



STATE OF ILLINOIS
**OFFICE OF THE
 AUDITOR GENERAL**

Frank J. Mautino, Auditor General

SUMMARY REPORT DIGEST

DEPARTMENT OF CHILDREN AND FAMILY SERVICES

**Compliance Examination
 For the Two Years Ended June 30, 2020**

Release Date: October 7, 2021

FINDINGS THIS AUDIT: 30				AGING SCHEDULE OF REPEATED FINDINGS			
	<u>New</u>	<u>Repeat</u>	<u>Total</u>	<u>Repeated Since</u>	<u>Category 1</u>	<u>Category 2</u>	<u>Category 3</u>
Category 1:	3	2	5	2018	4, 5	11, 16, 21, 22, 23	
Category 2:	9	16	25	2016		20	
Category 3:	0	0	0	2012		13, 17, 18, 19	
TOTAL	12	18	30	2010		14	
				2008		15	
				2002		12	
FINDINGS LAST AUDIT: 23				1998		06, 07, 08	

INTRODUCTION

This digest covers our Compliance Examination of the Department of Children and Family Services (Department) for the two years ended June 30, 2020. A separate digest covering the Department's Financial Audit as of and for the year ended June 30, 2020 was previously released on June 30, 2021. In total, this report contains 30 findings, 5 of which were also reported in the Financial Audit.

SYNOPSIS

- (20-06) The Department's Child Welfare and Foster Care and Intact Family Case files lacked required documentation and not all case procedures were performed timely.
- (20-07) The Department did not make timely determinations of whether reports of child abuse and neglect were "indicated" or "unfounded" as required by the Abused and Neglected Child Reporting Act.
- (20-08) The Department did not timely initiate investigations of child abuse and neglect within 24 hours of receipt of the report as required by the Abused and Neglected Child Reporting Act.

Category 1: Findings that are **material weaknesses** in internal control and/or a **qualification** on compliance with State laws and regulations (material noncompliance).

Category 2: Findings that are **significant deficiencies** in internal control and **noncompliance** with State laws and regulations.

Category 3: Findings that have **no internal control issues but are in noncompliance** with State laws and regulations.

**DEPARTMENT OF CHILDREN AND FAMILY SERVICES
COMPLIANCE EXAMINATION
For the Two Years Ended June 30, 2020**

EXPENDITURE STATISTICS	2020	2019	2018
Total Expenditures.....	\$ 1,238,584,972	\$ 1,153,127,364	\$ 1,084,822,273
OPERATIONS TOTAL.....	\$ 313,142,948	\$ 322,940,365	\$ 281,458,619
% of Total Expenditures.....	25.3%	28.0%	25.9%
Personal Services.....	232,624,105	241,863,509	213,166,309
Other Payroll Costs (FICA, Retirement).....	21,645,148	23,011,289	19,707,801
All Other Operating Expenditures.....	58,873,695	58,065,567	48,584,509
AWARDS AND GRANTS.....	\$ 925,441,438	\$ 829,091,166	\$ 803,352,534
% of Total Expenditures.....	74.7%	71.9%	74.1%
REFUNDS.....	\$ 586	\$ 1,095,833	\$ 11,120
% of Total Expenditures.....	0.0%	0.1%	0.0%
Total Receipts.....	\$ 315,913,486	\$ 297,434,186	\$ 322,122,274
Average Number of Employees.....	2,834	2,789	2,656

AGENCY DIRECTOR
During Examination Period: Marc D. Smith, Acting Currently: Marc D. Smith

FINDINGS, CONCLUSIONS, AND
RECOMMENDATIONS

INCOMPLETE CHILD WELFARE FILES

The Illinois Department of Children and Family Services' (Department) Child Welfare and Foster Care and Intact Family Case files lacked required documentation and not all case procedures were performed timely.

During our review of 60 case files, we noted the following:

Child welfare cases lacked required and timely documentation

Required forms were not completed timely

Required documentation not found in case files

- 36 (60%) Statewide Automated Child Welfare Information System (SACWIS) Risk Assessments could not be found in the files.
- 13 (22%) SACWIS Risk Assessments were not completed timely.
- 5 (8%) Integrated Assessments could not be found and 44 (73%) Integrated Assessments were not completed timely.
- 19 (32%) Initial Service Plans were not completed timely.
- 5 (8%) children's photos and 18 (30%) children's fingerprints were not indicated as being taken and maintained in SACWIS or in case files.
- 14 (23%) Medical and Dental Consent forms (CFS 431 and CFS 415) were not found in the case files.
- 24 (40%) Initial Placement Checklists (CFS 418-J) were not found in files.
- 15 (25%) Placement and Payment Authorization Forms (CFS 906) were not maintained in the case files.
- 9 (15%) Child Identification Forms (CFS 680) were not maintained in the case files.
- 18 (30%) Registration Case Opening Forms (CFS 1410) could not be provided for our review, thus, we were not able to determine timeliness.
- 19 (32%) Registration Case Opening Forms (CFS 1410) were not completed timely. (Finding 6, pages 29-31). **This finding was first reported in 1998.**

We recommended the Department continue in its efforts to develop ways to automate various recordkeeping functions

and that the Department follows the procedures established concerning the welfare of children. The fulfillment of those procedures should be adequately documented.

Department agreed with the recommendation

Department officials agreed with the recommendation and stated they will continue to stress the importance that case files contain adequate and timely documentation for all youth in care and their families.

CHILD ABUSE AND NEGLECT DETERMINATION

The Illinois Department of Children and Family Services (Department) did not make timely determinations of whether reports of child abuse and neglect were “indicated” or “unfounded” as required by the Abuse and Neglected Child Reporting Act (Act).

Determinations of child abuse and neglect not made timely

The Department did not make timely determinations within 60 days in 287 of the 86,946 (0.33%) reports and in 526 of the 80,814 (0.65%) reports of child abuse and neglect referred to the Department during fiscal years 2019 and 2020 respectively

The Department’s Monitoring/Quality Assurance Division compiles statistics to track reports that are not determined to be either “unfounded” or “indicated” in compliance with the Act. Following is a summary of those statistics:

Fiscal Year	Total Reports Requiring Determinations	Determinations Not In Compliance	Percentage of Determinations Not in Compliance
2020	80,814	526	0.65%
2019	86,946	287	0.33%
2018	80,698	207	0.26%
2017	75,014	201	0.27%
2016	77,052	444	0.58%
2015	67,714	279	0.41%
2014	67,705	1,846	2.73%
2013	66,918	2,386	3.57%
2012	65,499	884	1.35%
2011	63,023	115	0.18%

(Finding 7, pages 32-33) **This finding was first reported in 1998.**

We recommended the Department determine reports of child abuse or neglect in compliance with the timeframe mandated by the Act.

Department agreed with the recommendation

Department officials agreed with the recommendation and stated they realize the importance of completing investigations and making determinations within 60 days of reports of abuse and neglect. Additionally, the Department will strive for 100% compliance.

INITIATION OF INVESTIGATIONS OF CHILD ABUSE AND NEGLECT

The Illinois Department of Children and Family Services (Department) did not timely initiate investigations of child abuse and neglect within 24 hours of receipt of the report as required by the Abuse and Neglected Child Reporting Act (Act).

Investigations not initiated timely

The Department did not timely initiate an investigation for 132 of the 8,946 (0.15%) reports and for 154 of the 80,816 (0.19%) reports of child abuse and neglect in fiscal years 2019 and 2020, respectively.

The Department's Monitoring/Quality Assurance Division compiled the following statistics:

Fiscal Year	Total Investigations	Investigations Not In Compliance	Percentage of Investigations Not in Compliance
2020	80,816	154	0.19%
2019	86,946	132	0.15%
2018	81,299	116	0.14%
2017	75,000	154	0.21%
2016	78,383	332	0.42%
2015	67,708	144	0.21%
2014	67,720	179	0.26%
2013	66,891	147	0.22%
2012	65,963	274	0.42%
2011	63,011	116	0.18%

(Finding 8, pages 34-35) **This finding was first reported in 1998.**

We recommended the Department initiate investigations of all child abuse and neglect reports within 24 hours of receiving the report as mandated by the Act.

Department agreed with the recommendation

Department officials agreed with the recommendation and stated they will remain diligent in pursuing 100% compliance by monitoring weekly reports and addressing missed mandates via the disciplinary process.

OTHER FINDINGS

The remaining findings are reportedly being given attention by the Department. We will review the Department's progress towards the implementation of our recommendations in our next compliance examination.

ACCOUNTANT'S OPINION

The accountants conducted a compliance examination of the Department for the two years ended June 30, 2020, as required by the Illinois State Auditing Act. The accountants qualified their report on State compliance for Findings 2020-001 through 2020-005. Except for the noncompliance described in these findings, the accountants stated the Department complied, in all material respects, with the requirements described in the report.

This compliance examination was conducted by CliftonLarsonAllen LLP.

SIGNED ORIGINAL ON FILE

JANE CLARK
Division Director

This report is transmitted in accordance with Section 3-14 of the Illinois State Auditing Act.

SIGNED ORIGINAL ON FILE

FRANK J. MAUTINO
Auditor General

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