



COMMONWEALTH of VIRGINIA

OFFICE OF CHILDREN'S SERVICES *Administering the Children's Services Act*

Scott Reiner, M.S.
Executive Director

August 15, 2018

Ms. Teresa Isom, CPMT Chair and Fiscal Agent
Carroll County Department of Social Services
605-8 Pine Street
Hillsville, VA 24343

RE: Carroll County CSA Program Self-Assessment Validation, File No. 46-2018

Dear Ms. Isom:

In accordance with the Office of Children's Services (OCS) Audit Plan for Fiscal Years 2018, the Carroll County Community Policy and Management Team (CPMT) has completed and submitted the results of the self-assessment audit of your local Children's Service Act (CSA) Program. An on-site visit was scheduled and conducted by OCS Program Auditors on June 19, 2018 to perform the independent validation phase of the process.

Based on the review and examination of the self-assessment workbook and supporting documentation provided by the Carroll County CSA program, our independent validation:

Concurs Partially Concurs Does Not Concur

with the conclusion reported by the Carroll County CPMT that no significant observations of non-compliance or internal control weaknesses were found in the design or operation of the processes or services conducted on behalf of the Carroll County CSA program. The explanation for our assessment results are as follows:

The Carroll County CPMT concluded that no significant non-compliance observations and/or internal control weaknesses were noted. However, validation procedures of the locally prepared CSA Self-Assessment Workbook identified deficiencies indicating non-compliance in the local CSA program. Non-compliance with the statutory requirements of CSA is considered significant because the local program is not operating fully in accordance with the laws of the Commonwealth.

SIGNIFICANT NON-COMPLIANCE OBSERVATIONS

1. The composition of members serving on the Carroll County CPMT and FAPT does not meet the membership requirements established by CSA statute and local policy. Carroll County CPMT and FAPT are missing a parent representative to serve on each team. The absence of the parent representative could potentially impede the achievement of the highest degree of multi-disciplinary collaboration ensuring family advocacy.

CRITERIA: Code of Virginia (COV) 2.2-5205; 2.2-5207; Carroll County CPMT Policy Manual

2. Formal performance measures and utilization management practices and procedures to assess overall program effectiveness have not been established in accordance with COV 2.2-5206, items 6 and 13. CPMT monthly meeting minutes and accompanying reports did not evidence utilization management/utilization review (UM/UR) activities to include:
 - a. reviewing local and statewide data provided in the management reports on the number of children placed out of state, demographic, types of services provided, duration of services, services expenditures, child and family outcomes, and performance measures.
 - b. tracking the utilization and performance of residential placements using data and management reports to develop and implement strategies for returning children placed outside of the Commonwealth, preventing placements, and reducing lengths of stay in residential programs for children who can appropriately and effectively be served in their home, relative's homes, family-like setting, or their community.

Utilization management is a key element in the CPMT's monitoring activities and assessing the appropriateness and effectiveness of services purchased, which is critical to ensure the CPMT is well informed when carrying out its decision-making responsibilities.

CRITERIA: Code of Virginia (COV): 2.2-5206

RECOMMENDATIONS

1. The CPMT should secure parent representatives for both the CPMT and FAPT in accordance with state statutes and local policy. In addition, the CPMT should document their recruitment efforts in the CPMT minutes.
2. The CPMT should periodically review local and statewide data provided in OCS management reports located on the CSA website specifically, but not limited to:
 - a) [CSA Performance Measures for FY 2016 and FY 2017](#) (web link)
 - b) [CSA Pool Expenditure Report](#) (web link)
 - c) [CSA Utilization Reports](#) (web link)
 - d) [OCS Reports to the General Assembly](#)
(web link: <http://www.csa.virginia.gov/publications/index.cfm>)

CLIENT COMMENTS

“Quality Improvement Plan for Parent Representative -

The Parent representative position for FAPT/CPMT will be discussed at the next scheduled meetings. A request will be made to current members to inquire within their own agencies for anyone that would be able to sit on either Team. A request for a Parent Representative will also be discussed at the local DSS Board meeting. The information will also be posted on the County CSA web page. The CSA Coordinator will also reach out to surrounding Coordinator's to inquire if they would have anyone that would be able to sit on either Team. If a Parent Representative is not obtained after the above requests

an ad can be taken out in the local newspaper and/or social media. All recruitment efforts will be documented in the CPMT minutes.”

“Quality Improvement Plan for Utilization Management -

Utilization Management information is currently being reviewed at CPMT and is documented in the CPMT minutes w/copies housed in the CSA Office. This information will be expanded upon to include more information and will be presented to the CPMT on a monthly basis. The new information will include CSA Performance Measures, CSA Pool Expenditure Report, CSA Utilization Report, OCS Reports to the General Assembly.”

The Office of Children’s Services respectfully requests that you submit a quality improvement plan to address the observations outlined in this report no later than 30 days from receipt of this report. In addition, we ask that you notify this office as quality improvement tasks identified are completed. OCS will conduct a follow up validation to ensure the quality improvements have been implemented as reported.

We would like to thank the Carroll County Community Policy and Management Team and related CSA staff for their contributions in completing the CSA Self-Assessment Workbook. We also would like to acknowledge the excellent assistance and cooperation that was provided by Ms. Jacqueline Roberts, CSA Coordinator, during our on-site visit. Ms. Roberts’ efforts enabled the audit staff to quickly resolve any questions/concerns that we observed during the validation process. Please feel free to contact us should you have any questions.

Sincerely,



Rendell R. Briggs, CAMS
Program Auditor



Stephanie S. Bacote, CIGA
Program Audit Manager

cc: Scott Reiner, Executive Director
Steve Truitt, Carroll County Administrator
Jacqueline Roberts, CSA Coordinator
SEC Finance and Audit Committee