

RECORDS MANAGEMENT
June 25, 2012 – P.T. 2012.11

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Section 436.1 Purpose

The purpose of these procedures is to provide Department administrators and Purchase of Service (POS) Providers with step-by-step guidelines for the proper use of the DCFS Records Management Program. Questions regarding these procedures can be directed to the Records Manager, Office of Administrative Support, 406 E. Monroe, Springfield, Ill. 62701, telephone - (217) 785-1467, fax - (217) 557-2851, e-mail - DCFS.recordsmanager@illinois.gov.

The DCFS Records Management Program operates in conjunction with the State Archives and Records Division of the Secretary of State. Its purpose is to provide both secure storage and a reference service of semi-current records that the State Records Commission has approved for storage.

The DCFS Records Management Program also operates in conjunction with a private contracted vendor service for the secure storage of closed adoption and child welfare files as approved by the State Records Commission.

Licensed agencies must adhere to Rules 401, Licensing Standards for Child Welfare Agencies (Section 401.260 Required Record keeping and Section 401.270 Records Retention) and Administrative Procedure #5, Child Welfare Case Record Organization & Uniform Recording Requirements.

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Purchase of service (POS) agencies must contact their DCFS liaison or the DCFS Records Manager to request storage of closed files. POS agencies must adhere to DCFS records retention schedules, licensing standards and contractual requirements, and must comply with requirements for closing and indexing files set forth in Administrative Procedure #5.

DCFS is responsible for records preservation pursuant to the State Records Act and Commission rules, including case files assigned to POS agencies.

Section 436.2 Developing a Record Schedule

Every unit of the Department that gathers, stores and retains data pertaining to the operation of the Department, and said data has fiscal, administrative or historical value, must develop a records retention schedule to legally retain, destroy or transfer to storage the unit records.

To develop a records retention schedule, the Division head must request the Records Manager to conduct an inventory of unit records. This inventory may include interviews with unit heads and operations staff, as well as a gathering of sample documents. After the inventory, with the assistance of a field representative from the State Records Management Unit, Office of the Secretary of State, an application will be developed.

A draft schedule will be prepared and returned to the unit head for revision or approval. Upon final approval, a final draft of the proposed schedule will be submitted to the Illinois Records Commission. When DCFS has items on the Commission agenda, the Records Manager and/or representatives from the applying unit may be required to attend Records Commission meetings to explain or answer inquiries about the proposed schedule.

Only records that have approved active records retention schedules which call for State Records Center retention are eligible for transfer to either the State Records Center or an approved DCFS contractual provider for such services. When selecting records for transfer, one should accurately comply with the recommended time periods for retention in the office and in the permanent storage site. Permission to destroy records must be granted by the Records Manager. Periodic reviews of office files should be conducted to identify records eligible for transfer or destruction.

Current applicable retention schedules for Department Records are posted on the Departments D-Net [Records Programs](#) Link. Contact the DCFS Records Manager for assistance.

Section 436.3 Preparing Records for Storage & Transfer to the State Records Center

In preparing records for transfer, standard records storage boxes (15 inches by 10 inches by 12 inches, approximately 1 cubic ft.) are used, as well as **CFS 832, Records Management** sheets and State Records Center box labels. Standard records storage boxes can be obtained from the Department of Corrections by processing a **CFS 992, Request for Purchase of Goods or Services** form through the procurement office. Regional offices can obtain storage boxes from their Business Managers and distribute to the field as needed. DCFS Central Office staff can obtain standard records storage boxes by contacting the Records Manager. **CFS 832, Records**

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Management sheets are available electronically as a SACWIS template or may be obtained in hard copy from the DCFS Central Stores operation via telephone at (217) 785-0568 or via fax at (217) 557-2851. State Records Center box labels are available from the Records Manager.

All records sent to Storage locations must be packed in standard records storage boxes. One can determine the number of boxes needed by using these guidelines:

- a) For letter size files, one full drawer fills approximately 1½ box;
- b) For legal size files, one full drawer fills approximately 2 boxes; and
- c) For undersized materials, calculate the total number of linear inches of material and divide by 15" (the length of a standard records storage box).

When preparing records for transfer, one should use the proper Records Retention/Disposition Schedule (aka Application for Authority to Dispose of State's Records) or consult the Records Manager for guidance. If multiple records series are to be transferred, separate **CFS 832 Records Management** sheets must be completed for each series.

Section 436.4 Preparing Closed Adoption and Child Welfare Files for Storage & Transfer to a Private Facility

It is recommended that closed files remain in the DCFS field office or Child Welfare Agency facility for a minimum of one year after the date of closing. It is important to remember per Administrative Procedure #5 Section 5.10(E) that all electronic records on case files originated in the field must be downloaded to a hard copy and placed with the rest of the case documents for permanent storage.

At the date of file closing, the following Adoption Case records and Child Welfare Program/Services Case files shall be retained permanently on paper or microfilm in a DCFS storage facility.

Information in the file shall include client family and demographic information; narrative and designed form court status reports, to include documentation of the last known address of the family and/or child; all legal documents and verifications, including court orders, executed parental consent forms, forms for waivers or relinquishments, parental financial liability documents, child benefits data, various eligibility documents for federal funding, and copies of birth, marriage, and death documents; every effort will be made to compile and incorporate within the files pertinent prenatal, natal and biological parents' medical history and genealogical records; medical and dental history data, including psychological or surgical consent documents; student transcripts and/or related items.

During the time period that the case is active, and when maintained in an electronic data base(s), a hard copy of all electronic records in the case file shall be made on a ten year cycle, and retained in agency storage until the case file is closed and a final paper copy is made for permanent retention. All electronic records (digital images) shall be retained permanently.

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In preparing records for transfer, standard records storage boxes (15 inches by 10 inches by 12 inches, approximately 1 cubic ft.), printed copies of the CYCIS CM-01 case data screen (optional), printed copies of the CYCIS CR- 08 Family Composition Screens (optional), and **CFS 832, Records Management** sheets are utilized. When preparing records for transfer, one should use the proper Records Retention/Disposition Schedule (aka Application for Authority to Dispose of State's Records) or consult the Records Manager for guidance. If multiple records series are to be transferred, separate **CFS 832, Records Management** sheets must be completed for each series. The **CFS 832, Records Management** sheets should be placed inside the boxes such that they identify the files within that specific box. If printed copies of the CYCIS CM-01 and CR- 08 screens are utilized, they are to be attached to the outside of each individual case file or placed inside the front of the case file folder. If more than one closed case is contained within the same file folder, attach all appropriate CM-01 and CR- 08 screen printouts to the folder. If CYCIS printouts are not utilized, a **CFS 832, Records Management** sheet identifying the Case Name, CYCIS I.D. # and Date Closed is to be completed for each case and placed in the box. A second copy of the **CFS 832, Records Management** sheet should be kept by parties requesting storage of files for storage verification. If SACWIS I.D. numbers are used simultaneously with the CYCIS I.D. numbers, they must be individually identified. Storage boxes and **CFS 832, Records Management** sheets can be obtained as previously mentioned. Questions and/or concerns regarding compliance to these steps should be addressed by contacting the Records Manager prior to records preparation.

Section 436.5 Required Information for the CFS 832 for Department Document Storage


1. Date: Date on which **CFS 832** is prepared.
2. Division: Name of Region or Division office.
3. Unit: Name of Field Office and/or Unit designation.
4. Page No.: Indicate number of total pages and what box that page applies to the total boxes.
5. Records are to be: Indicate whether records are to be stored in State Records Center or destroyed.
6. Disposition Schedule No.: This is the record schedule that applies to a specific series of records.
7. State Records Center Box No.: This number will be sent to you after records are stored and must be used when recalling records.
8. DCFS Shipment No.: Request this number from Records Manager when records are being prepared for storage or destruction.

DEPARTMENT OF CHILDREN AND FAMILY SERVICES

Distribution: X & Z

Policy Guide 2013.06

Records Retention

DATE: October 1, 2013
TO: All DCFS and Private Agency Child Welfare Staff
FROM: Richard H. Calica, Director 
EFFECTIVE: Immediately

I. PURPOSE

The purpose of this Policy Guide is to notify staff that SACWIS documents no longer need to be printed out when preparing adoption and child welfare files for storage, pursuant to DCFS Procedures 436, Records Maintenance, and 401.270, Licensing Standards for Child Welfare Agencies, and Administrative Procedure #5, Child Welfare Case Record Organization & Uniform Recording Requirements. In addition, the 10 Year Cycle Requirement has been eliminated. The process to change the Department Rules and Procedures to be consistent with this Policy Guide has already begun. The revisions will be released in the near future.

II. PRIMARY USERS

Primary users of this Policy Guide are DCFS and Private Agency Child Welfare Staff and Supervisors.

III. BACKGROUND

This Policy Guide introduces the changes, effective May 22, 2013, being implemented by the State of Illinois State Records Commission pursuant to changes approved by the Joint Committee on Administrative Rules relating to the modification of State Records Commission Rule 4400, Sections 4400.70 (Digital Reproduction) and 4400.80 (Management of Electronic Records).

IV. RECORDS RETENTION

Effective immediately, Adoption Case Records and Child Welfare Programs/Services Case Files will now be stored as a combination of paper files and electronic record files. All information that is stored electronically on SACWIS will remain in that digital file format. The remaining portion of the file information which is on paper will be stored in paper format.



V. QUESTIONS

Questions regarding this Policy Guide may be directed to the Office of Child and Family Policy at 217-524-1983 or via Outlook at OCFP – Mailbox. Non Outlook users may e-mail questions to cfpolicy@idcfs.state.il.us.

VI. FILING INSTRUCTIONS

File this Policy Guide immediately following Procedures 436.4, Records Management.

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Section 436.6 Required Information for the CFS 832 for Private Agency Document Storage

1. Date: Indicate date on which the **CFS 832** is prepared.
2. Division: Name of DCFS Region or Division office or POS agency name and address.
3. Unit: Name of DCFS Field Office and/or Unit designation or POS agency contact name and telephone number.
4. Box ___ of ___: Indicate box number and total number of boxes.
5. Type of records: Indicate type of records contained in the box.
6. Disposition Schedule No.: Indicate the records retention/disposition schedule that applies to the series of records contained in that box (i.e. Adoption files and Child Welfare files are schedule 10-04).
7. Family number or form number: Indicate case ID numbers.
8. Name of case or file: Indicate name of case or file.
9. Date closed: Indicate date case was closed.

It is important that for each box the case file information and stored file documents agree. All case files will be permanently stored by Name, ID number, origin of files (field office or POS site), as well as date closed, if available.

Section 436.7 Preparing the Records Center Box Labels

The Records Center box labels, which are used only for boxes to be stored at the State Records Center, are prepared to correspond to the **CFS 832, Records Management** sheets. The title of the first and last file in the box should be indicated in the "Series this Box" section of the label. It is not necessary to complete the "Disposal Date" and "Records Center Box Number" sections. Once completed, the labels must be placed under the handle on the front/narrow end of the box.

Section 436.8 Preparing Box Labels for Private Facility Storage

When storing closed Adoptions and Child Welfare records it is not necessary to prepare and attach labels to the boxes. It is only necessary to identify the number of boxes ready for shipment. It is suggested that the boxes being transferred be numbered as a check and balance with the delivery service and storage facility.

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Section 436.9 Transferring Boxes to the State Records Center

All **CFS 832, Records Management** sheets should be prepared in duplicate. After completing the **CFS 832, Records Management** sheets and the Record Center box labels, send one copy of the **CFS 832, Records Management** sheets to the DCFS Records Manager in Central Office. Retain the second copy for reference purposes.

After receiving the **CFS 832, Records Management** sheets, the Records Manager will examine them for correctness. The Records Manager will then complete records transfer sheets and notify the State Records Center of the shipment. The submitting unit will then be notified of the approval to ship records to the Records Center.

If the office holding the records is in the Springfield area, the Records Manager and/or staff will schedule and pick up those records. If the office holding the records is outside the Springfield area, the boxes will be scheduled and, at the discretion of the Records Manager, either shipped through a pre-paid common carrier or picked up by department staff.

After the boxes are received, the Records Center staff will complete the Records Management Transfer sheets by filling in the "disposal date," "retention period," and "record center box number" columns. Corresponding entries are also made on the Records Center box labels. A copy of the completed transfer sheet will then be returned to the submitting unit for filing.

Section 436.10 Transferring Boxes to the Vendor Facility

All **CFS 832, Records Management** sheets should be prepared in duplicate. After completing the **CFS 832, Records Management** sheets, place individual sheets in the appropriate box listing specific files within the box, and retain one copy for reference.

After receiving a request for storage, the Records Manager will schedule the pick-up and notify the requesting party of the transfer date. It is important to identify a DCFS or POS site contact person, address and phone number for the delivery service personnel. POS providers must have approval from their Regional DCFS liaison or the Departments Records Manager before requesting transfer of files to storage.

If the office holding the records is in the Springfield area, the Records Manager and/or staff will schedule and pick up those records. If the office holding the records is outside the Springfield area, the boxes will be scheduled and, at the discretion of the Records Manager, either shipped through a pre-paid common carrier or picked up by department staff. Shipping cannot take place without authorization from the Records Manager.

After the boxes are received from the DCFS office or POS agency, the contracted storage facility will process the files and bar code the boxes and case file folders for identification. A text file, updated monthly, is sent to the DCFS Office of Information Services for transfer onto the CYCIS CM-23 screen and DCFS D-Net, completing the records storage process. Case file information, CYCIS transferred or closed adoption and child welfare files without ID numbers will be cataloged in a text file on the DCFS D-Net for retrieval purposes. POS providers may request from the storage facility, HOV Services, a report identifying case files received and stored from their child welfare agency.

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Section 436.11 Records Retention/Disposition Schedule

The Records Retention/Disposition Schedule is the summary authority granted to an agency by the State Records Commission to manage a series of records. Each disposition schedule covers a specific records series and is a continuing authority granted in response to an application initiated by an agency. The Retention/Disposition Schedules are posted on the Department's D-Net Records Programs Link or contact the DCFS Records Manager to obtain a copy.

Section 436.12 Recalling Closed Record Files – Excluding Child Welfare or Adoption Files

The State Records Center will honor recall requests only from the Records Manager.

When requesting records you must identify the record by name, agency box number and, most importantly, records center box number. The records center box number is located in Column 13 of the Secretary of State's Archives Division Records Transfer Sheet that is returned to your office after the shipment is stored in the State Records Center. This information is also located on the DCFS D-NET Record Programs Link/Non case archived files. This information is to be transferred to the SACWIS **CFS 834-A, Records Recall Request** form and submitted to the department's Records Manager's office via email DCFS.recordsmanager@illinois.gov.

The preferred means of requesting records is via email. Requesting parties should email a completed **CFS 834-A, Records Recall Request** form to the Records Manager at DCFS.recordsmanager@illinois.gov. Records requests may also be submitted by fax at (217) 557-2851. Requests may also be made via telephone, but must be followed up with a written request.

Section 436.13 Recalling Closed Adoption and Child Welfare Records From Storage

The private contracted vendor service for the secure storage of closed adoption and child welfare files will honor requests only from the DCFS Records Manager.

Closed file documents that are requested by DCFS and POS personnel from the storage facility are shipped directly to the requesting party. When requesting files it is necessary to indicate the requesting party's name, DCFS Region or Division office or POS agency name and address where the files are to be sent. In most cases, files can be retrieved within 24 Hours.

When requesting records one should try to identify the record by Name, ID number and Storage Location Number. This information can be located on either the DCFS D-Net Records Programs Link/Closed Case Lookup or the CYCIS CM-23 screen. When using the CYCIS CM-23 screen, enter the case ID number and press F4. If the information for the closed case file has been recorded, one or more bar code numbers will be displayed for each case file. This information is to be transferred to the SACWIS **CFS 834-B, Records Recall Request** form and submitted to the department's Records Manager's office via email at DCFS.recordsmanager@illinois.gov. When requesting files from the DCFS D-Net Record Programs Link, go to the Closed Case Lookup and click "open." Review all case file information. Transfer desired information to the **CFS 834-B, Records Recall Request** form and e-mail to the DCFS records manager. If no file

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record is found on the CM-23 screen or the DCFS D-Net, complete the **CFS 834-B, Records Recall Request** form with as much case information as possible and submit to the DCFS Records Manager to begin an intensive search for the closed case file. For example, often times case files are cataloged by the birth mother's name and not the adoptive names, or they will have no CYCIS or SACWIS ID number. Interstate compact adoption/family files and others without ID numbers will be listed on the text file cataloged on the Department's D-Net. Specific requests to obtain historical information from the Soldier and Sailor's Home are also available from the DCFS Records Manager in a text format. These documents are not listed on the DCFS D-Net [Records Programs Link](#).

CFS 834-B, Records Recall Request forms are available electronically as a SACWIS template or may be obtained in hard copy form from the DCFS Central Stores operation via telephone at (217) 785-0568 or via fax at (217) 557-2851. Records requests made by telephone must be followed up with a completed **CFS 834-B, Records Recall Request** form. The Records Manager will notify the vendor of a request for a closed file. The vendor will ship the file directly to the requesting party. The requesting party will return the file back to the vendor facility. Direct requests from field office personnel for a closed file must be coordinated through the DCFS Records Manager's office. If the documents are to be transferred to another location, such as a DCFS field office, a legal office, or a private vendor such as Midwest Adoption Center, the closed case file documents must first be sent to the Department's storage processing facility, HOV Services, 1000 South Perimeter Road, Rantoul Illinois 61866 for indexing/bar coding and forwarding to the requesting party.

Section 436.14 Disposal of Records by the State Records Center or Private Storage Facility

- A. **State Records Center:** Unless other arrangements are made, records in storage are destroyed by the State Records Center in accordance with the approved records retention schedule. The Records Manager is notified of disposal dates by the Record Center. The disposal date of stored records is located in Column 11 of the Secretary of State's Archives Division Records Transfer Sheet. Upon approval by the DCFS Records Manager the stored documents are expunged and destroyed.
- B. **Private Vendor Facility:** The Records Manager, in conjunction with the private storage facility, will coordinate the disposal of closed adoption and child welfare files in accordance with the approved records retention schedule. The vendor will dispose of the files on site.

Section 436.15 Definition of Non-Records Materials

The following is a State Records Commission guide and description of non-record materials:

- A. Material not filed as evidence of administrative activity or for the informational content thereof.
- B. Extra copies of documents preserved only for convenience of reference.

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- C. Stocks of printed or reproduced documents kept for supply purposes, where file copies have been retained for record purposes.
- D. Books, periodicals, newspapers, posters and other library and museum materials made or acquired and preserved solely for reference or exhibition purposes.
- E. Private materials neither made nor received by a State agency pursuant to State law or in connection with the transaction of public business.
- F. Perforated, magnetized and photographically coated cards and tapes, provided that documents containing the same information have been filed in the same office and such cards and tapes were not prepared as evidence of administrative decisions or transactions subject to audit.
- G. Catalogs, trade journals.
- H. Copy device copies.
- I. Transmittal letters/routing slips.
- J. Miscellaneous notices.
- K. Preliminary drafts.
- L. Reproduction material.
- M. Telephone message -- notes.
- N. Shorthand notes.

Non-record materials may be destroyed at any time by the agency in possession of such materials without the prior approval of the State Records Commission.

Whenever doubt arises whether certain papers are non-record materials, it should be presumed that they are records.

Section 436.16 DCFS Record Retention Schedules

DCFS record retention schedules are currently on file with the State Records Center & Commission for each Department, Division or Unit within a Division. These schedules are also maintained by the DCFS Records Manager in the Department's Central Office in Springfield, and are posted on the Department's D-Net Records Programs Link/DCFS Record Retention Schedules. If Division or Unit heads are unable to identify posted copies of schedules for records for which they are responsible, they may contact the Records Manager for guidance. If there are records for which a record retention schedule has not been written, the Division or unit head should follow the procedures for developing a records schedule.

Some retention schedules may appear to be obsolete or non-reflective of current Department organization or usage. However, they may still be valid for storage and reference purposes.

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