

DEPARTMENT OF SOCIAL SERVICES

CHILDREN'S DIVISION

P. O. BOX 88

JEFFERSON CITY, MISSOURI

July 19, 2012

M E M O R A N D U M

What's Inside:

FY'12 Child Care
Assistance
Program audit

TO: ALL REGIONAL AND COUNTY CD AND FSD STAFF

FROM: CANDACE A. SHIVELY, DIRECTOR
CHILDREN'S DIVISION
ALYSON CAMPBELL, DIRECTOR
FAMILY SUPPORT DIVISION

SUBJECT: FISCAL YEAR 2012 STATEWIDE SINGLE AUDIT FOR THE
CHILD CARE ASSISTANCE PROGRAM

DISCUSSION:

The purpose of this memorandum is to inform staff that the Child Care Assistance program will be audited by the State Auditor's Office (SAO) for State Fiscal Year 2012. As with many public assistance programs, the inclusion of continuous program reviews and audits are an integral part of the program system. We believe it is imperative to communicate the value of the work conducted in the field on behalf of our families and providers to demonstrate our efforts to operate the program with efficiency, integrity, and accountability.

The Child Care Assistance program was audited for State Fiscal Year 2011. There were sixty (60) cases pulled for review. Fifteen (15) percent of these cases lacked eligibility documentation. Six (6) cases requested could not be found. Twenty-two (22) percent of the case files lacked the necessary hard copy documentation or comments to support compliance with child care policy. Many cases had insufficient or missing documentation. **The above issues resulted in errors and the return of funds.** The Child Care Assistance program is completing a corrective action plan to address the audit findings.

FY'10 and FY'11 Comparison		
	FY'10	FY'11
# Cases Reviewed	60	60
% of cases lacked eligibility documentation	22%	15%
# Cases not found	6	6
% of case files lacking hard copy documentation or comments	50%	22%

Case File

In regards to missing case files, the Children's Division (CD), in partnership with the Family Support Division (FSD), will be notifying the Regional Director of any missing files not received as requested. Also, all checklists have been revised to include a box that identifies if the file is original or recreated. When original cases files are not submitted, the Child Care Assistance program is responsible for returning funds for all children who received assistance for the specific household. It should be understood that a recreated file is considered a missing case file, so staff should exhaust all efforts to locate the original case file.

2012 Audit File Request

As in past audits, Child Care program and policy staff will contact local management and staff to request selected cases. Staff should submit the official case file. A file checklist has been designed for Income Maintenance, Protective Services, and Child Care Providers. **If your case is selected you must complete the designated file checklist.** A thorough review of files and completion of the file checklist will assist in timely review of files. Child Care Program and Policy staff will review each file prior to submitting to the SAO.

The **supervisor must review** the case for completion prior to sending the file to the Early Childhood and Prevention Services Section. Eligibility Specialist Supervisors **are required** to conduct a full supervisor case review in the Case Review system prior to submitting the file.

All case files must be submitted within 10 business days of the request date. If a file has been transferred, FSD/CD staff are to coordinate with the transfer county to have the file reviewed and submitted.

Note: Do not hold a file while you try to find "one" last document. **All missing or insufficient documentation must be identified and explained on the checklist.** For files submitted with missing documentation, staff have **5 business days** to search for and return the missing information. Audit reviews are time sensitive and it is imperative staff follow the instructions on the file checklist so files can be reviewed and returned to the field in a timely fashion.

FSD/CD staff should ensure the following:

- Ensure requested documentation is in the file.
- Flag requested and supporting documentation.
- Complete the file checklist and submit with the file.
- Locate the original file, review the file, verify supporting documentation and comments are included, and complete the file checklist.
- Coordinate with program and policy staff in resolving audit issues.
- Take action on identified client overpayments which have been identified as a result of the audit.

Child Care Provider Relations Staff

- Ensure requested documentation is in the file.
- Flag requested and supporting documentation.

- Complete the checklist and submit with the file.
- Use the “Request for Attendance Record” form (CD-177) when requesting records from child care providers.
- Locate the original case file, review the file, verify supporting documentation is included, and complete the file checklist. The supervisor of the worker will need to conduct a final review of the file prior to submitting the file to ECPS. Child care program and policy staff will review the file and sign off prior to sending the file to SAO.
- Coordinate with program and policy staff in resolving audit issues. Take action on identified provider overpayments which have been identified as a result of the audit.

New Audit Case File Coversheet

The audit case file coversheet should be submitted with each case file for Income Maintenance, Protective Services, and Child Care Providers. This coversheet specifies the audit sample number, the case file name, where to send the file and where the local office wants the file returned.

In conclusion, we share the above information in an effort to increase staff knowledge regarding on-going reviews and audits. Supervisors are encouraged to share and discuss this information with the staff.

NECESSARY ACTION	
<ol style="list-style-type: none"> 1. Review this memorandum with all Children’s Division and Family Support Division staff. 2. Use the memorandum as a reference, if your case is selected. 3. All questions should be cleared through normal supervisory channels and directed to: 	
	PROGRAM MANAGER Alicia Jenkins 573-751-6793 Alicia.Jenkins@dss.mo.gov
CHILD CARE MANUAL REVISIONS	
N/A	
FORMS AND INSTRUCTIONS	
N/A	
REFERENCE DOCUMENTS AND RESOURCES	
Protective Services Child Care File Checklist Income Maintenance Child Care File Checklist Child Care Provider File Checklist Audit Case File Coversheet	
RELATED STATUTE	
N/A	

ADMINISTRATIVE RULE

N/A

COUNCIL ON ACCREDITATION (COA) STANDARDS

N/A

CHILD AND FAMILY SERVICES REVIEW (CFSR)

N/A

PROTECTIVE FACTORS

Parental Resilience-Yes

Social Connections-No

Knowledge of Parenting and Child Development-No

Concrete Support in Times of Need-Yes

Social and Emotional Competence of Children-No

FACES REQUIREMENTS

N/A