

	<p align="center">Department of Human Services CHILDREN, ADULTS & FAMILIES Administrative Support MANUAL III</p> <p>Issued By: Management Operations Effective Date: January 2, 1996</p>	<p>NUMBER: III-A.1.1.2</p> <p>SECTION: A. General Administration</p> <p>SUBSECTION: 1. Review Functions 1. Audits</p>
<p>Subject: 2. Audits of the Agency</p>		

Interpretation: Assistant Administrator,
Management Operations

Approval: _____
Assistant Administrator,
Management Operations

PURPOSE

413-300-0100 The purpose of these rules is to describe the process for coordinating external audits of the State Office for Services to Children and Families (SOSCF).

Statutory Authority: HB2004
Stats. Implementation: HB2004

POLICY

Audit Report Control

413-300-0110 The control and responsibility for scheduling and coordinating audits of the SOSCF conducted by agencies from outside the SOSCF is delegated to the assistant administrator of Management Operations. This includes development of standard procedures for preparing and distributing corrective action plans.

(1) Notifications concerning possible audits of the agency, received by any unit of the SOSCF, shall be immediately forwarded to the agency director, who will notify Management Operations.

(2) Management Operations will acknowledge receipt of the notification and will coordinate and schedule the audits.

(3) Audit reports concerning the SOSCF will be forwarded to the SOSCF director who will notify Management Operations.

(4) Notifications and reports received will be given to the assistant administrators for action within their areas of responsibility.

(5) Corrective action plans for correcting deficiencies will be prepared by the responsible manager of the area audited. The corrective action plans will be submitted to the appropriate assistant administrator for approval.

(6) Assistant administrators will submit their corrective action plans to the assistant administrator of Management Operations for consolidation with other responses.

(7) Management Operations will receive, coordinate and forward all responses from the SOSCF to the agency conducting the audit.

(8) Management Operations will monitor progress on corrective action plans until the audit discrepancy has been corrected or resolved.

(9) Upon full implementation of corrective action plans, Management Operations will prepare a report to the director indicating the action taken and that the audit has been satisfactorily closed.

Statutory Authority: HB2004

Stats. Implementation: HB2004

Quality Control Review of SOSCF Records

413-300-120 Adult and Family Services Division Quality Control/Error Reduction Sub-unit will review samples of SOSCF GA-FC, state subsidized adoption and independent living case records for conformity to eligibility criteria for Title XIX medical benefits.

(1) The State Office for Services to Children and Families branches will make case records available to AFS Quality Control personnel.

(2) The AFS Quality Control Offices will contact the SOSCF central office to arrange for mailing of SOSCF records. Where records are to be mailed to an AFS Quality Control Office, they shall be sent by first class mail.

(3) The expected turnaround time for the Quality Control review is three working days. Should the record be needed before the normal return time, AFS, upon notification, will return the case record promptly.

(4) All error citations will be forwarded to the local SOSCF office and the central SOSCF office of federal affairs for review and concur/nonconcur response.

(5) The State Office for Services to Children and Families must be involved in correction action planning and the corrective action plan as required by federal regulation.

Statutory Authority: HB2004

Stats. Implementation: HB2004