

DEPARTMENT OF SOCIAL SERVICES

CHILDREN'S DIVISION

P. O. BOX 88

JEFFERSON CITY, MISSOURI

November 9, 2011

M E M O R A N D U M

**What's Inside:**

FY'11 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 2011 STATEWIDE SINGLE AUDIT FOR THE  
CHILD CARE ASSISTANCE PROGRAM

DISCUSSION:

The purpose of this memorandum is to inform staff the Child Care Assistance program is being audited by the State Auditor's Office (SAO) for State Fiscal Year 2011. 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 provider's to demonstrate our efforts to operate the program with efficiency, integrity and accountability.

The Child Care Assistance program was audited for State Fiscal Year 2010. There were sixty (60) cases pulled for review. Twenty-two (22) percent of these cases lacked eligibility documentation. Six (6) cases requested could not be found. Fifty (50) 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.

**2011 Audit File Request**

As in past audits, Child Care program and policy staff will contact local management and staff to request selected cases. Staff is to 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.

**All case files must be submitted within 10 business days of the request date.**  
**If a file has been transferred, FSD/CD staff is 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 has **5 business days** to search 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.

**All 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.
- The assigned local worker will need to locate the file, review the file, verify supporting documentation and comments are 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 Child Care Subsidy Unit for review. Child care program and policy staff will review the file and sign off on prior to sending the file to SAO.
- 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.
- The assigned local worker will need to locate the 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 Child Care Subsidy Unit for review. Child care program and policy staff will review the file and sign off on 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.

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.

<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. All questions should be cleared through normal supervisory channels and directed to:</li> </ol>	
<b>PDS CONTACT</b> Kelly Frye 573-751-2037 <a href="mailto:Kelly.Frye@dss.mo.gov">Kelly.Frye@dss.mo.gov</a>	<b>PROGRAM MANAGER</b> Alicia Jenkins 573-751-6793 <a href="mailto:Alicia.Jenkins@dss.mo.gov">Alicia.Jenkins@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="#">Child Care Provider File Checklist</a>	
<b>RELATED STATUTE</b>	
N/A	
<b>ADMINISTRATIVE RULE</b>	
N/A	
<b>COUNCIL ON ACCREDITATION (COA) STANDARDS</b>	
N/A	
<b>CHILD AND FAMILY SERVICES REVIEW (CFSR)</b>	
N/A	
<b>PROTECTIVE FACTORS</b>	
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	
<b>FACES REQUIREMENTS</b>	
N/A	