

DEPARTMENT OF SOCIAL SERVICES

CHILDREN'S DIVISION

P. O. BOX 88

JEFFERSON CITY, MISSOURI

August 22, 2013

M E M O R A N D U M

**What's Inside:**

FY'13 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 2013 STATEWIDE SINGLE AUDIT FOR THE  
CHILD CARE ASSISTANCE PROGRAM

DISCUSSION:

The purpose of this memorandum is to inform staff the Child Care Assistance program will be audited by the State Auditor's Office (SAO) for State Fiscal Year 2013. Continuous program reviews and audits are an integral part of ensuring program integrity. We believe it is imperative to communicate the value of the work conducted by Department of Social Services (DSS) staff on behalf of our families and child care providers, demonstrating our ongoing efforts to operate the program with efficiency, integrity, and accountability.

**2013 Audit File Request**

As in past audits, Child Care program and policy staff will contact local management and staff to request selected cases. The official case file must be submitted with the file checklist that has been designed for Income Maintenance, Protective Services, and Child Care Provider case files.

A thorough review of the case file and completion of the file checklist will assist in an accurate and timely review of files. Any missing documentation must be found and submitted with the file. If documentation cannot be located after extensive searching, staff are expected to recreate documentation to support the eligibility period.

The **supervisor must review** the case for completion prior to sending the file to the Early Childhood and Prevention Services Section (ECPSS). Eligibility Specialist Supervisors **are required** to conduct a full supervisor case review in the Case Review system prior to submitting the file. If a supervisor finds an error during the case review, steps must be taken to correct the error prior to forwarding the file to the ECPSS.

All case files must be submitted within 5 business days of the request date. If a file has been transferred, Family Support Division (FSD)/Children's Division (CD) staff are to coordinate with the transfer county to have the file reviewed and submitted. If a case file is found to be missing or to have missing documentation, staff are to notify ECPSS immediately. Staff will need to document steps taken to find the missing file or documentation and/or will need to document the recreating of the missing information. Staff will need to report progress to ECPSS every day, until the information is available and the file can be submitted.

**Note:** The expectation is that all documentation will be with the case file and will be sufficient to support the eligibility and authorization of child care assistance upon submission. **All missing or insufficient documentation must be identified and explained on the checklist.** 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.

### **Case File**

In regards to missing case files, CD staff, in partnership with the FSD staff, 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 case 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 must exhaust all efforts to locate the original case file.

### **FSD/CD staff should ensure the following:**

- Locate the original file, review the file, verify supporting documentation and comments are included, and complete the file checklist.
- Ensure requested documentation is in the file.
- Flag requested and supporting documentation.
- Complete the file checklist and submit with the file.
- 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**

- 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.
- Use the "Request for Attendance Record" form (CD-177) when requesting records from child care providers.
- Ensure requested documentation is in the file.
- Flag requested and supporting documentation.
- Complete the checklist and submit with the file.
- 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.

The above information is being shared in an effort to make staff aware of the expectations regarding on-going reviews and audits. Supervisors are encouraged to share and discuss this information with the staff.

<b>NECESSARY ACTION</b>	
<ol style="list-style-type: none"> <li>1. Review this memorandum with all Children’s Division and Family Support Division staff.</li> <li>2. Use the memorandum as a reference, if your case is selected.</li> <li>3. All questions should be cleared through normal supervisory channels and directed to:</li> </ol>	
<b>PDS CONTACT</b> Brenda LaBella 573-522-9095 <a href="mailto:Brenda.I.LaBella@dss.mo.gov">Brenda.I.LaBella@dss.mo.gov</a>	<b>PROGRAM MANAGER</b> Marianne Dawson 573-751-6793 <a href="mailto:Marianne.A.Dawson@dss.mo.gov">Marianne.A.Dawson@dss.mo.gov</a>
<b>CHILD CARE MANUAL REVISIONS</b>	
N/A	
<b>FORMS AND INSTRUCTIONS</b>	
N/A	
<b>REFERENCE DOCUMENTS AND RESOURCES</b>	
<a href="#">Protective Services Child Care File Checklist</a> <a href="#">Income Maintenance Child Care File Checklist</a> <a href="#">Income Maintenance Child Care File Checklist Instructions</a> <a href="#">Child Care Provider File Checklist</a> <a href="#">Audit Case File Coversheet</a>	
<b>RELATED STATUTE</b>	
N/A	
<b>ADMINISTRATIVE RULE</b>	
N/A	
<b>COUNCIL ON ACCREDITATION (COA) STANDARDS</b>	
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