

**COLLEGE OF EDUCATION
REHABILITATION INSTITUTE**

425.01

Project 12-Ways Client Files (Originals)
(SUPERSEDED BY 425.17)

Dates: 1979 -
Volume: 31½ Cu. Ft.
Annual Accumulation: 2½ Cu. Ft.
Arrangement: Alphabetical by client

This record series consists of documents which summarize client information for families referred to Project 12-Ways. The project is a part of the Behavior Analysis and Therapy Program of the Rehabilitation Institute and was designed to offer a range of services (i.e., parenting skills, stress reduction) to families in ten Southern Illinois counties. Project 12-Ways receives funding from Title XX (of the Social Security Act) through an agreement with the Illinois Department of Children and Family Services and the Illinois Department of Public Aid. Examples of file series contents include:

- 1) Administrative Paperwork Section - notification of case assignment form, copy of referral acceptance letter, referral form, client information form, 497 Goal, attendance records, release of information forms, consent forms, information to and from other individuals/organizations, court reports, mandated report form, etc.;
- 2) Termination Section - copy of termination letter, request to terminate services forms, and termination report;
- 3) Data Summary Section - data summaries and graphs of client performance;
- 4) Client Data Section - client data forms;
- 5) Service Summary/Weekly Agenda Section - detailed reports of all services performed for and with the client by Project 12-Ways.

Because this record series contains files and personal information with respect to clients receiving

social, medical, educational, vocational, financial or custodial program services, public access to these files is limited pursuant to 20 ILCS 505/35.1 (1996 State Bar Edition).

This item supersedes State Records Application 97-43, item 425.01, to revise the record series description to reflect changes in the program's recordkeeping. (No change in the previously approved disposition is proposed.)

Recommendation: Retain client files in office for five (5) fiscal years after the client's termination of participation in the program, then microfilm and dispose of hardcopy documentation. Retain microfiche in office permanently and transfer a security copy to the University Archives for permanent retention.

425.02 Personnel Files (Duplicates)

Dates: 1979 -
Volume: 4½ Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Alphabetical

This record series consists of duplicate personnel documentation retained on project graduate assistants, civil service employees, administrative/professional staff and university faculty including: copies of graduate assistant contracts, notifications of termination/ resignation, and related correspondence/memoranda.

Original personnel files are retained and scheduled for disposition by the Office of Personnel Services.

This item supersedes State Records Application 87-63, item 591B, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain in office for five (5) years after separation from employment, then dispose of.

425.03 Fiscal Administration Files (Duplicates)

Dates: 1979 -
Volume: 12 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.

Arrangement: Chronological

This record series consists of fiscal documentation retained on project services including: copies of invoice vouchers, copies of receipts, purchase orders, copies of payroll printouts, staff time sheets, and project budget materials. Original documentation is retained and scheduled for disposition by the University's Business Offices (i.e. Accounting, Bursar) and the Office of Research and Projects/Fiscal Management.

This item supersedes State Records Application 87-63, item 591C, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

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.

425.04

DCFS Reports (Agency Record Copies)
(SUPERSEDED BY 425.18)

Dates: 1979 -
Volume: 1½ Cu. Ft.
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of reports which generally serve as a summarization of the project's monthly activities including: project budget amount, amount of expenditures, year-to-date totals, amount billed/received and requests for reimbursement.

This item supersedes State Records Application 87-63, item 591D, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain in office for ten (10) years, then offer to the University Archives for its accessioning. If the offer is refused by the University Archives, dispose of providing all audits (federal and state) have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.

425.05 Client/Staff EDP Reports (Duplicates)

Dates: 1979 -
Volume: 33 Cu. Ft.
Annual Accumulation: 2 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of printouts which summarize client and staff service time including:

- 6) Client Reports - lists confidential client numbers by type of service and amount of time services were performed, and;
- 7) Staff Reports - lists type of services performed by each staff member, amount of billable/non-billable time, etc.

The original data are maintained on computer by the Office of Project 12-Ways. No purge cycle or supersedure of this computerized information is currently implemented.

This item supersedes State Records Application 87-63, item 591E, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain hard copy documentation in office for six (6) 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. All record series data maintained in disc/tape media are to be retained by the university until scheduled for retention by application to the State Records Commission.

425.06 Contract Files (Agency Record Copies)

Dates: 1979 -
Volume: 7½ Cu. Ft.
Annual Accumulation: ½ Cu. Ft.
Arrangement: Chronological

This record series consists of all documentation retained on service contracts established between Project 12-Ways and the Department of Children and Family Services (billing agent) including: copies of the contracts, contract amendments and all related correspondence/ memoranda.

Original contracts are maintained by the Department of Children and Family Services/Division of Contracts and Grants.

This item supersedes State Records Application 87-63, item 591F, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain in office for six (6) years after expiration/termination of the grant, 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.

425.07

Program Client Service Delivery Reporting and Billing System Files (Hardcopy) (Computer Tapes/Discs)

Dates: 1982 -
Volume: 1 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: --

This record series consists of data maintained on computer tapes/discs which are used to generate the following hardcopy reports (also contained in this series) for the project's programs: Staff Working/Billable Hour Report; DCFS Client Service Unit Report; and Individual Client Service Unit Report.

Computerized file series data include: date of service; client ID; type of service rendered; billable time for the service provided; staff involved in the service delivery; non-billable hours for each staff member; and leave hours for each staff member.

The raw data are archived and maintained on two computer tapes (DCFS 01/DCFS 03) by Project 12-Ways and stored on-site by the Department of Information Technology. The data are transferred to these two tapes on a monthly and/or weekly basis.

This item supersedes State Records Application 87-63, item 591G, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain all hardcopy reports in office until expiration of active administrative value, then transfer to the University Archives for permanent retention. Retain all computer tapes/discs in office for five (5) years from the date of generation, then reuse and/or dispose of 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.)

425.08

Administrative Correspondence and Related Documents (Originals and Duplicates)

Dates: 1975 -
Volume: 30 Cu. Ft.
Annual Accumulation: 2 1/2 Cu. Ft.
Arrangement: Chronological and Alphabetical

In addition to the institute's administrative correspondence and memoranda, related papers and documents contained in the file are: pertinent written policies and procedures; Operating Paper(s) (indicating the overall operation of the institute); and minutes of various adjunct or internal committees or entities, which include faculty minutes, Coordinating Committee minutes, Executive Committee minutes, Coordinating and Fiscal Officers minutes, Civil Service Advisory Council minutes, Rehabilitation Institute Student Council minutes, minutes from the various academic program meetings, Institute Standing Committees, and duplicate College Committee minutes.

This item supersedes State Records Application 87-63, item 701, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain three (3) years in office, then with the assistance of the University Archives staff, review

files and retain on a permanent basis in either the Institute's office or the University Archives (if accepted by Archives) materials possessing archival/research value and dispose of the balance of materials after completion of the foregoing review(s), providing no litigation is pending or anticipated.

425.09 Student Files (Originals and Duplicates)

Dates: 1965 -
Volume: 45 Cu. Ft.
Annual Accumulation: 2 Cu. Ft.
Arrangement: By program area

These student files contain thesis approval sign-off forms for the director, grade slips, advisement documents, graduation applications, and Thesis Committee Review forms. University masters are scheduled for an appropriate long-term or permanent retention period for the Office of Admissions and Records and for the university's Graduate School.

This item supersedes State Records Application 87-63, item 702, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain in office for five (5) years after graduation or period of last enrollment, 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.

425.10 Budget, Fiscal and Grant Administration Files (Originals and Duplicates)

Dates: 1978 -
Volume: 45 Cu. Ft.
Annual Accumulation: 5 Cu. Ft.
Arrangement: Chronological

This record series consists of the usual budget and fiscal administration forms which include AMO 90's and 91's (expenditure reports), requisitions and vouchers. Also included within the series are grant administration forms and documents comprised of Calls for Proposals, proposals and/or applications, letters of award or denial, and other pertinent correspondence. Other grant administration materials included consist of biographical sketches of faculty coordinating or researching a grant project, project accessibility information, and related

program accreditation information. Corollary and/or record copy grant administration documentation is maintained by the Office of Research Development and Administration while record copies of most of the fiscal documents are maintained by the Offices of Accounting and Disbursements.

This item supersedes State Records Application 87-63, item 703, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain three (3) years in office, or until administrative value has expired, whichever is longer, then purge routine budget and grant fiscal administration forms and documents providing all audits have been completed under supervision of the Auditor General, if necessary, and no litigation is pending or anticipated. Grant administration materials are to be screened by University Archives staff for possible accessioning upon expiration of immediate office administrative reference value, then dispose of after such screenings and the completion of the respective grant projects and all required audits (providing no litigation is pending or anticipated).

425.11

**Personnel Files and Related Activity Summary
(Originals and Duplicates)**

Dates:	1976 -
Volume:	22 Cu. Ft.
Annual Accumulation:	1/2 Cu. Ft.
Arrangement:	Alphabetical

These are the institute's personnel files covering faculty members, civil service employees, grad-assistants, and student workers. The files contain resumes, applications for employment, performance evaluations, time and attendance records, living authorizations, and letters or forms documenting employee separation. University record copies of personnel files are maintained by the Office of Personnel Services and the Office of

Student Work and Financial Assistance in the case of student workers. These latter files will be scheduled for retention periods of sixty-five (65) years and five (5) years after termination of employment and/or enrollment respectively. (Most essential personnel data are summarized within an internal card file maintained by the institute. This card file is included within the scope of this record series as well as Institute Productivity Reports, an internal form used for supporting the receipt and expenditure of Evaluation Development Funds, Public Service for the Handicapped Funds, Continuing Rehabilitation Program, and other Federal and State rehabilitation services funding programs. Institute Productivity Reports are incidentally used as well for supporting personnel merit recommendations and tenure promotions.

This item supersedes State Records Application 87-63, item 704, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: With the exception of Institute Productivity Reports and internal summary card file, retain in office for five (5) years after separation and/or the last term of enrollment, 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 Institute Productivity Reports and the internal card file in office until expiration of all 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.

425.12 Miscellaneous Administrative Reports (Duplicates)

Dates:	1978 -
Volume:	3/4 Cu. Ft.
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of various administrative reports produced periodically to both shape and monitor the status of the institute's programs. Record copies of these reports are transmitted to and/or incorporated by the

Dean's Office for reporting to supervising and/or coordinating entities. File series reports include: Five (5) years Self-Study Reports; Accreditation Reports; Ad Hoc Committee Reports; Assigned and End-of-Term Effort Reports; and internal/external Audit Reports.

This item supersedes State Records Application 87-63, item 705, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain in office for five (5) years or until administrative use has expired, 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.

425.13 Curriculum Development and Planning Files (Originals and Duplicates)

Dates: 1973 -
Volume: 9 Cu. Ft.
Annual Accumulation: 3/4 Cu. Ft.
Arrangement: Chronological

This record series consists of class lists, grade lists, course syllabi, and course schedules used for planning instruction of the curriculum. Syllabi have been retained longer than usual for these types of records for comparative reference with other states' requirements for professional certification in the rehabilitation services field.

This item supersedes State Records Application 87-63, item 706, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: With the exception of syllabi, retain all record series documents in office until revised, superseded, or obsolete from the expiration of administrative reference value, then dispose of. Retain syllabi in office until expiration of all office administrative reference value, then transfer to the University Archives for appraisal and possible further retention.

425.14 Allied Organizations and Agencies Membership and Resources File (Originals and/or Record Copies)

Dates: 1983 -
Volume: 3 Cu. Ft.
Annual Accumulation: 1 Cu. Ft.
Arrangement: By political organization or unit

This file series is used for the maintenance of newsletters, brochures, and membership listings or directories utilized for mass mailings, and other related materials and correspondence generated from the institute's association with both government and private organizations working in fields of interest to the Rehabilitation Institute.

This item supersedes State Records Application 87-63, item 707, to provide for the incorporation of the file series into this revised records disposition application. (No change in the previously approved disposition is proposed.)

Recommendation: Retain three (3) years in office, then with the assistance of the University Archives staff, review files and retain on a permanent basis in either the institute's office or the University Archives (if accepted by Archives) materials possessing Archival/research value and dispose of the balance of materials after completion of the foregoing review(s), providing no litigation is pending nor anticipated.

425.15 Project 12-Ways Program Client Service Delivery Reporting and Billing System Files (Originals) (Hard Copy)

Dates: 1979-
Volume: 34 Cubic Feet
Annual Accumulation: 4 Cubic Feet
Arrangement: Chronological by year

Project 12-Ways is part of a behavioral analysis and therapy

program and offers a range of services (i.e. parenting skills and stress reduction) to families in Southern Illinois. The Project receives funding from Title XX of the "Social Security Act" via an agreement with the Department of Children & Family Services and the Illinois Department of Human Services.

This record series consists of the following program reports: Staff Working/Billable Hour Reports; DCFS Client Service Unit Reports; and Individual Client Services Unit Reports. Specific contents include dates of service, client ID, types of service rendered, billable time for the services provided, names of staff members involved in the service delivery, non-billable hours for each staff member, and leave hours for each new staff member.

The agency verifies that the hard copy format is the official record while duplicate segments of information are maintained by this office unit in an electronic format as well. The agency also maintains that a total match of all information on electronic media is duplicated in the hard copy media.

This application item supersedes items 524.05 and 425.07 of application 97-43 in order to note the official media as hard copy, to change the description, and to establish a uniform retention period as permanent.

Recommendation: Retain in office until expiration of administrative value, transfer to the University Archives for permanent retention.

425.16 Position Search Records (Not Selected) (Originals)

Dates: 1998-
Volume: 1 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Alphabetical by name

This record Series consists of job applications received from persons applying for positions in the Rehabilitation Institute. Also included are resumes, vitae, letters of recommendation, transcripts, position descriptions, advertising papers, interviewing requests, and related correspondence.

Personnel Files of individual applicants hired by the Institute are maintained for sixty-five (65) years per item 150.01 of application 87.66.

Northern Illinois University maintains "Faculty Search Files" for five (5) years following termination of the position vacancy per item 490.02 of application 89-27.

Recommendation: Retain in office for five (5) years following termination of the position vacancy, 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.

**425.17 Project 12-Ways Client Files
(REPLACES 425.01)**

Dates: 1979-
Volume: 47 Cubic Feet
Annual Accumulation: 2 ½ Cubic Feet
Arrangement: Alphabetical by client

This record series consists of documents which summarize services provided to Project 12-Ways clients. The project is a part of the Behavior Analysis and Therapy Program of the Rehabilitation Institute and was designed to offer a range of services (i.e., parenting skills, stress reduction) to families in eleven Southern Illinois Counties. Project 12-Ways receives funding from Title XX (of the Social Security Act) through an agreement with the Illinois Department of Children and Family Services and the Illinois Department of Human Services.

Contents include referral information, attendance records, consent forms, data sheets, data summaries and graphs, service summaries, session agendas, professional reports, etc.

Because this record series contains files and personal information with respect to clients receiving social, medical, educational, vocational, financial or custodial program services, public access to these files is limited pursuant to 20 ILCS 505/35.1 (2008 State Bar Edition).

This item supersedes item 425.01 of Application 97-43 in order to update the record series description and to allow Micrographics to transfer to electronic media in addition to microfilming record series.

Recommendation: Retain client files in office for five (5) fiscal years after the client's termination in the program, then microfilm and scan to electronic media. Destroy hard copies in a secure manner after images have been verified. Retain microfilm permanently.

**425.18 Project 12-ways Billing and Activity Reports (Originals)
(REPLACES 425.04)**

Dates: 1979-
Volume: 4 Cubic Feet
Annual Accumulation: Negligible
Arrangement: Chronological

This record series consists of data that generally serves to summarize the project's monthly activities and which generates the following reports: monthly billing summary, monthly staff reports, and

requests for reimbursement. Also included are internal accounting records of account balances, expenditures, year-to-date totals, and amount billed/received.

This item supersedes item 425.04 of Application 97-43 in order to update the record series description, record series title, and to change the retention time in office from ten (10) years to five (5) years before transferring to Micrographics for permanent retention.

Recommendation: Retain client files in office for five (5) fiscal years, then scan and microfilm hard copies. Destroy hard copies in a secure manner after images have been verified. Retain microfilm permanently.

425.19 DCFS Reports (Agency Record Copies)

Dates:	1979 –
Volume:	3 Cubic Feet
Annual Accumulation:	Negligible
Arrangement:	Chronological

This record series consists of reports which generally serve as a summarization of the project's monthly activities including: project budget amount, amount of expenditures, year-to-date totals, amount bill/received and requests for reimbursement.

Recommendation: Retain in office for three (3) years, then microfilm and destroy originals in a secure manner after images have been verified. Retain microfilm for an additional seven (7) years, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.