

APPLICATION FOR AUTHORITY  
TO DISPOSE OF STATE RECORDS  
STATE OF ILLINOIS  
STATE RECORDS COMMISSION

Application No. 05-35  
Page 1 of 5

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

AGENCY

Department of Children and Family Services

DIVISION

Office of the Inspector General

SUBDIVISION

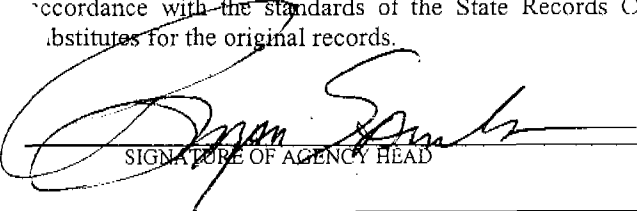
ACTION TAKEN BY  
THE  
STATE RECORDS  
COMMISSION

  
CHAIRMAN

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.

  
SECRETARY

February 15, 2006  
DATE

  
SIGNATURE OF AGENCY HEAD

9-23-05  
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. 05-35  
Page 2 of 6

<b>Item No.</b>	<b>Record Series Title, Description and Recommendation</b>	<b>Action Taken</b>
-----------------	--	---------------------

**1. Investigative Case Files (Originals and Duplicates)**

Dates:	1994-
Volume:	150 Cubic Feet
Annual Accumulation:	13 ½ Cubic Feet
Arrangement:	Numerical by investigation

This record series consists of the investigative case files maintained by the Department of Children and Family Service's Office of the Inspector General which was created by the Illinois General Assembly in June 1993 to reform and strengthen the child welfare system. The mandate of the OIG is to investigate misconduct, misfeasance, malfeasance, and violations of rules, procedures or laws by Department of Children and Family Services employees, foster parents, service providers and contractors with the Department (20 ILCS 505/35.5 and 35.6).

The OIG responds to and investigates complaints filed by the state and local judiciary, foster parents, biological parents and the general public. At the request of the Director, or when the OIG has noticed a particularly high level of complaints in a specific segment of the child welfare system, the OIG will conduct a systemic review.

Investigations yield both case-specific recommendations and recommendations for systemic changes within the child welfare system. The OIG monitors compliance with all recommendations. In addition, the OIG investigates deaths and serious injuries of all Illinois children who were involved in the child welfare system in the preceding 12 months.

OIG reports are submitted to the Director of DCFS, the Office of the Governor, and the Illinois Legislature. An OIG report contains a summary of the complaint, a historical prospective on the case, including a case history, and detailed information about prior DCFS or private agency contact with the family. An analysis of the findings is also provided along with recommendations.

These reports contain various types of information that are confidential pursuant to both state and federal law. As such, the reports are not subject to the "Freedom of Information Act" (FOIA).

File series contents include: tracking system printouts, medical examiner reports, police reports, medical caseworker files, court transcripts, personnel files, phone bills, copies of cancelled checks, payroll data, interview notes/tapes, photographs, copies of complaints, private agency reports and all related correspondence.

A case is considered closed upon the date of issuance of the final report or sign-off signature of the respective supervisor.

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

Application No. 05-35  
Page 3 of 6

Item No.	Record Series Title, Description and Recommendation	Action Taken
	Recommendation: Retain in the office for four (4) years after the date of file closure, then transfer to the State Records Center for twenty-one (21) years, then dispose of (records will be disposed of by pulverization) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Deferred</b> 10/19/05  <b>Deferred</b> 11/16/05  <b>Approved and Rewritten</b> 2/15/06
<b>2.</b>	<b>Annual Reports of the Inspector General</b>	
	Dates: 1993- Volume: 15 Cubic Feet Annual Accumulation: 1 ¼ Cubic Feet Arrangement: Chronological	
	<p>This record series consists of the annual reports detailing the operations and activities of the office as required under the provisions of the "Children and Family Services Act" (20 ILCS 505/35.5h). The Inspector General shall provide to the General Assembly and the Governor, no later than January 1 of each year, a summary of reports and investigations made under Section 35 for the prior fiscal year. The summaries shall detail the imposition of sanctions and the final disposition of those recommendations. The summaries shall not contain any confidential or identifying information concerning the subjects of the reports and investigations. The summaries also shall include detailed recommended administrative actions and matters for consideration by the General Assembly.</p> <p>Copies are submitted to the Illinois General Assembly and the Illinois State Library.</p>	
	Recommendation: Retain one (1) copy in office permanently.	<b>Deferred</b> 10/19/05  <b>Deferred</b> 11/16/05  <b>Disposition Approved</b> 2/15/06

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

Application No. 05-35  
Page 4 of 6

Item No.	Record Series Title, Description and Recommendation	Action Taken
<b>3.</b>	<b>Employee Personnel Files (Duplicates)</b>	
	Dates: 1993- Volume: 3 Cubic Feet Annual Accumulation: Negligible Arrangement: Alphabetical	
	<p>This record series consists of copies of employee personnel files including: evaluations, copies of employment applications, LEADS clearance forms, emergency notification forms, exit interviews, etc.</p> <p>Original employee personnel files are maintained permanently by the Department of Central Management Services per item 1 of Application 72-9M.</p>	
	Recommendation: Retain in the office for five (5) years after separation from employment, then dispose of (records will be disposed of by pulverization) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Deferred 10/19/05</b>
		<b>Deferred 11/16/05</b>
		<b>Disposition Approved 2/15/06</b>
<b>4.</b>	<b>Administrative Correspondence Files (Originals and Duplicates)</b>	
	Dates: 1993- Volume: 10 Cubic Feet Annual Accumulation: ¾ Cubic Feet Arrangement: Chronological	
	<p>This record series consists of incoming and outgoing administrative correspondence of the Inspector General's Office and any related memoranda. This record series does not contain correspondence specific to an individual investigation.</p>	
	Recommendation: Retain in the office for three (3) years, then dispose of (records will be disposed of by pulverization) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Deferred 10/19/05</b>
		<b>Deferred 11/16/05</b>
		<b>Disposition Approved 2/15/06</b>

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

Application No. 05-35  
Page 5 of 6

Item No.	Record Series Title, Description and Recommendation	Action Taken
5.	<p><b>Fiscal Administration Files (Duplicates)</b></p> <p>Dates: 1993- Volume: 6 Cubic Feet Annual Accumulation: ½ Cubic Feet Arrangement: Chronological by fiscal year</p> <p>This record series consists of copies of fiscal documentation for the Office including: purchase orders, invoice vouchers, phone bills, copier bills, etc. DCFS maintains agency record copies of "General Purchasing and Procurement Documents" for a period of six (6) years per the provisions of State Records Application 82-84, item 1.</p>	
	Recommendation: Retain in the office for three (3) years, then dispose of (records will be disposed of by pulverization) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.	<b>Deferred 10/19/05</b>
		<b>Deferred 11/16/05</b>
		<b>Disposition Approved 2/15/06</b>
6.	<p><b>Training and Ethics Committee Reports, Minutes and Agendas (Originals and Duplicates)</b></p> <p>Dates: 1996- Volume: Negligible Annual Accumulation: Negligible Arrangement: Chronological</p> <p>This record series consists of original and duplicate committee minutes, agendas, and final reports of the Training and Ethics Committees.</p>	
	Recommendation: Retain one (1) copy of each in office permanently. Duplicates may be disposed of at the discretion of the agency.	<b>Deferred 10/19/05</b>
		<b>Deferred 11/16/05</b>
		<b>Disposition Approved 2/15/06</b>

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

Item No.	Record Series Title, Description and Recommendation	Action Taken
7.	<p><b>Litigation and Administrative Hearings Case Files (Originals and Duplicates)</b></p> <p>Dates: 1993- Volume: 10 Cubic Feet Annual Accumulation: ¾ Cubic Feet Arrangement: Alphabetical by case number</p> <p>This record series consists of all documentation retained on litigation and/or administrative hearings involving the Office including: transcripts, affidavits, administrative decisions, audiotapes of hearings, and all related correspondence.</p> <p>Recommendation: Retain in the office for four (4) years after the date of case closure, then transfer to the State Records Center for twenty-one (21) years, then dispose of (records will be disposed of by pulverization) providing all audits have been completed under the supervision of the Auditor General, if necessary, and no litigation is pending or anticipated.</p>	<p><b>Deferred 10/19/05</b></p> <p><b>Deferred 11/16/05</b></p> <p><b>Disposition Approved 2/15/06</b></p>
	<ul style="list-style-type: none"> <li>• 10/19 This Application was deferred until an agency representative can be present to answer members' questions. They feel the 10 year retention was not adequate on item #1 and item #7</li> <li>• 11/16/05 Application deferred to rewrite Item #1 Investigative Case Files</li> </ul>	