

OPEGA
FOLLOW-UP
REVIEW



FINAL
REPORT

Review of Title IV-E Adoption Assistance Compliance Efforts — Maine DHHS Made Progress, Additional Efforts Warranted

November
2005

a report by

the Office of Program Evaluation & Government Accountability

Review Purpose

Purpose

OPEGA Sought to Answer the Question...

Did Maine DHHS take effective corrective actions to address weaknesses identified in the OIG's April 2005 audit report?

To Answer This Question, OPEGA...

- ⊙ Interviewed key individuals within the DHHS
- ⊙ Reviewed Title IV-E regulations and statutes
- ⊙ Reviewed relevant policies and procedures
- ⊙ Researched prior audits of Title IV-E programs
- ⊙ Tested documentation for a sample of cases

Background

Background

There Are 2 Related Federal Title IV-E Programs...

Title IV-E Foster Care

Helps states fund care for children needing placement outside their homes

Title IV-E Adoption Assistance

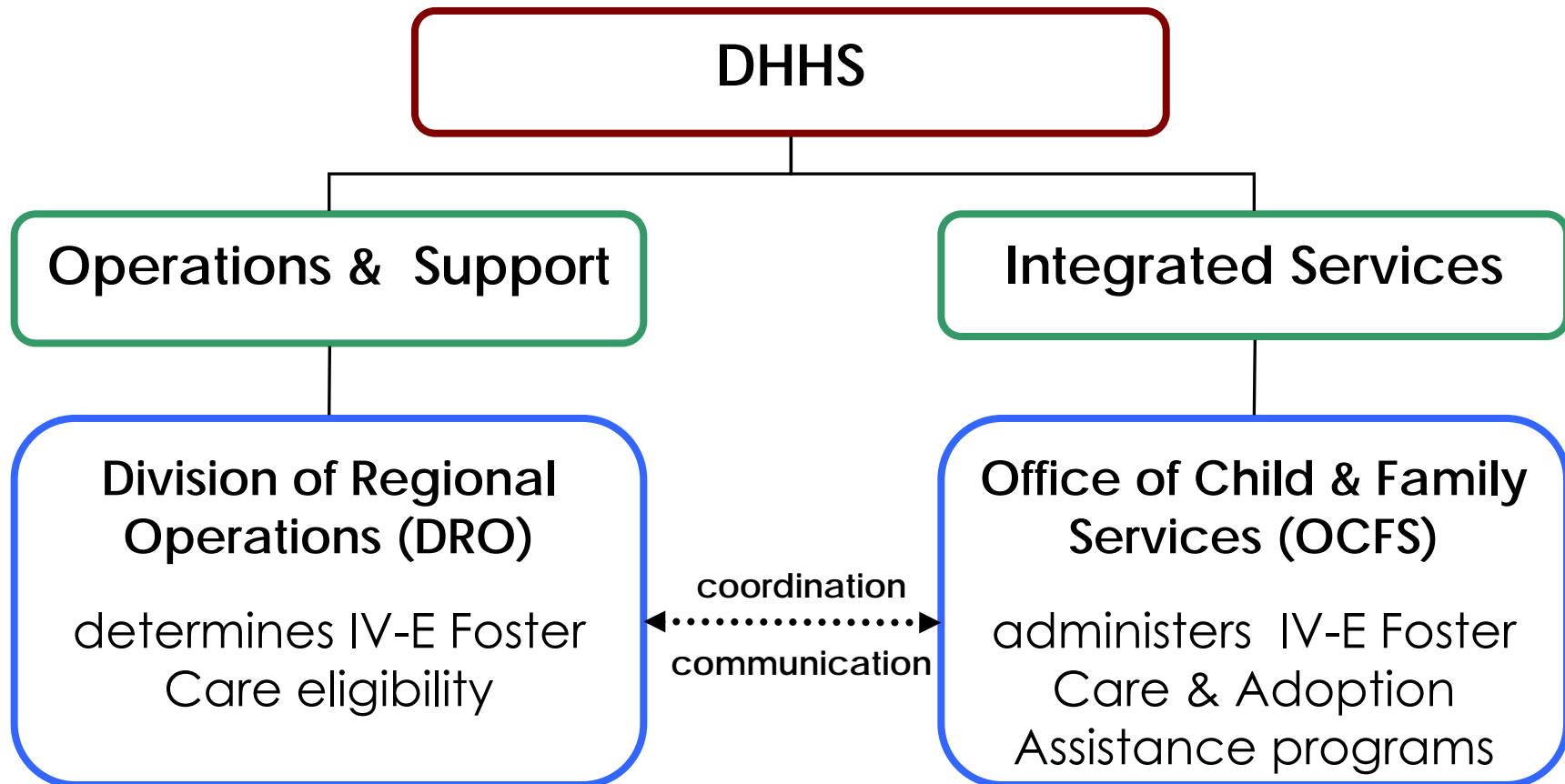
Helps states fund adoptive homes for hard-to-place children

Eligibility Transfer



Background

DHHS Administers Title IV-E in Maine...

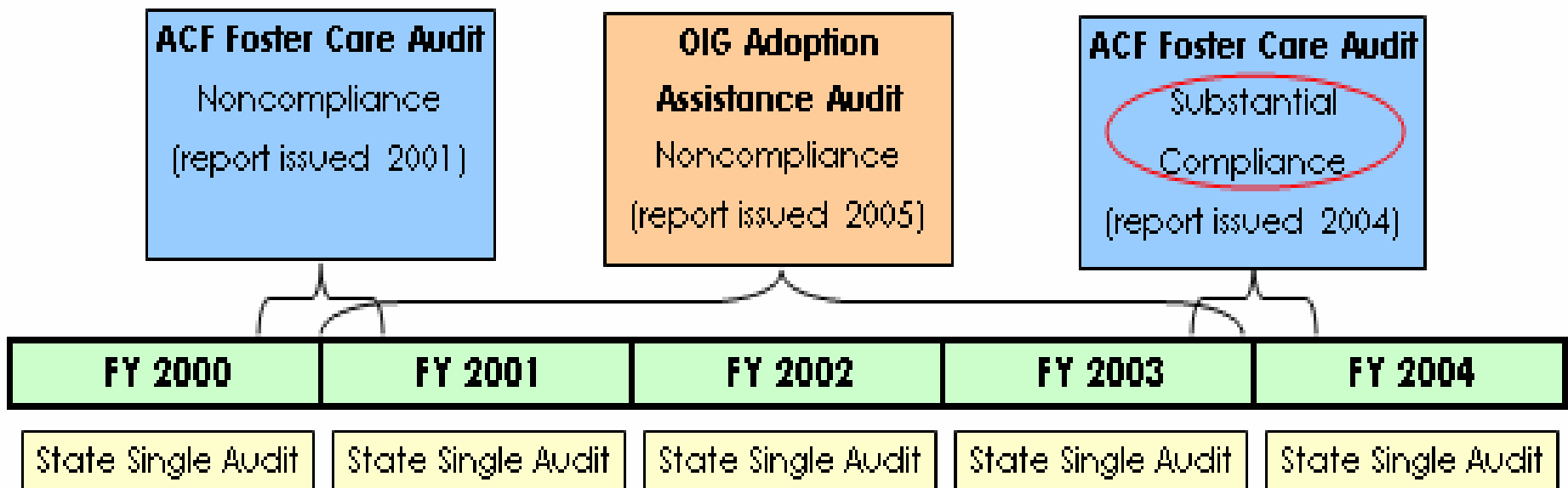


Background

Maine DHHS Has Undergone Many Title IV-E Audits in Recent Years...

Prior Audits of Title IV-E Foster Care & Adoption Assistance

Summarized by Fiscal Year Under Review



Conclusion

Conclusions

OPEGA Determined That...

- ❑ DHHS took effective corrective actions in response to the OIG report.
 - Computer issues identified by OIG related to a prior version of MACWIS. The enhanced MACWIS system includes controls to address such issues.
 - DHHS addressed procedural issues by:
 - ✓ initiating a QA process
 - ✓ implementing a determination checklist
 - ✓ increasing training efforts
- ❑ Additional actions are warranted.

Findings

Finding 1

Finding

Training procedures and materials for Financial Resource Specialists are not formalized.

Management Action

Written training procedures and a training guide will be developed.

Finding 2

Finding

Independent review of Title IV-E eligibility determinations is insufficient.

Management Action

Quality Assurance review will be strengthened with improved sampling methodology.

Finding 3

Finding

The document retention period for Title IV-E eligibility case files has not been increased despite past audit findings.

Management Action

A revised policy with increased retention period will be adopted.

Finding 4

Finding

DHHS has not always addressed past audit findings in a timely and effective manner.

Management Action

DHHS was already aware of this issue and is preparing new procedures to improve responses to audits.

Finding 5

Finding

Responsibility for understanding Title IV-E regulations and monitoring the Department's compliance has not been clearly assigned.

Management Action

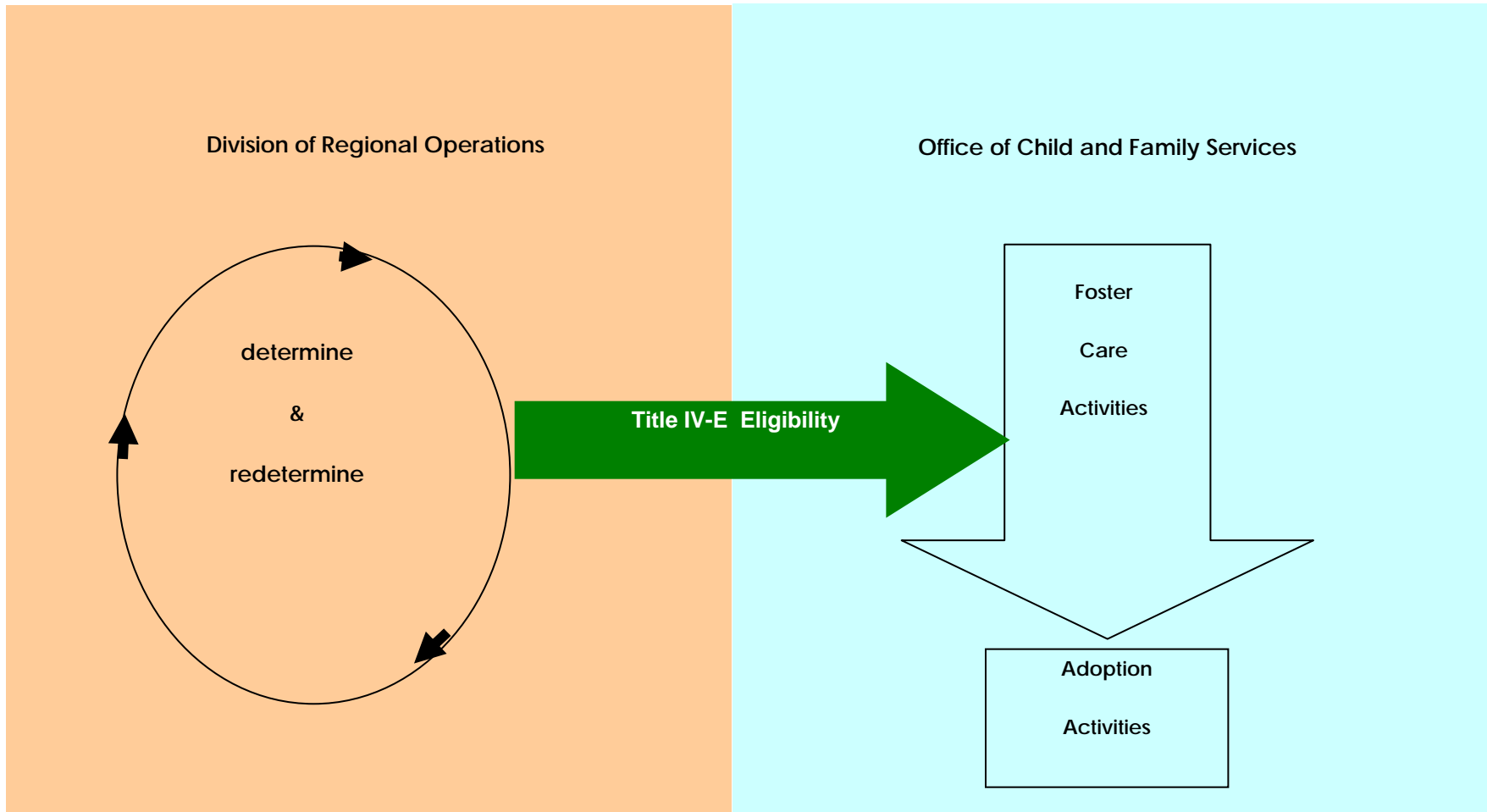
The role of Title IV-E compliance officer will be assigned within the Office of Child & Family Services.

Summary

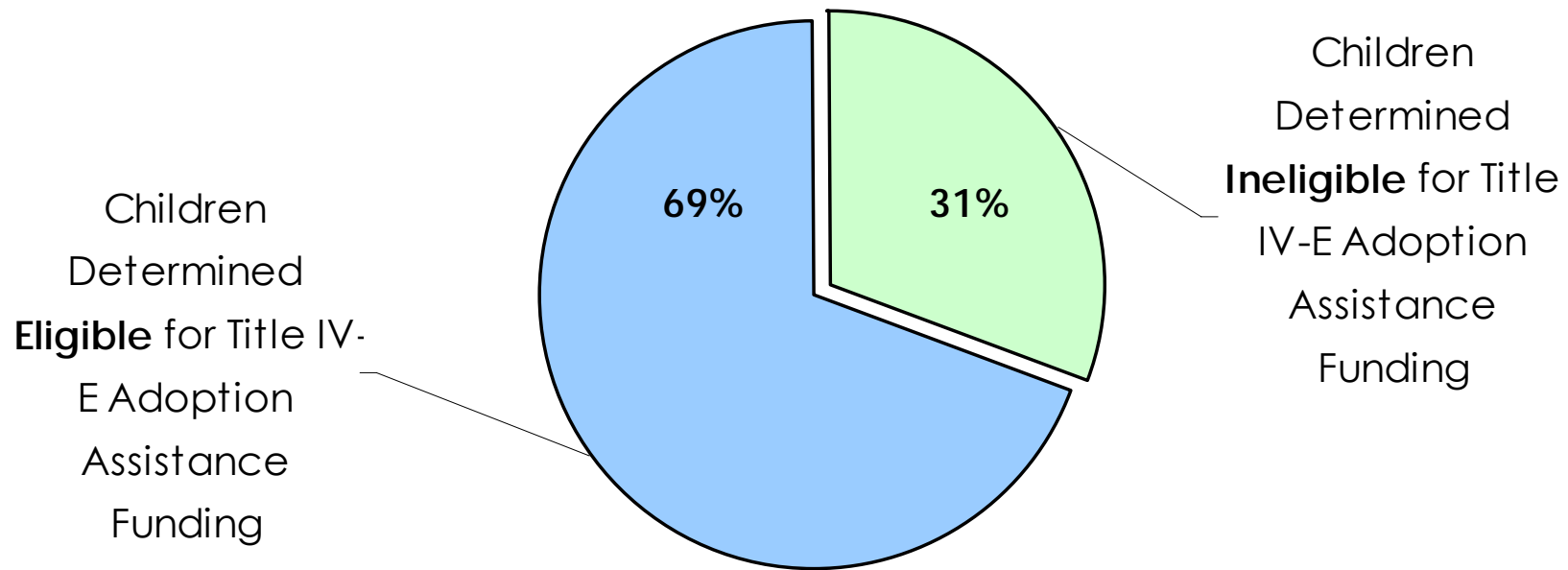
In Summary

- OPEGA concluded that DHHS took effective corrective actions to improve Title IV-E Adoption Assistance compliance.
- OPEGA suggested DHHS take additional management actions to further improve compliance.
- Additional details available in full report available at www.maine.gov/legis/opega or by calling 287-1901.

Questions?



Percent of Children Determined Eligible for Title IV-E Adoption Assistance as of September 30, 2005



2,512 Total Children Considered for Title IV-E Adoption Assistance

For SFY 2005 the State paid a total of \$14,094,503 in adoption assistance payments and was reimbursed for \$9,180,849 under Federal Title IV-E.