)

Dates: 1985 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

These reports document patrols made by the Officers and any incidents or findings stemming from or associated with such patrols. Copies are sent to the Security Office.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.02 Cell Check List (Originals)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 ¾ Cu. Ft.
Arrangement: Chronological

This a list of state property in given cells within the unit for "check-off" inspections of the property's condition.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.03 Cell House Count Records (Duplicates)

Dates: 1985 -
Volume: 4 ¾ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

Originals of these are transmitted to each control center for reporting to security.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 195 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
490.04	<p>Clinical Services Cell House Transfer Authorizations Slips (Duplicates)</p> <p>Dates: 1982 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological</p> <p>Copies of this form are maintained in the respective cell houses and in the resident's master file jackets as the original document.</p>	
	<p>Recommendation: Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
490.05	<p>Cell Transfer Approval Slips (Duplicates)</p> <p>Dates: 1985 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological</p> <p>These are approval slips for cell transfers maintained in record copy by Clinical Services with additional duplicates maintained by the Security Office and by corresponding Gallery Officers.</p>	
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 196 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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490.06 Request for Clothing Forms (Duplicates)

Dates: 1985 -
Volume: 4 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Chronological

These are duplicate Request(s) for Clothing received from the Clothing Officer as the requests are filled.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.07 Cumulative Counseling Summary (Duplicates)

Dates: 1982 -
Volume: 42 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Chronological

This document quantitatively summarizes counseling contacts with residents. Originals of these are filed with each resident's master file jacket maintained by Clinical Services.

Recommendation: Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.08 Disciplinary Review Cards (Originals)

Dates: 1982 -
Volume: 9 1/2 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: By register number and Chronological

These cards are maintained to summarize results of Adjustment Committee (major incidents) and Program Team Review findings pertinent to incidents involving residents and possible disciplinary actions. Essential

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 197 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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information contained on these cards is contained within the resident master file jackets.

Recommendation:	Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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490.09 Duty Log Books of the Protective Custody Unit (Originals)

Dates:	1982 -
Volume:	380 Cu. Ft.
Annual Accumulation:	76 Cu. Ft.
Arrangement:	Chronological

This record series contains all log books maintained from Protective Custody Unit security shifts for documenting showers provided to residents, phone calls and narrative log books of incidents and general movement within the unit. These log books are maintained as evidence that due privileges are provided residents in case of legal actions commenced against the Department on contentions that such privileges were deprived residents.

Recommendation:	Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
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490.10 Department of Corrections Institutional Committee Vote Sheets (Duplicates)

Dates:	1982 -
Volume:	9½ Cu. Ft.
Annual Accumulation:	¼ Cu. Ft.
Arrangement:	Chronological

Institutional committees are formed by staff to determine such matters as adjustments of "good time" (Adjustment Committee), living assignments, transfers, and work assignments. This record series consists of committee member vote sheet forms; in this case, Assignment Committee vote sheets. Originals of this form are maintained within each involved resident's master file jacket.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 198 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
490.11	Job Posting Forms (Duplicates)	
Dates:	1985 -	
Volume:	19 Cu. Ft.	
Annual Accumulation:	4 3/4 Cu. Ft.	
Arrangement:	N/A	
	These forms are used throughout the facility for posting job descriptions as vacancies or hirings are approved for staffing.	
Recommendation:	Dispose of upon discretion of the office.	Disposition Approved 5/18/88
490.12	Legal Actions and Proceedings Documents (Duplicates)	
Dates:	1982 -	
Volume:	4 3/4 Cu. Ft.	
Annual Accumulation:	¼ Cu. Ft.	
Arrangement:	Chronological	
	This record series includes copies of complaints, depositions, affidavits, and transcripts generated and received from legal actions initiated against the Department and the Unit.	
Recommendation:	Retain in office for five (5) years after the final disposition of the corresponding action(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 199 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

490.13 Library Usage Request Form (Originals and Duplicates)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological

Copies of this form are maintained within the institution's library and the respective cell houses.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.14 Officers Assignment Rosters (Duplicates)

Dates: 1982 -
Volume: 9½ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

These rosters show name of officer, specific cell house assigned and date. Center record copies of these are maintained in the Security Office.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.15 Report of Overtime and/or Compensation time - Temporary Assignment - Standby - Call-Back - Paid Lunch (Duplicates)

Dates: 1985 -
Volume: 19 Cu. Ft.
Annual Accumulation: 9½ Cu. Ft.
Arrangement: Chronological

Originals and record copies of these time and attendance reports are maintained by the Center's Timekeeping Office and the Security/Shift Command Office respectively.

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 200 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
490.16	Resident Personal Property List and Receipt Sign-off Form (Duplicates)	
	<p>Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 4 3/4 Cu. Ft. Arrangement: Chronological</p> <p>Originals or record copies of this form are transmitted to and maintained by the Security Office and Clinical Services.</p> <p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
490.17	Cell House Officers Personnel Files (Duplicates)	
	<p>Dates: 1983 - Volume: 4 3/4 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: Alphabetical by officer</p> <p>These are unit copies of personnel files containing duplicates of all rosters, sign-in sheets, time sheets, evaluations and various related shift reports. All record series documents are convenience duplicates, with originals and/or record copies maintained in the Timekeeping Office of the Center and the Employee Services of the facility and of the Department.</p> <p>Recommendation: Retain in office for four (4) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 201 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
490.18	Memoranda of Approvals for Special Phone Calls (Originals)	
	Dates: 1985 - Volume: 4 3/4 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: Chronological	
	These are memoranda approving resident emergency or other special phone calls.	
	Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
490.19	<u>Protective Custody Review Form (Duplicates)</u>	
	Dates: 1982 - Volume: 19 Cu. Ft. Annual Accumulation: 1/4 Cu. Ft. Arrangement: Chronological	
	This is the review form used to show the basis for the Departmental Review Committee's findings for commitment of a resident to Protective Custody. The master copy(s) of this form comprises a component of each resident's master file jacket.	
	Recommendation: Retain in office for five (5) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 5/18/88
490.20	Roll Call/Sign-in Sheets for Employees (Duplicates)	
	Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 9 1/2 Cu. Ft. Arrangement: Chronological	
	Originals of these are maintained in the Center's Timekeeping Office.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 202 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
490.21	<p><u>Roster Management/Shift Command/Daily Roster (Duplicates)</u></p> <p>Dates: 1985 - Volume: 19 Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Chronological</p> <p>The Shift Command Office and the Major's Office maintains the controlling copies of the rosters.</p>	
	<p>Recommendation: Dispose of upon discretion of the office.</p>	<p>Disposition Approved 5/18/88</p>
490.22	<p><u>Shakedown Record - Living Area (Record Copy)</u></p> <p>Dates: 1985 - Volume: 4 3/4 Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Chronological</p> <p>This form, used to record the results of shakedowns of resident living areas, is given in duplicate to the corresponding resident, attached in duplicate with any contraband found and subsequently deposited, and maintained in record copy format by the Protective Custody Unit's administrative personnel.</p>	
	<p>Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p>Disposition Approved 5/18/88</p>
490.23	<p>Unit Record of Snack Deliveries (Originals)</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 203 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

Dates: 1986 -
Volume: 14¼ Cu. Ft.
Annual Accumulation: 4 ¾ Cu. Ft.
Arrangement: Chronological

This record is generated for internal use within the Unit for documentation of medicinal snacks prepared and delivered to diabetics or other medically impaired residents in need of such service.

Recommendation: Retain one (1) year in office, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

490.24 Work Orders (Originals and Duplicates)

Dates: 1985 -
Volume: 4 ¾ Cu. Ft.
Annual Accumulation: ¼ Cu. Ft.
Arrangement: Chronological

The original is returned to and maintained by the Unit's administrative office after review and processing by the Chief Engineer. A copy is maintained in the Unit's cell house where the work is to be completed.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 204 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
----------	---	--------------

490.25 Notification of Absence and Call-in Reports (Duplicates)

Dates: 1985 -
Volume: 4 3/4 Cu. Ft.
Annual Accumulation: 1/4 Cu. Ft.
Arrangement: Chronological

The Center's Timekeeping Office maintains originals of these staff time and attendance forms.

Recommendation: Retain in office for two (2) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 205 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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TRAINING SCHOOL

500.01 Training School Orientation and Curricula Records (Originals)

Dates: 1984 -
Volume: 76 Cu. Ft.
Annual Accumulation: 25¼ Cu. Ft.
Arrangement: By class or course of instruction

This file series contains the School's written descriptions of Training School course content and lesson plans with related notes, working papers, correspondence, and memoranda. Examples of course subject titles are: Keys, Tools, Counts, and Escapes; Advocacy; Use of Force; Crime Scene; Mental Health; Writ Procedures; Fire Plan; Chemical Agents; First Aid; Firearms; Use of Radio; Inmate Movement; and Timekeeping.

Recommendation: Retain in office until expiration of administrative value, then dispose of.

**Disposition
Approved
5/18/88**

500.02 Monthly Personnel Transaction Reports (Duplicates)

Dates: 1980 -
Volume: 42 3/4 Cu. Ft.
Annual Accumulation: 4 3/4 Cu. Ft.
Arrangement: Chronological by month

This form is prepared and utilized by the training school to report any personnel transactions (job applications, job interviews or disciplinary actions) to the Affirmative Action Office each month. The originals of this record series are maintained by the Affirmative Action Office.

Recommendation: Retain in the office for one (1) year, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 206 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
500.03	Trainee Personnel Files (Duplicates)	
	Dates: 1976 - Volume: 152 Cu. Ft. Annual Accumulation: 19 Cu. Ft. Arrangement: Alphabetical	
	<p>This record series consists of duplicate personnel files for all employees who go through training school. Included in these files would be: employment application; resumes; biographical histories; medical histories, and physical exam results. Original personnel files are maintained by the Personnel Office.</p>	
	Recommendation: Retain in office for five (5) years after last activity in the training school, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88
500.04	Firearm Control Card File (Originals)	
	Dates: 1984 - Volume: 9½ Cu. Ft. Annual Accumulation: ¼ Cu. Ft. Arrangement: Alphabetical and by month	
	<p>This record series consists of card files documenting each time a particular firearm is taken to the firing range and who was responsible.</p>	
	Recommendation: Retain and dispose of at the discretion of the agency.	Disposition Approved 5/18/88
500.05	Applicant Screening Card File (Originals)	
	Dates: 1984 - Volume: 28½ Cu. Ft. Annual Accumulation: 9½ Cu. Ft. Arrangement: Alphabetical	
	<p>This record series consists of a card file maintained to provide basic personnel information to be used in the internal screening and hiring of Correctional Officer Trainees.</p>	
	Recommendation: Retain two (2) years in office, then dispose of provided no litigation is pending or anticipated.	Disposition Approved 5/18/88

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 207 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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500.06 Employee Training School Files (Originals)

Dates: 1976 -
Volume: 874 Cu. Ft.
Annual Accumulation: 85½ Cu. Ft.
Arrangement: By security & non-security, then Alphabetical

This record series consists of individual files created for each employee who goes to Training School, documenting the type of training received and quality of their performance. Included in these files would be: Firearm Qualification School Sheets; Firearm Requalification and Classroom Instruction Forms; Practice Score Sheets; Official Score Sheets; and other related forms and documents.

Recommendation: Retain in office five (5) years following separation of the employee, then dispose of providing no litigation is pending or anticipated.

**Disposition
Approved
5/18/88**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 208 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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GENERAL DIVISION/ELECTRIC EYE

510.01 Visitors' Requests (DCA 16214's) (Originals)

Dates: 1986-
Volume: 10 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: Chronological by visiting date

This record series consists of Visitors' Requests (DCA-16214's) (IL 426-9328). This slip is used to notify the inmate that he has a visitor awaiting in the Visiting Room. The slips are later returned to the Electric Eye Division for filing. Each slip includes: the date, inmate name and number, name of visitor, signature of clerk, and countersignature of warden/deputy. This information is entered into the agency's computer system and can also be cross-referenced with the visitors received lists which are retained for a period of two (2) years as per State Records Application 86-123, Item No. 390.04.

Recommendation: Retain hard copy in office for two (2) years, then dispose of provided all administrative use is complete and all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Retain and dispose of all computerized formats of the series upon discretion of the agency (as nonrecords).

**Disposition
Approved
3/18/92**

510.02 Gun Locker Logs

Dates: 1982 -
Volume: 3/4 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical by title/year

These logs are used to sign keys out for personnel to lock up weapons and to record when keys are returned.

Recommendation: Retain in office for five (5) years, then dispose of provided no litigation is pending or anticipated.

**Disposition
Approved
As Amended
6/19/93**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 210 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
GENERAL DIVISION/CONDEMNED UNIT		
511.01	Condemned Unit General Administrative Correspondence	Entire Application Deferred 08/21/96
	Dates: 1978 - Volume: 4 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological & Alphabetical by subjects	
	<p>This series consists of correspondence to and from the Condemned Unit pertaining to the daily operation of this specific cellhouse. This includes administrative correspondence, policy making correspondence for this unit, minutes of meetings (including staff meetings) and general correspondence documenting transactions of a routine nature, such as referrals, courtesy replies, inquiries, visitor requests, control movement correspondence, routine inmate requests, weekly safety and sanitation reports, work orders, copies of incident reports, escape risk checks, and lock & key requests. Also included are employee assignments, days off/shift change memoranda, copies of notifications of absence/call-in reports, and fire drill notifications.</p>	
	Recommendation: Retain three (3) years in office, then transfer to the State Archives staff is to review all accumulations transferred accordingly and dispose of all extraneous materials under authority of this records disposition application (if approved). All accumulations of the series which remain after such Archives staff reviews and disposals are to be transferred to State Archives custody for permanent retention.	Disposition Approved 08/19/98
511.02	Condemned Unit Shakedown Logs	
	Dates: 1978 - Volume: 20 Cu. Ft. Annual Accumulation: 1 Cu. Ft. Arrangement: Chronological	
	<p>This log consists of entries documenting all shakedown activities pertinent to each Condemned Unit inmate or his/her assigned cell. The logs record all activities regarding the shakedown as well as any contraband confiscated.</p>	
	Recommendation: Retain in office for six (6) years following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 211 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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511.03 Monthly Condemned Unit Telephone Logs

Dates: 1978 -
Volume: 20 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: Chronological

This log documents all outgoing telephone calls made by condemned unit inmates. Information logged includes personal and legal calls; who inmate called, time call started and ended and the name of the person authorizing the telephone call.

Recommendation:	Retain in office for ten (10) years following the date of the log's final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
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511.04 Condemned Unit Tool Logs

Dates: 1978 -
Volume: 10 Cu. Ft.
Annual Accumulation: 1/2 Cu. Ft.
Arrangement: Chronological

This log shows tools logged in and out for Condemned Unit maintenance purposes.

Recommendation:	Retain in office for one (1) year following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
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**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 212 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
511.05	Condemned Unit Key Issuance Log	
	Dates: 1978 - Volume: 10 Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Chronological	
	This log is used to track keys used by the Condemned Unit staff. It records issuance and return of keys to authorized personnel.	
	Recommendation: Retain in office for one (1) year following the date of the log's final entry for the last preceding year, then dispose of providing no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.06	Condemned Unit "Bar Rap" Log	
	Dates: 1978 - Volume: 4 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	This log details daily security checks made by "rapping" the bars to determine that they are secure and intact.	
	Recommendation: Retain in office for two (2) years following the date of the log's final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.07	Condemned Unit Tier & Count Logs	
	Dates: 1978 - Volume: 10 Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Chronological	
	This log records each tier and count for the Condemned Unit. The original count is transmitted to Control for the institution count. The count is cross checked by security for accuracy.	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 213 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for one (1) year following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.08	Incoming and Outgoing Mail Log for Condemned Unit Inmates	
Dates:	1978 -	
Volume:	40 Cu. Ft.	
Annual Accumulation:	2 Cu. Ft.	
Arrangement:	Chronological	
	This series consists of logs for outgoing and incoming mail for the Condemned Unit Inmates. Information includes the identification and addresses of the correspondents.	
Recommendation:	Retain in office for ten (10) years following the date of the log's final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.09	Condemned Unit Inmate Transport Logs	
Dates:	1978 -	
Volume:	2 Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This log consists of information regarding all movement of Condemned Unit inmates outside the Condemned Unit. Entries consist of name, date, reason for trip, vehicle being used, and destination (Writs Only).	
Recommendation:	Retain in office for three (3) years following the date of the log's final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 214 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
511.10	Condemned Unit Law Clerk Log (Discontinued)	
	Dates: 1978 - 1991 Volume: 2 Cu. Ft. Annual Accumulation: -- Arrangement: Chronological	
	<p>This log book documents employee law clerk activity of movement within the Condemned Unit. Law Clerks now sign in on the "Condemned Unit Staff Sign-In Logs" (presented as the next item of this records disposition application) since the discontinuance of this log in 1991.</p>	
	Recommendation: Dispose of accumulation providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.11	Condemned Unit Staff Sign-In Log	
	Dates: 1978 - Volume: 8 Cu. Ft. Annual Accumulation: 1/2 Cu. Ft. Arrangement: Chronological	
	<p>This log shows all staff signing in for work in the Condemned Unit and their departure time.</p>	
	Recommendation: Retain in office for three (3) years following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.12	Condemned Unit Supervisory Staff Sign-In Logs	
	Dates: 1978 - Volume: 2 Cu. Ft. Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This log shows all administrative staff signing in and out of the Condemned Unit. Indicated in this log is the date, name, signature in and out of the unit as well as times.</p>	

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 215 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
Recommendation:	Retain in office for three (3) years following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.13	Condemned Unit Visitor Sign-In Log	
Dates:	1978 -	
Volume:	6 Cu. Ft.	
Annual Accumulation:	Negligible	
Arrangement:	Chronological	
	This log shows information regarding all visitors who enter the Condemned Unit visiting area. Information consists of name, signature, address, inmate and number receiving visit time into the visiting area and time out.	
Recommendation:	Retain in office for ten (10) years following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98
511.14	Condemned Unit Individual Inmate Security Check Logs	
Dates:	1978 -	
Volume:	600 Cu. Ft.	
Annual Accumulation:	30 Cu. Ft.	
Arrangement:	Chronological	
	A log book is maintained for each individual inmate, when security checks are made every sixty (60) minutes for General Population Condemned Unit and every thirty (30) minutes for Segregation Condemned Unit. The security staff making the spot check documents into this log exactly what the inmate was doing at the time of the check.	
Recommendation:	Retain in office for three (3) years following the date of expiration or change in the respective sentence(s), then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 08/19/98

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 216 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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511.15 Condemned Unit Shift Reports (Originals)

Dates: 1978 -
Volume: 2 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record consists of the daily shift reports (originals) which are submitted by each shift supervisor indicating a recount of all activities and/or problems occurring during that shift with carbon copies to the Warden, Asst. Wardens, Unit Superintendents, Investigators and Clinical Services. The first copy goes to the Captain's Office.

Recommendation: Retain in office for one (1) year following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
08/19/98**

511.16 Condemned Unit Supervisors' Log

Dates: 1978 -
Volume: 6 Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This log documents internal inspection reports showing movement and activity monitoring within the Condemned Unit. The log is maintained by the Condemned Unit Sgt. and contains copies of shift reports and other attendant forms for reference by shift supervisors.

Recommendation: Retain in office for ten (10) years following the date of the final entry for the last preceding year, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
08/19/98**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 217 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**MENARD PSYCHIATRIC CENTER
MAINTENANCE DEPARTMENT**

520.01 Overtime Equalization Logs

Dates: 1990 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by fiscal year

This record series consists of originals of annual overtime equalization logs which serve as a cumulative record of overtime offered/utilized by departmental staff (accrued through each fiscal year).

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
3/15/95**

520.02 Vehicle Log Books

Dates: 1987 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of a log book which contains a daily listing of the number of gallons of gas issued for each mileage recorded at each fill-up. The log is compiled for each month of the calendar year and is used to track quarterly gas usage and miles per gallon usage per vehicle.

Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
3/15/95**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 218 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
520.03	Monthly SCBA (Self-Contained Breathing Apparatus) Inspection Logs/Inspection Reports	
	Dates: 1990 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of annual logs which serve as a monthly check of the condition of each of ten SCBA packs with tanks (recorded by series number of each). The file series also includes monthly reports of inspection/service performed by the responsible individual.</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 3/15/95
520.04	Quarterly Fire Drill Log Sheets/Summary Reports	
	Dates: 1989 - Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological	
	<p>This record series consists of annual log sheets which indicate quarterly fire drill area locations and the specific areas the fire drills were conducted in. Fire drill summary reports are conducted each quarter and consist of summaries of each drill that is conducted in each occupied area of the institution (per shift).</p>	
	Recommendation: Retain in office for three (3) years, then dispose of provided all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	Disposition Approved 3/15/95

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 219 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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520.05 Annual Staff Training Plans

Dates: 1991 -
Volume: Negligible
Annual Accumulation: Negligible
Arrangement: Chronological by fiscal year

 This record series consists of the annual training plans for departmental staff which contain the scheduled training requirements used to meet Institutional Directives (e.g., minimum of forty hours of various training courses).

Recommendation: Retain in office for four (4) years or until expiration of administrative value, whichever is longer, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
As Amended
3/15/95**

**APPLICATION FOR AUTHORITY
TO DISPOSE OF STATE RECORDS
(continued)**

Application No 86-123
Page 220 of 220

Item No.	Record Series Title, Description and Recommendation	Action Taken
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**MENARD PSYCHIATRIC CENTER
CLINICAL SERVICES**

530.01 A.C.A. (American Correctional Association) Accreditation Working Files

Dates: 1992 -
Volume: 8 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: Numerical by file number

This record series consists of files which are used by the agency to satisfy accreditation criteria as required by the ACA (American Correctional Association). ACA Accreditation reviews of all state correctional institutions are conducted in three (3) year cycles and a working file is developed per review.

Contents include: accreditation review data related to such aspects as the institution's educational program, staff training, physical plant, and security; logsheets of internal inspections; certificates of inspection by internal/external entities; memos; and supporting correspondence.

Recommendation: Retain in office for three (3) years following supersedence by a new working file, then dispose of providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

**Disposition
Approved
10/18/95**