



**School Readiness (SR)  
Voluntary Pre-Kindergarten (VPK), TAPP  
Eligibility & Payments, Fiscal Monitoring, Quality Counts  
& Resource and Referral Services**

1<sup>st</sup> Quarter – July - September 2010

2<sup>nd</sup> Quarter – October – December 2010

2010/2011 Contract

# ELC Mission & Vision

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## Mission

To promote high-quality school readiness, voluntary pre-kindergarten and after school programs, thus increasing all children's chances of achieving future educational success and becoming productive members of society. The Coalition seeks to further the physical, social emotional and intellectual needs of Miami-Dade and Monroe County children with a priority toward the ages before birth through age 5.

## Vision

To ensure a comprehensive and integrated system providing for all families and their children, beginning before birth to five years the affordable opportunity to enter school ready to learn and succeed in life.

# Compliance Review Performed by GSK

- ***Data Selection***  
*Quarterly Reports are requested*
- ***Sample Selection***  
*Based on contract requirements*  
*Excel random number generator used*
- ***Testing Procedures***  
*Utilize monitoring tool provided by ELC based on AWI guidelines*  
*Monitoring Checklist used to verify compliance*
- ***Management Reporting***  
*Exit meetings convened with ELC/CDS*  
*Copies of testing work papers sent to ELC/CDS*  
*Final Report generated annually*  
*Weekly Summary Report provided to management*  
*Specific timelines established for report response and action taken.*

# Sub-recipient Programmatic Monitoring Scope of Work

- Customized monitoring tool that meets AWI requirements for programmatic monitoring and meets the specific requirements set forth in the School Readiness and Voluntary Pre Kindergarten Program contracts.
- Periodic reporting reviewed by the Coalition and Miami-Dade County to address issues and findings as they arise.
- Monitoring tool revisions are made annually in order to comply with new requirements.
- Selection criteria is established to comply with AWI guidelines specific to the size of the Coalition.

# Summary Selection Breakdown

## Eligibility – Miami-Dade

- School Readiness - 35 selections of child files per quarter (140 per year)
- School Readiness - 35 selections of provider files per quarter (140 per year)
- VPK – 30 selections of child files per quarter (120 per year)
- VPK - 30 selections of provider files per quarter (120 per year)
- Total of 520 selections per year

## Payments – Miami-Dade

- School Readiness - 35 selections per quarter (140 per year)
- VPK – 30 selections per quarter (120 per year)
- TAPP – 10 selections per quarter (40 per year)
- Total of 300 selections per year

## Fiscal Monitoring (Non Direct Admin Expenses) – Miami Dade

- School Readiness – 20 selections per quarter
- VPK - 15 selections per quarter
- Total of 140 selections per year

## Resource and Referral – Miami Dade

- School Readiness/VPK – 10 calls per quarter
- Total of 40 sections per year

# Summary Selection Breakdown

## Fiscal Monitoring – ELC – Quality Counts – Miami Dade

- 50 selections based on weighted amounts for all 9 contracts per quarter
- Total of 200 selections per year

## Wesley House

### Eligibility

- School Readiness – 20 child file selections per year
- School Readiness - 20 provider file selections per year
- VPK - 10 child file selections per year
- VPK - 10 provider file selections per year

### Provider Payments

- School Readiness – 20 selections per year
- VPK – 10 selections per year
- Total of 30 selections per year

### Non Direct Admin

- School Readiness – 15 selections per quarter
- VPK – 15 selections per quarter

### Resource and Referral

- 5 selections per quarter

# School Readiness Program Overview

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Each child/parent is recertified on average every six months, depending on the program classification. Referrals, employment and income are verified, not only to determine eligibility, but also to establish parent fees. Participants are grouped based on program requirements to assure correct billing and payments to service providers.

# School Readiness Billing Groups

- BG1 - Children under protective, foster, or relative care.
- BG3 – Parent is a Workforce Development participant or Temporary Assistance for Needy Families (TANF) recipient.
- BG5 – Transitional Child Care for families who lost TANF eligibility.
- BG8 – Supplemental Security Income recipient or income eligible applicant.
- CCEP/CCPP – Funders match with Child Care Executive Partnership and one parent must be employed with provider.

# Eligibility Criteria & Documents



## PROCEDURES:

Monitoring checklists are prepared to track all required elements of eligibility. Quarterly data reports are requested. A random [excel generated] selection of approximately 11 names, from each month are thoroughly monitored for compliance.

### Case files must account for the following:

- Copies of birth certificates/Age of child verified
- Picture identification; social security number [if available]
- Billing group (funding) correctly assigned
- Completed and signed EFS generated application
- Referral; active and current (BG1, BG3 and BG5)
- Proof of legal guardianship verified (BG1)
- TANF form showing assisted group along with monthly assistance amount (BG3)
- Signed statement of parent choice
- Accuracy of income computation and parent co-payment
- Reason for termination noted on case history notes

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# MIAMI- DADE SUMMARY OF FINDINGS

1<sup>ST</sup> AND 2<sup>ND</sup> QUARTER  
2010-2011

(July 2010 to September 2010)  
(September 2010 to December 2010)

# Miami-Dade County SR Services C10-111 ELIGIBILITY



Performance Objectives	Summary of Findings	
I. Ensure eligibility is determined accurately and timely.	<ul style="list-style-type: none"><li>• Incomplete application (Missing hours of care or purpose of care etc)</li><li>• Missing documentation (proof of residency).</li><li>• Income worksheets for applications may be incomplete or incorrect.</li></ul>	Note: Observations were made, these are not included in the presentation.

Performance Objectives	Summary of Findings	
<p>II. Provide parent with information on their right to choose an approved provider and enroll child according to choice.</p>	<ul style="list-style-type: none"> <li>•Rights and Responsibility Forms not legible or not properly completed or not signed.</li> <li>•Referral forms are incomplete or incorrect in areas such as reporting hours of care or purpose of care or care authorization period.</li> <li>•No findings</li> </ul>	

Performance Objectives	Summary of Findings	
<p>III. Clients shall report overall satisfaction with services.</p> <p>IV. Ensure FDLE Fraud Prevention Referrals are performed. Referrals are driven by payments and financial management services.</p> <ul style="list-style-type: none"> <li>• Documents subject to review are:</li> </ul> <p style="padding-left: 40px;">Parent or guardian sign-in/sign-out/attendance documents.</p>	<ul style="list-style-type: none"> <li>•No findings</li> <li>•Sign in/out forms appear to be prefilled</li> </ul>	

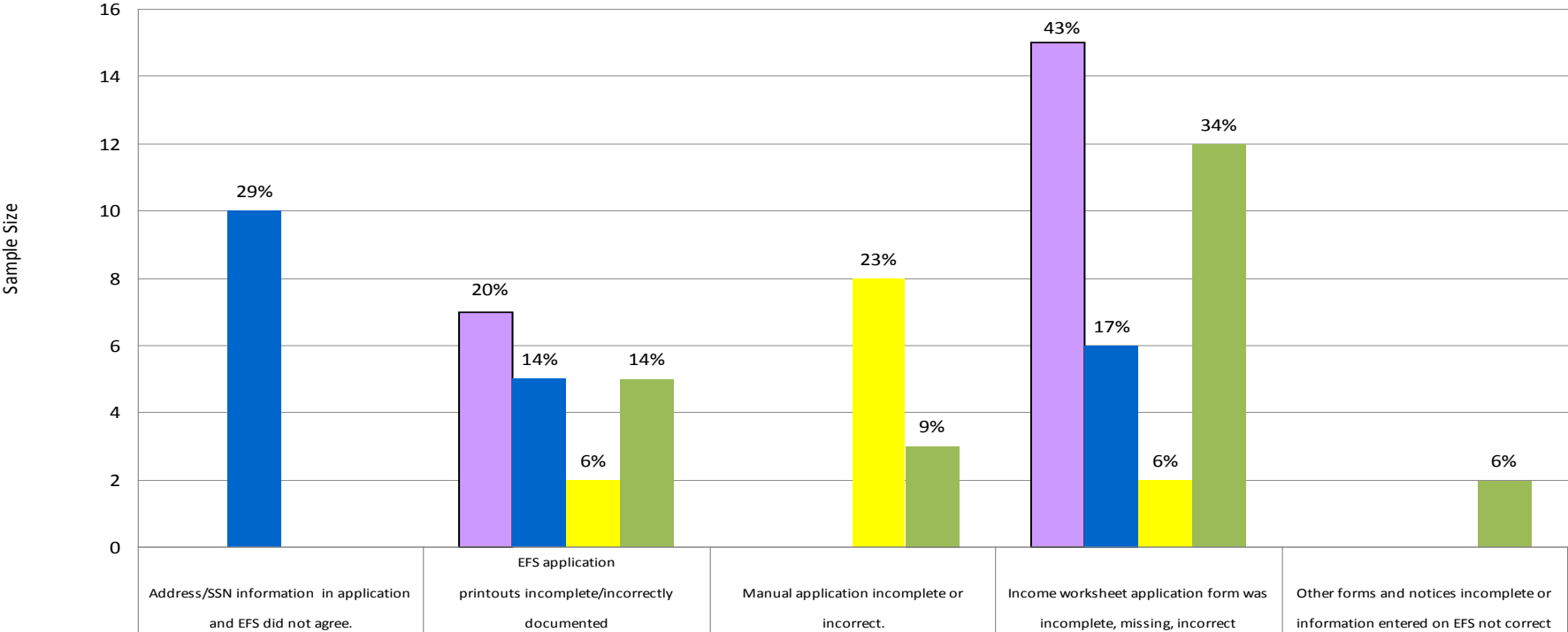
Performance Objectives	Summary of Findings	
<p>V. Ensure eligibility for providers is determined accurately and timely and within Coalition policies and guidelines.</p>	<p>Sign in/out forms appear to be prefilled.</p>	

# School Readiness Child Files

## MIAMI-DADE COUNTY



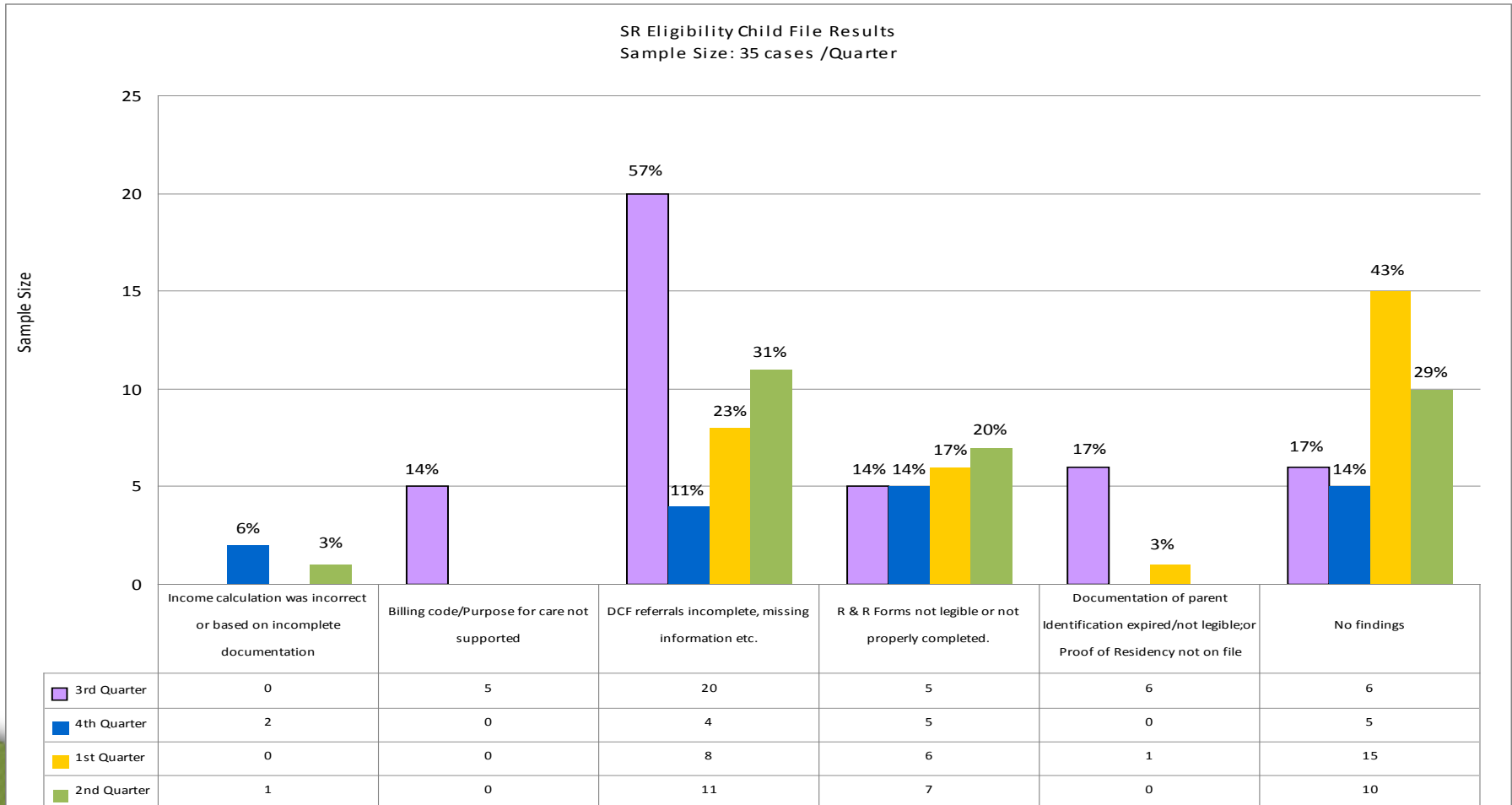
SR Eligibility Child File Results  
Sample Size: 35 cases /Quarter



3rd Quarter	0	7	0	15	0
4th Quarter	10	5	0	6	0
1st Quarter	0	2	8	2	0
2nd Quarter	0	5	3	12	2

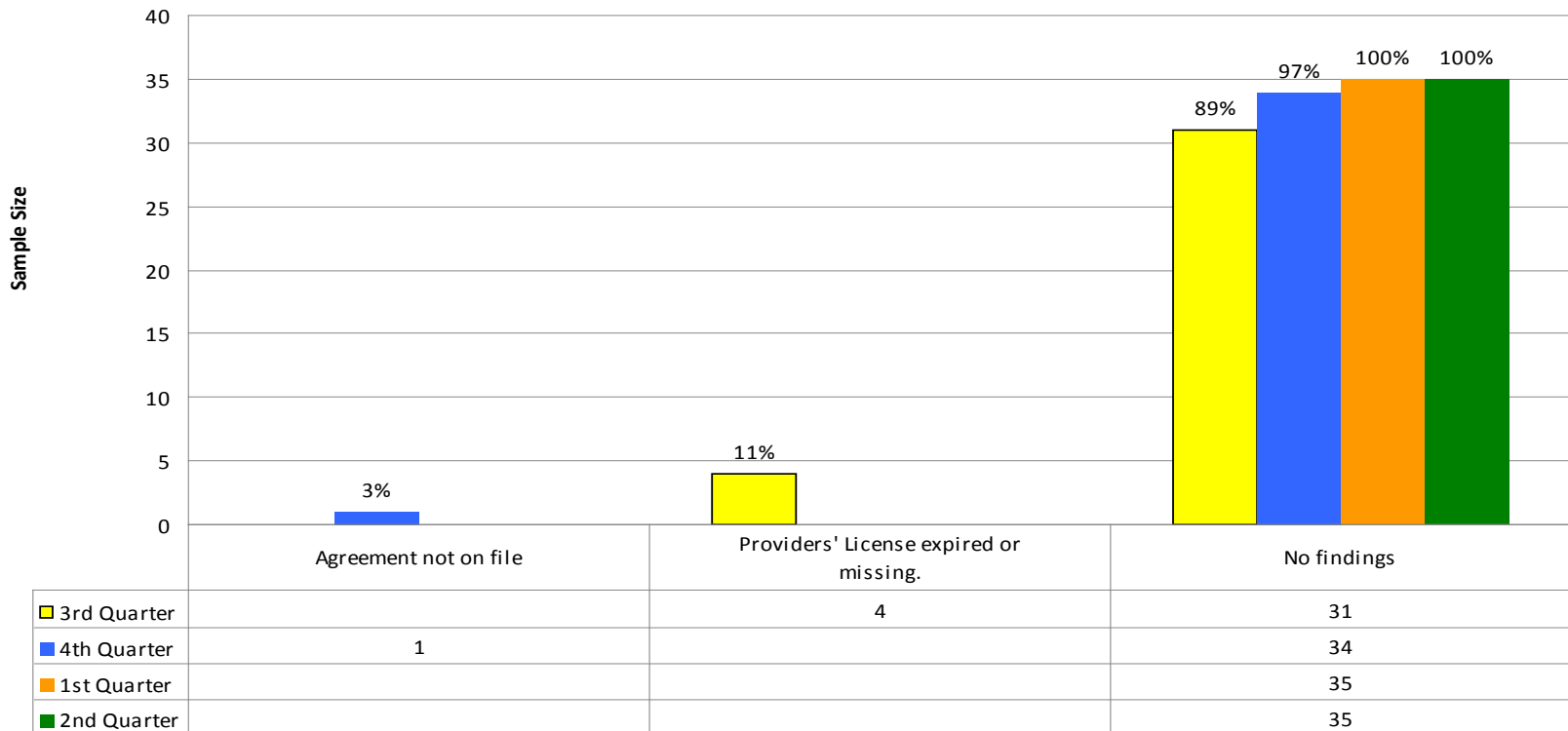
# School Readiness Child Files

## MIAMI-DADE COUNTY GRAPH CONT'D



# School Readiness Provider's Files

SR Eligibility Providers Files Results  
Sample Size: 35 cases /Quarter



# Payment & Financial Management

## Criteria & Documents



### **PROCEDURES:**

- Monitoring checklists are prepared to track all required payment and reimbursement elements. Quarterly data reports are requested. A random [excel generated] selection of approximately 35 providers' monthly reimbursement reports are thoroughly monitored for compliance.

### **Documents and data must contain the following:**

- Rates paid and types [full time or part-time], rate care levels
- Parent co-payments, refer to county approved sliding fee scale
- Payment attendance rosters, sign-in & sign-out forms
- Gold Seal or accreditation documentation
- Sample BG8 payments to determine established 6% rate amounts
- Sample CCEP payments to determine established 50% rate amounts

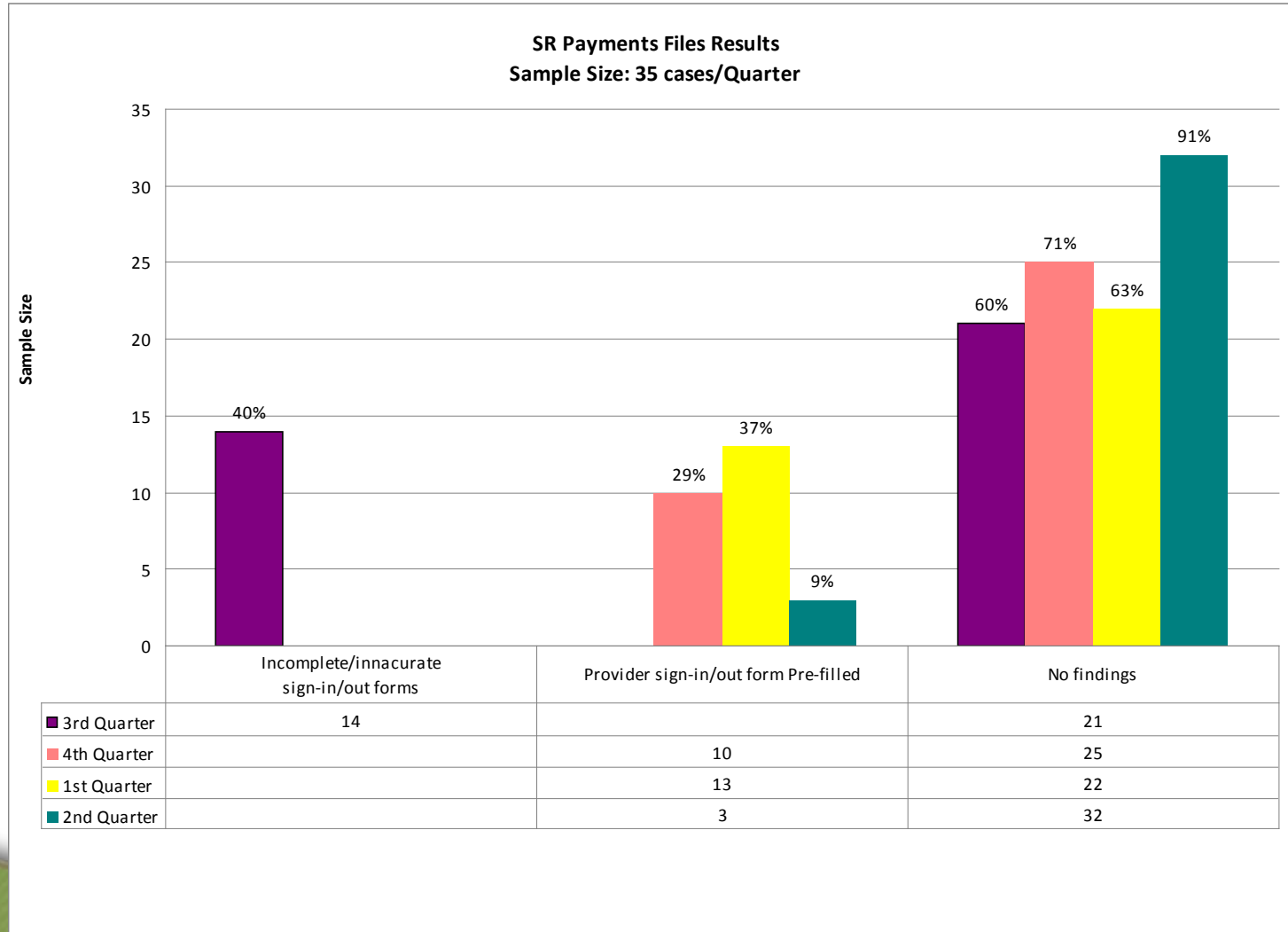
# Miami-Dade County SR Services C10-111



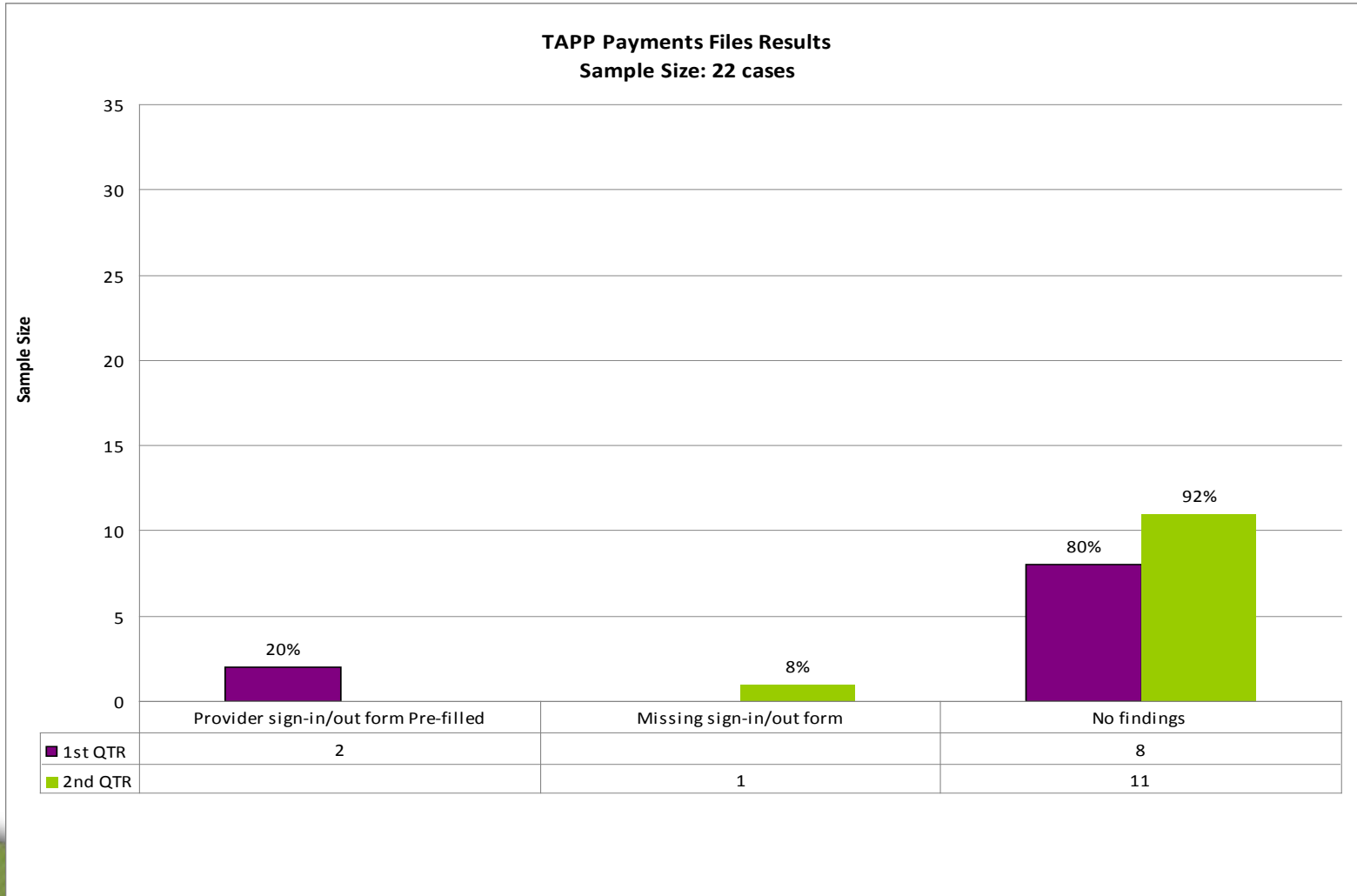
## PAYMENT & FINANCIAL MANAGEMENT SERVICES

Performance Objectives	Summary of Findings	
<p>I. Ensure that required invoices, data, and reports are delivered complete, on time, and accurate.</p> <p>II. Ensure FDLE Fraud Prevention Referrals are performed. Referrals are driven by payments and financial management services.</p> <p>Documents subject to review are:</p> <ul style="list-style-type: none"> <li>• Provider attendance signature forms and rosters.</li> </ul>	<ul style="list-style-type: none"> <li>• No findings.</li> <li>▪ Sign in/out forms appear to be prefilled</li> </ul>	<p>.</p>

# School Readiness Payments



# TAPP Payments



# Fiscal Monitoring C10-111 Non Direct Admin Expenses

## **PROCEDURES:**

- Monitoring checklists are prepared to verify the support and reimbursement elements. Quarterly data reports are requested. A random (excel generated) selection of approximately 35 expense items are thoroughly reviewed based on monitoring tool procedures.

## **Documents and Data must contain the following:**

- Post date, index codes, reference no, sub code, transaction description and amount
- Invoices and supporting documents for disbursements
- Budgets and grant allocations for contracts
- Cost allocations
- Classification of expenses

# Fiscal Monitoring SR Services C10-111 Non Direct Admin Expenses

Performance Objectives	Findings	
<p>I. <i>Provide monitoring of non direct administrative expenses by verifying the accuracy of payments to employees, invoices for expenses, correct classification of expenses to index codes/sub codes and proper capitalization of expenses.</i></p>	<ul style="list-style-type: none"><li>▪ <i>No findings</i></li></ul>	

# Miami-Dade County C10-111



## Resource and Referral Services

### PROCEDURES:

- Monitoring checklist are prepared to maintain support and evaluate the quality of the service provided. Random sample of 10 Secret Shopper Assessment calls per quarter to the “311” hotline center ensuring that calls are transferred to CCR&R Specialists and if specialists is not available the “311 Operator request/obtain information for call back procedures and provide minimum information (such as website) to the public as trained.

### **Documents and data must contain the following:**

- 311 Training Information
- Phone calls (detail)
- Sample Secret Shopper Scenarios

# Miami Dade County C10-111

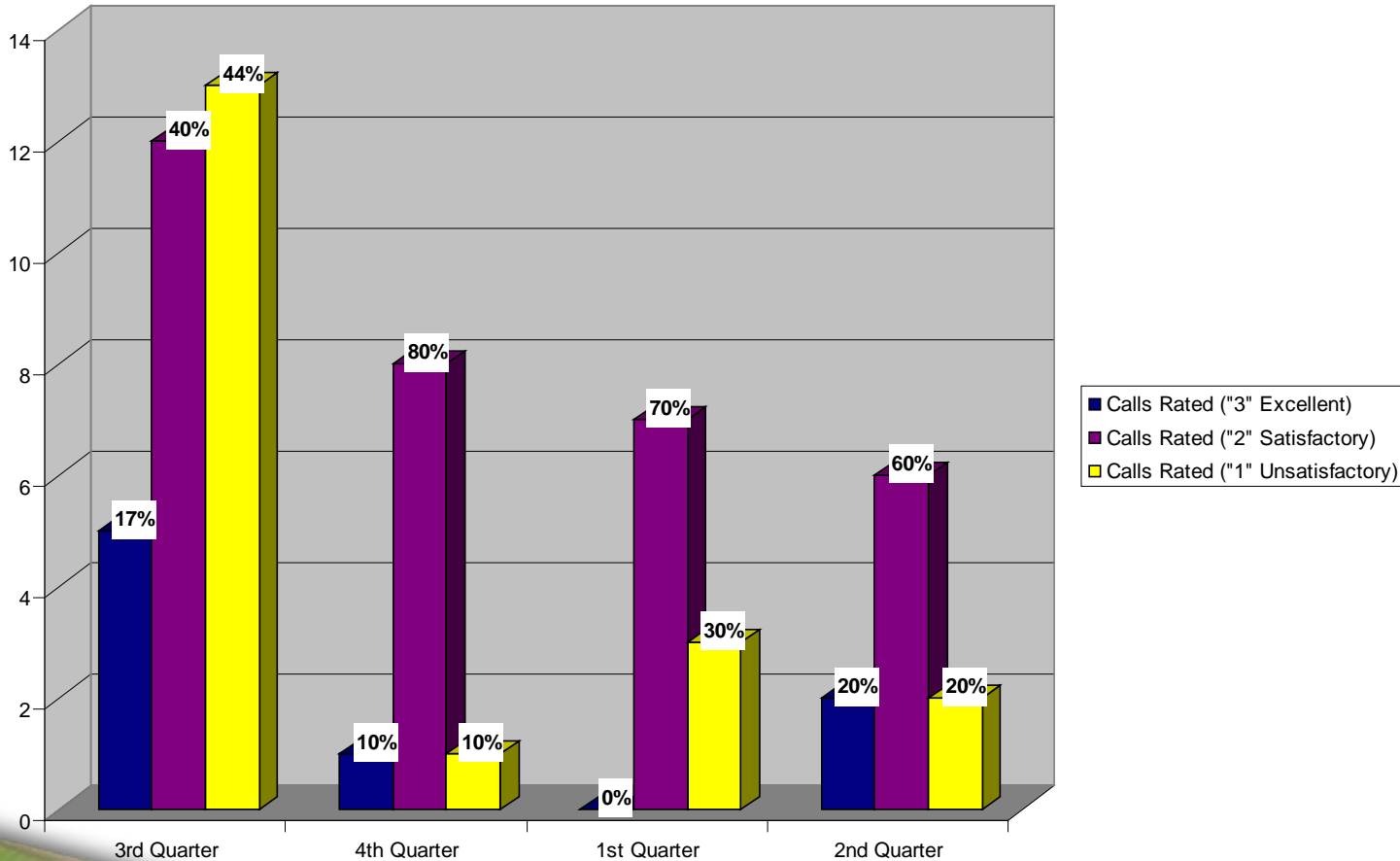


## Resource and Referral SR Services

<b>Performance Objectives</b>	<b>Findings</b>	
<p>I. <i>Verify compliance with Resource and Referral program requirements. To ensure that service provided is courteous, attentive to the public needs and adequate information is provided by trained personnel.</i></p>	<p>▪ <i>Of ten calls tested, 7 were rated “satisfactory” and 3 were rated “unsatisfactory”.</i></p>	

# CHILD CARE RESOURCE AND REFERRAL MIAMI-DADE

CHILD CARE RESOURCE AND REFERRAL SERVICES (CCR&R)



# Voluntary Pre-Kindergarten (VPK) Program Overview

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- A State mandated program that is free for all four-year olds born on or before September 1<sup>st</sup> who reside in Florida. Parent may choose an authorized private or public provider and select the School Year or Summer Program. Providers have flexibility in the daily and weekly schedule to meet the required 540 instructional hours. Class sizes may not exceed 18 students. The Summer Program consists of 300 instructional hours and class sizes up to 10 students.

# Eligibility Criteria & Documents



## PROCEDURES:

Monitoring checklists are prepared to track all required elements of eligibility. Quarterly data reports are requested. A random [excel generated] selection of approximately 10 names, from each month are thoroughly monitored for compliance.

## Case files must account for the following:

- Proof of child's age (e.g., birth certificate, health records, passport)
- Proof of Florida residence (e.g., utility bill, bank statement, driver's license)
- Copy of certificate of eligibility
- VPK application
- Signed statement of parents rights & responsibility statement
- Delayed enrollment form, if applicable

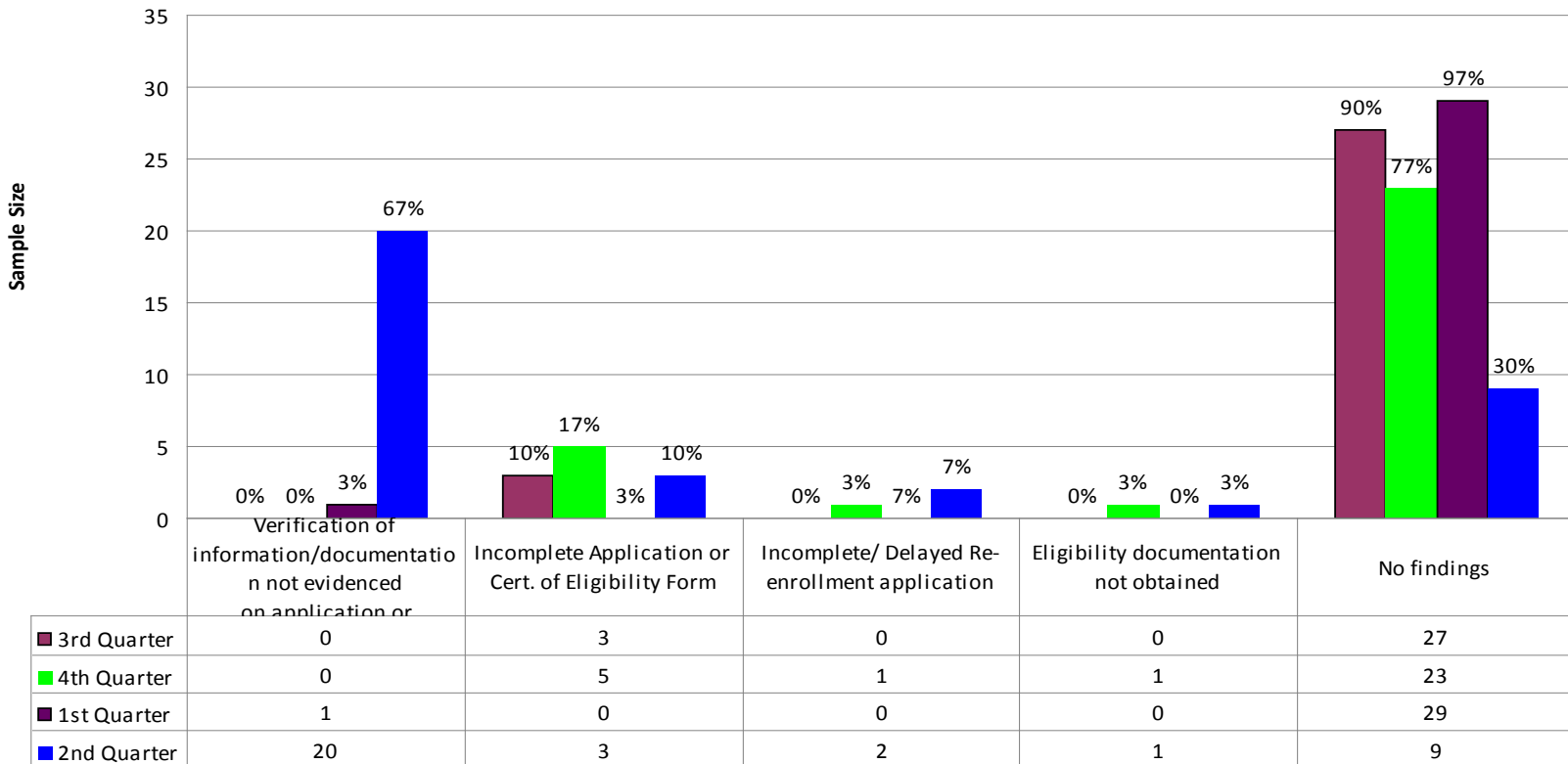
# Miami-Dade County VPK Services

## C10-111 ELIGIBILITY

Performance Objectives	Summary of Findings	
<p>I. Determine eligibility of children as per State and Coalition policies and guidelines.</p>	<ul style="list-style-type: none"> <li>• Incomplete parent form (missing supervisory sign/off verifying documents received).</li> <li>.</li> </ul>	

# VPK CHILD FILES

VPK Child Files Results  
Sample Size: 30 cases /Quarter



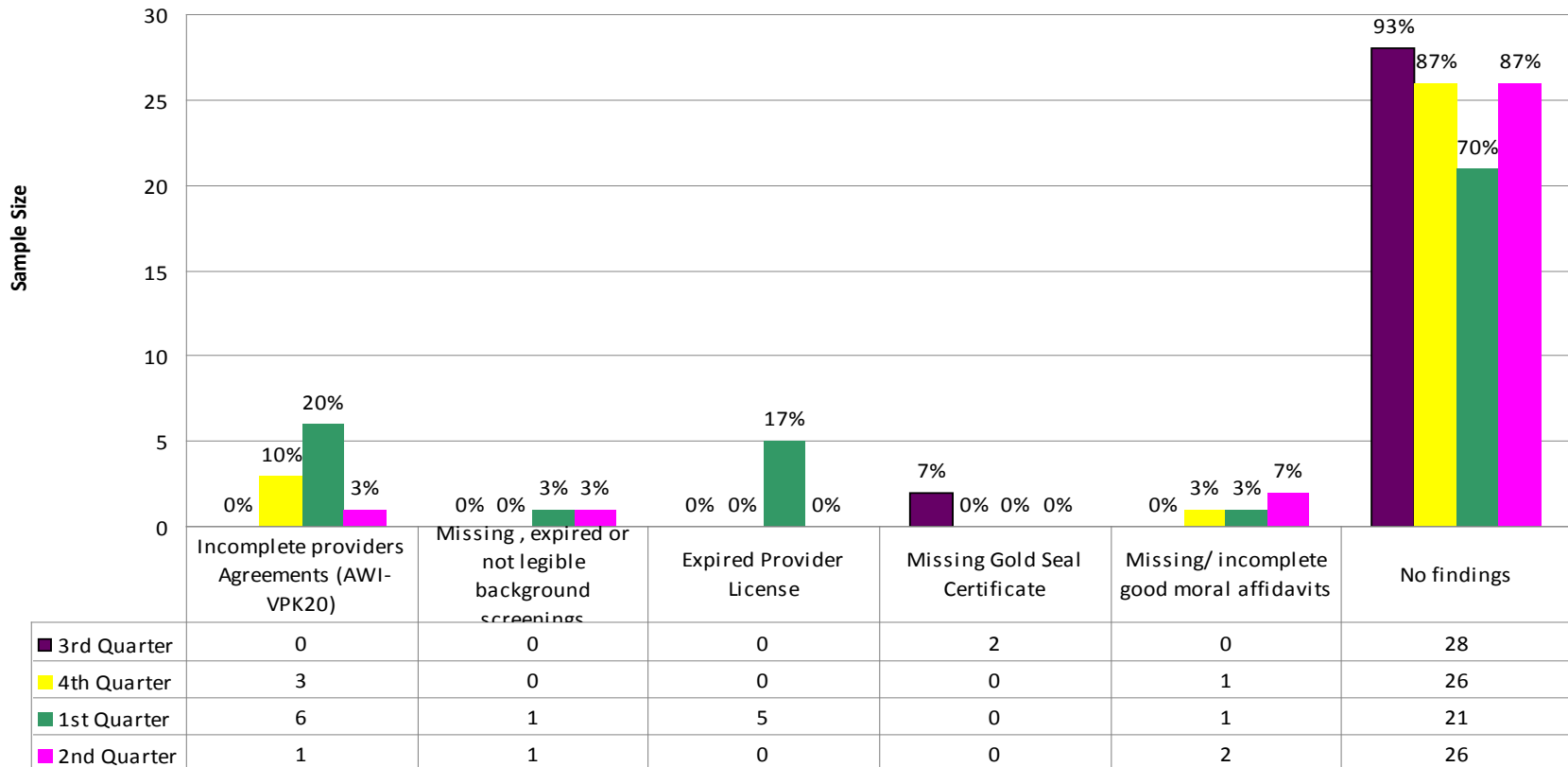
# Miami-Dade County VPK Services C10-111 ELIGIBILITY



Performance Objectives	Summary of Findings	
<p>II. Ensure eligibility for providers is determined accurately and timely and within Coalition policies and guidelines</p>	<ul style="list-style-type: none"> <li>▪ Provider agreement on file was missing dates and sections of the form left blank)</li> <li>• Incomplete or missing Good Moral Affidavit (missing printed name of person for Id of signer)</li> <li>• File had expired license/missing license or credentials and background screening for Director.</li> </ul>	

# VPK PROVIDER'S FILES

**VPK Providers Files Results**  
**Sample Size: 30 cases /Quarter**



# Miami-Dade County VPK Services

## C10-111 ELIGIBILITY

Performance Objectives	Findings	
<p>II. Assist parents in completing an accurate VPK application at the designated registration sites.</p>	<ul style="list-style-type: none"> <li>• No findings.</li> </ul>	

# Payment & Financial Management Criteria & Documents

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## **PROCEDURES:**

- Monitoring checklists are prepared to track all required payment and reimbursement elements. Quarterly data reports are requested. A random [excel generated] selection of approximately 30 providers' monthly reimbursement reports are thoroughly monitored for compliance.

## **Documents and data must contain the following:**

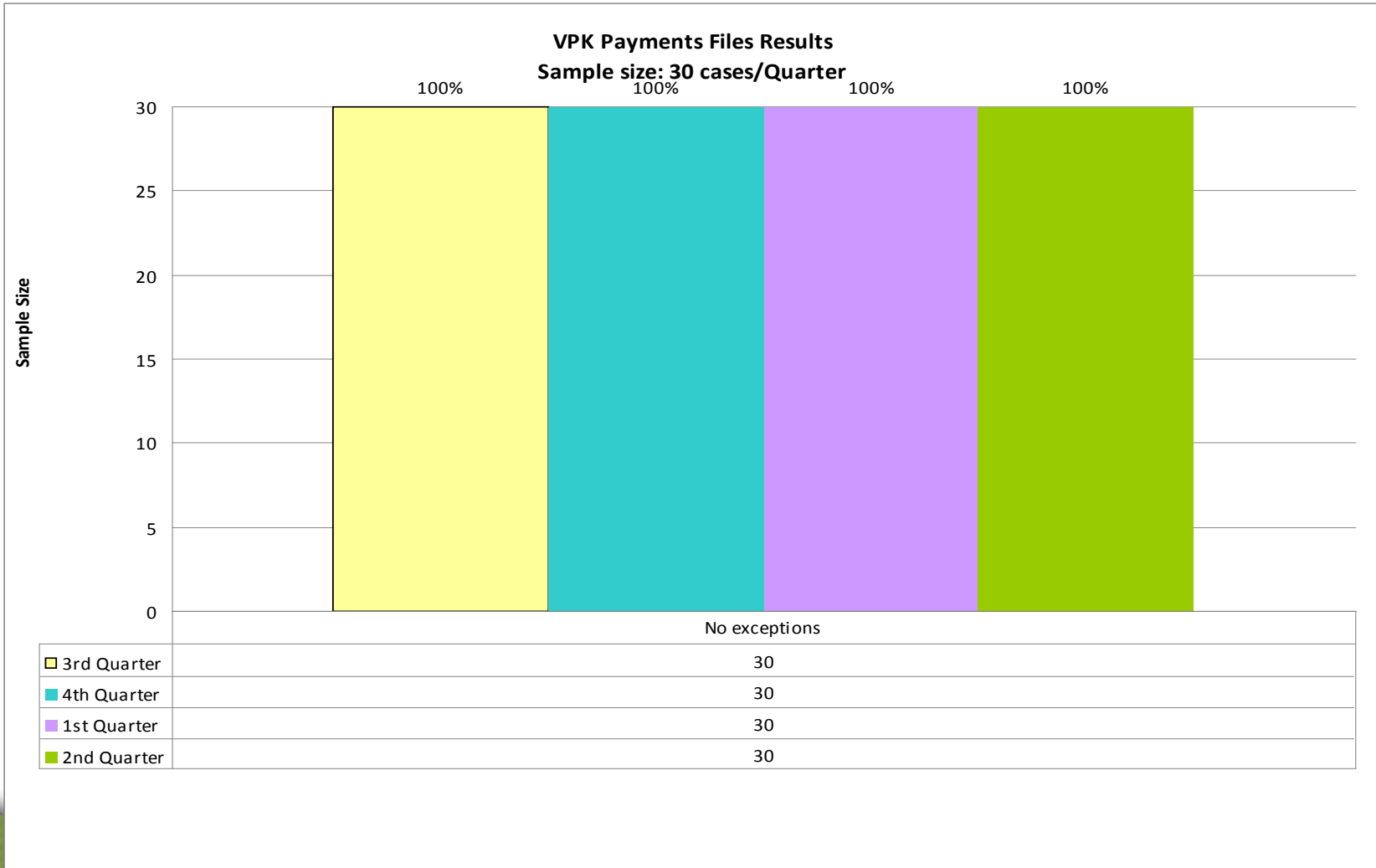
- Attendance rosters
- Parent signature records

# Miami-Dade County VPK Services C10-111

## PAYMENT & FINANCIAL MANAGEMENT SERVICES

Performance Objectives	Findings	
<p>I. Provide payment processing for VPK providers to include: monthly processing of the provider advance payment, monthly reconciliation of advance to actual attendance and with pre-payments on a monthly basis.</p>	<ul style="list-style-type: none"> <li>• No findings</li> </ul>	

# VPK PAYMENTS



# FISCAL MONITORING VPK Services

## C10-111

### Non Direct Admin Expenses

Performance Objectives	Findings	
<p>I. Provide monitoring of non direct administrative expenses by verifying the accuracy of payments to employees, invoices for expenses, correct classification of expenses to index codes/sub codes and proper capitalization of expenses.</p>	<ul style="list-style-type: none"><li>• No findings</li></ul>	

# MIAMI DADE COUNTY C10-111 RESOURCE AND REFERRAL (VPK) SERVICES

Performance Objectives	Findings	
<p>I. Verify compliance with Resource and Referral program requirements. To ensure that service is courteous, attentive to the public needs and adequate information is provided by trained personnel.</p>	<ul style="list-style-type: none"> <li>• Of 10 calls tested, 7 were deemed to be “satisfactory” and 3 were rated “unsatisfactory”.</li> </ul>	

# FISCAL MONITORING – QUALITY COUNTS

## C10-111



### Non Direct Admin Expenses

United Way, Children’s Forum, Family Central, Devereux, FIU, UM, Inclusion and Miami Dade Child Screening and Assessment

Performance Objectives	Findings	
I. Provide monitoring of non direct administrative expenses by verifying the accuracy of payments to employees, invoices for expenses, correct classification of expenses to index code/sub codes and proper capitalization of expenses.	<ul style="list-style-type: none"><li>• No findings</li></ul>	

# DETAILED FINDINGS

1<sup>ST</sup> AND 2<sup>ND</sup> QUARTERS

2010-2011

# 1<sup>ST</sup> QUARTER

(JULY 2010 TO SEPT 2010)

# 1<sup>st</sup> QUARTER -VPK ELIGIBILITY - MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1:</b> There was no supervisor or reviewer sign-off evidencing verification of information/documentation. The application is not signed documenting the verification of received information and supervisory review. However, a checklist created by CDS is usually on file. The checklist evidences the verification of documentation and information submitted and documents supervisory signature. The form was not on file.</p> <p><b>R. W. - xxx xx 3187</b></p>	<p><b>Accept:</b> Supervisors will ensure that reviewed cases contain case file review form.</p>	<p><b>Finding Remains:</b> Corrective Action Plan noted.</p>

# 1ST QUARTER -VPK ELIGIBILITY (PROVIDER FILES – ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Finding 1:</b> The Provider Agreement (AWI-VPK20) kept on file was not properly completed (missing Section 1 “Agreement date: and /or the Agreement shall begin on” “ portion was left blank.</p> <p>O. C. C. Inc.(xx57341) O. L. C. (xx37630)</p> <p><b><u>Non compliance with:</u></b> AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK Provider criteria (VPK P-B). Before delivering instruction or receiving payment for the VPK program, a VPK provider must submit a completed and signed FORM AWI-VPK 20 (Statewide Provider Agreement)</p>	<p><b>Certification unit shall assure the start date of a provider’s program will be listed on the contract; in addition to being on the form 11 or schedule provided.</b></p>	<p>Finding Remains. Corrective Action Plan Noted.</p>

# 1ST QUARTER - VPK ELIGIBILITY (PROVIDER FILES – ELC)



Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 2.</b> The Provider Agreement (AWI-VPK20) execution date by the Coalition was prior to the Provider’s signature date.</p> <p><b>T. L. C. – (xxx66631)</b></p> <p><b><u>Non compliance with:</u></b></p> <p>AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK-B.2) Provider/Instructor file must contain a signed and completed GMC Attestation for all Lead, secondary and substitute instructors. Effective August 2010, GMC attestations will be replace with GMC Affidavits.</p>	<p>Provider has 4 sites with 3 sets of contracts each. Provider forgot to sign one but met requirements for certification. ELC asked provider to come in and sign and date missing document. As stated by the agreement, “Agreement shall begin on or on date Agreement is signed by last party, whichever occurs last...” In this case, 8-23-10 was the start date.</p>	<p>Finding Remains. Corrective Action Plan Noted.</p>

## 1ST QUARTER -VPK ELIGIBILITY (PROVIDER FILES – ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 3.</b> The Good Moral Affidavit on file did not documented printed name of person for proper identification of signor</p> <p><b>C. F. B. C., Inc. – (xxxxx24580)</b></p>	<p>Will work with providers to assure names are printed on first page and all other sections.</p>	<p>Finding Remains. Corrective Action Plan Noted.</p>

# 1ST QUARTER - VPK ELIGIBILITY (PROVIDER FILES – ELC)



Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 4.</b> The Provider Agreement (AWI-VPK20) kept on file was not properly completed. The “summer program year” was left blank.</p> <p><b>A. C. C. C. II. – (xxx1529)</b>  <b>A.P. &amp; L. C. – (xxx2444)</b>  <b>B., Inc. – (xxx-14880)</b></p> <p><b><u>Non compliance with:</u></b>                      AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK-B.2)                      Provider/Instructor file must contain a signed and completed GMC Attestation for all Lead, secondary and substitute instructors. Effective August 2010, GMC attestations will be replace with GMC Affidavits.</p>	<p>These providers do not participate in the summer program. Therefore, they do not complete this part. We will remind providers to complete section regardless.</p>	<p>Finding Remains. Corrective Action Plan Noted.</p>

# 1ST QUARTER - VPK ELIGIBILITY (PROVIDER FILES - ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 5.</b> The license or license exemption on file was expired.</p> <p>K.K.K.L.C. - (xxxxx01370)            K.A.L.C. - (xxxxx19060)            A.P. and L. C. - (xxxx41890)            C.L.C. - (xxxxx-14880)            C.F.B.C., Inc. - (xxxxx24580)</p> <p><b><u>Non compliance with:</u></b>            AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK-B.2) Provider/Instructor file must contain a signed and completed GMC Attestation for all Lead, secondary and substitute instructors. Effective August 2010, GMC attestations will be replace with GMC Affidavits.</p>	<p>Updated license in file (8/21/11)            Updated license in file (10/10/11)            Updated license in file (12/06/11)            Updated license in file (04/11/11)            Updated license in file (10/12/12)</p>	<p><b>Finding Remains.</b>            Corrective Action Plan Noted.</p>

# 1ST QUARTER- VPK ELIGIBILITY (PROVIDER FILES – ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 6.</b> The provider was missing all credentials, background screenings, good moral affidavit for Director – G. N. and file was missing the license for the provider.</p> <p><b>A.P. and L. C. – (xxxx41890)</b></p> <p><b><u>Non compliance with:</u></b>            AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK-B.2)            Provider/Instructor file must contain a signed and completed GMC Attestation for all Lead, secondary and substitute instructors. Effective August 2010, GMC attestations will be replace with GMC Affidavits.</p>	<p>Updated license in file (12/06/11). G. Navarro is also the Director and all documents were placed in section with the form 10.</p>	<p>Finding Remains. Corrective Action Plan Noted.</p>

# 1ST QUARTER –SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1:</b> The referral is incomplete, missing hours for care or purpose for care, fee waiver information and beginning date of TCC period.</p> <p>J.Z. – (xxx-xx-0529)            A.G. – (xxx-xx-8394)            A.G. – (xxx-xx-7362)            A.M. – (xx-xxx-2077)            J. J. – (xx-xxx-8402)            D.G. – (xx-xxx-3549)</p>	<p><u>Accept:</u> Referral corrected  <u>Accept:</u> Hours of care updated  <u>Accept:</u> Referral corrected  <u>Accept:</u> Referral corrected  <u>Accept:</u> Referral corrected  <u>Accept:</u> Hours of care updated</p>	<p><b><u>Finding Remain:</u></b>            Corrective Action Plan Noted.</p>

# 1ST QUARTER- SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 2:</b> There was no documentation in file to establish residency.</p> <p>S. A. (xxx-xx-6469)</p>	<p><u>Accept:</u> Residency is updated in EFS</p>	<p><u>Finding Remain:</u> Corrective Action Plan Noted.</p>

# 1ST QUARTER -SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 3:</b> The referral approving TCC (for period 7/16/10 to 1/16/11) was not properly completed (TCC beginning and ending date was not properly documented). The dates for the period was documented as 07/2009 to 06/2011 instead of 7/01/2009 to 06/30/2011. In addition, the care authorization period documented the complete TCC period instead of the six months initial period.</p> <p>T. P. (xxx-xx-5399)</p>	<p><b>Reject:</b> DCF Policy is to issue a one time 2 year referral for TCC clients.</p>	<p><b>Finding Remains.</b> Billing code requires 6 months re-certification.</p>

# 1ST QUARTER - SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 4:</b> The EFS application period (8/12/10 to 02/12/11) does not agree to referral period (08/12/10 to 02/03/2011)</p> <p>J. J. - (xxx-xx-8402)</p>	<p><u>Accept:</u> Authorization period corrected by DCF</p>	<p><u>Findings Remain:</u> Corrective Action Plan Noted.</p>

# 1ST QUARTER - SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 5:</b> The Right and Responsibility Form for fees was incomplete or not properly completed (documented incorrect child name and/or, type of care and/or; FT/PT and/or; parent’s signature and/or type of care and/or; incorrect period etc.)</p> <p>P. T. – (xxx-xx-5399)            S. J. – (xxx-xx-0778)            J. J. – (xxx-xx8402)</p>	<p><i><u>Accept</u> Child name was corrected</i></p> <p><i>No Response</i></p> <p><i><u>Accept:</u> Date on Rights and Responsibility Form corrected</i></p>	<p><b><u>Findings Remain:</u></b>            Corrective Action Plan Noted.</p>

# 1ST QUARTER -SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 6:</b> Referral incomplete for period 4/1/10 to 9/15/10 (missing hours of care) and for period 9/9/10 to 10/9/10.</p> <p>N. G. (xxx-xx-4381)</p>	<p><u>Accept:</u> Hours of care updated.</p>	<p><u>Finding Remains:</u> Corrective Action Plan Noted.</p>

# 1ST QUARTER -SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 7:</b> The Rights and Responsibility Form was not signed.            W. G. (xxx-xx-7515)            L. C. (xx-xxx1524)</p>	<p><i><u>Accept:</u> Rights and Responsibilities Form is updated.</i></p>	<p><b><u>Finding Remains:</u></b>            Corrective Action Plan Noted.</p>
<p><b>Finding 8.</b> The income worksheet documented incorrect calculation for period 2/1/10 to 08/1/10. Note: The income verification on file was complete but indicated frequency of payment as “biweekly as a result the total income was documented incorrectly.            W. G. (xxx-xx-7515)</p>	<p><i><u>Accept:</u> Adjustment submitted</i></p>	<p><b><u>Finding Remains:</u></b>            Corrective Action Plan Noted.</p>

# 1ST QUARTER - SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 9:</b> Income worksheet documented fees; however, this clients was approved with waived fees for period 3/15/10 to 9/15/10</p>	<p><i><b>Accept:</b> Fee should have been waived, therefore an adjustment was submitted</i></p>	<p><b>Finding Remains:</b> Corrective Action Plan Noted.</p>
<p>A. G. (xxx-xx-08394)</p> <p><b>Finding 10.</b> The forms (Rights and Responsibility for Service Form: Statement of Marital Status: Terms and Conditions) on file were not legible for period (9/210/3/2/11).</p> <p>A. M. (xxx-xx-2077)</p>	<p><i><b>Accept:</b> Referring Agency provided legible forms.</i></p>	<p><b>Finding Remains:</b> Corrective Action Plan Noted.</p>

# 1ST QUARTER - SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 11:</b> The manual application is incomplete (missing hours of care or purpose of care; fee waiver information ; beginning date of TCC period).</p> <p>E. M. (xxx-xx-6366)            A. T. (xxx-xx-3837)            A. D. (xxx-xx-1026).            J. P. (xxx-xx-9346)            A. V.(xxx-xx-4711)            F. A. (xxx-xx-6495)            L. C. (xxx-xx-1524)            M. D. (xxx-xx-2192)</p>	<p><i><u>Accept:</u> Hours/purpose of care corrected</i>  <i><u>Accept:</u> Hours/purpose of care corrected</i>  <i>No response</i>  <i><u>Accept:</u> Hours/purpose of care corrected</i>  <i><u>Accept:</u> Hours/purpose of care corrected</i>  <i><u>Accept:</u> Application is completed</i>  <i><u>Accept:</u> Hours/purpose of care corrected</i>  <i><u>Accept:</u> Clerical error was corrected.</i></p>	<p><b><u>Findings Remain:</u></b>            Corrective Action Plan noted:</p>

# 1ST QUARTER -SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 12:</b> The EFS printout did not document purpose of care. Additionally, it was not signed; however, this is a mail in application. The manual application on file had the purpose of care and it was signed.</p> <p>L. C. (xxx-xx-1524)</p>	<p><u>Accept:</u> Application is corrected</p>	<p><u>Finding Remains:</u> Corrective Action Plan Noted.</p>

# 1ST QUARTER - VPK Match/Payments – Miami-Dade

Findings	
<ul style="list-style-type: none"><li>▪ No findings</li></ul>	

# 1ST QUARTER -SCHOOL READINESS MATCH PAYMENTS

## MIAMI -DADE COUNTY

Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1:</b> Forms appear to be prefilled.</p> <p>A. G. - (xxx-xx-8394)</p> <p>A. R. - (xxx-xx2168)</p> <p>K. C. - (xxx-xx-9886)</p> <p>J. T. - (xxx-xx-2576)</p> <p>A. De L. - (xxx-xx-1026)</p> <p>N. G. - (xxx-xx-4381)</p> <p>J. P. - (xxx-xx-9346)</p> <p>W. G. - (xxx-xx7515)</p> <p>B. B. - (xxx-xx-7408)</p> <p>A.B. - (xxx-xx-1848)</p> <p>G. L. - (xxx-xx-6296)</p> <p>C. L.-D. (xxx-xx-7980)</p> <p>M. P. - (xxx-xx-5743)</p>	<p>As per established policy and procedures, the Provider Payments Division processes reimbursement for the Early Care and Education Providers with the Provider Attendance Roster. Providers only submit the Parental Signature sheets to the Central Agency or the Coalition for auditing purposes. Alleged fraudulent forms will be submitted to the Quality Assurance Section for further investigation.</p>	<p><b><u>Finding Remain:</u></b> Corrective Action Plan Noted.</p>

# 1ST QUARTER – SCHOOL READINESS-VPK

## *Non-Direct Admin*



	Findings
Non-Direct Administrative Expenses (SR/VPK).	No Findings.

# 1ST QUARTER – NON-QUALITY COUNTS

## *INCLUSION AND CHILD SCREENING AND ASSESSMENT*



	Findings
INCLUSION	NO FINDINGS.
CHILD SCREENING AND ASSESSMENT	NO FINDINGS.

# 1ST QUARTER -QUALITY COUNTS

## CHILDREN'S FORUM, UNITED WAY, FIU QRIS, FIU DATA MANAGEMENT, DEVEREUX, AND UNIVERSITY OF MIAMI.



	Findings
CHILDREN'S FORUM UNITED WAY F. I. U. (QRIS) F. I. U. (DATA MANAGEMENT) DEVEREUX UNIVERSITY OF MIAMI	NO FINDINGS

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# 2<sup>ND</sup> QUARTER

(OCT 2010 TO DEC 2010)

## 2ND QUARTER - VPK ELIGIBILITY MIAMI-DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1:</b> There was no supervisor or reviewer sign-off evidencing verification of information/documentation. The application is not signed documenting the verification of received information and supervisory review. However, a checklist created by CDS is usually on file. The checklist evidences the verification of documentation and information submitted and documents supervisory signature. The form was not on file.</p>	<p><u>Accept:</u> File monitoring has occurred.</p>	<p><u>Finding Remains:</u> Corrective Action Plan noted.</p>

## 2ND QUARTER - VPK ELIGIBILITY MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1 (Cont'd):</b>            J. T. – (xxx-xx-9347)            M., L. – (xxx-xx-9706)            L. T. – (xxx-xx-7505)            S. T. – (xxx-xx-2322)            DeV., J. – (xxx-xx-8791)            R. J. – (xxx-xx4587)            M. A. – (xxx-xx-2407)            B. N. – (xxx-xx-8257)            E. M. – (xxx-xx-1156)            S. L. – (xxx-xx-9349)            G., G. – (xxx-xx-1299)            F. J. – (xxx-xx-8520)            S. A. – (xxx-xx-6604)            A. Y. – (xxx-xx-1179)</p>	<p><b><u>Accept:</u></b> File monitoring has occurred.</p>	<p><b><u>Finding Remains:</u></b>            Corrective Action Plan noted.</p>

## 2ND QUARTER - VPK ELIGIBILITY MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1 (Cont'd):</b>            C. G. - (xxx-xx-6381)            A. D.- (xxx-xx-5616)            D. B.- (xxx-xx-1725)            A. J. - (xxx-xx-0717)            A. N. - (xxx-xx-8351)            D. A. - (xxx-xx-9217)</p>	<p><b>Accept:</b> File monitoring has occurred.</p>	<p><b>Finding Remains:</b>            Corrective Action Plan noted.</p>

## 2ND QUARTER - VPK ELIGIBILITY MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 2:</b> Application was incomplete (6) Missing Date of Birth (7) Missing Gender. Note: the referenced number above corresponds to the number of the question in the VPK Child application.</p> <p>R. J. - (xxx-xx-4587) A. J. D - (xxx-xx-1179)</p> <p><b>Finding 3:</b> The Delayed enrollment application (AWI-VPK0f4) was not completed. Note: Late enrollment was verified on EFS.</p> <p>F. A. - (xxx-xx-9042) A. J. - (xxx-xx-0717)</p>	<p><b>Accept:</b> File monitoring has occurred.</p> <p><b>Accept:</b> A delayed enrollment with remaining VPK hours has been completed. File monitoring has occurred.</p>	<p><b>Finding Remains:</b> Corrective Action Plan noted.</p> <p><b>Finding Remains:</b> Corrective Action Plan noted.</p>

## 2ND QUARTER - VPK ELIGIBILITY MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 4:</b> The Certificate of Eligibility is incomplete. Parent did not document date next to the signature (left date box blank).</p>	<p><u>Accept:</u> Date is now documented.</p>	<p><u>Finding Remains:</u> Corrective Action Plan noted.</p>
<p>DeV. J. - (xxx-xx-8791)</p> <p><b>Finding 5:</b> Proof of Residence not on file</p> <p>R. J. - (xxx-xx-4587)</p>	<p><u>Accept:</u> Proof of Residence now on file.</p>	<p><u>Finding Remains:</u> Corrective Action Plan noted</p>

## 2ND QUARTER - VPK ELIGIBILITY (PROVIDER FILES – ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Finding 1:</b> The provider agreement (AWI-VPK20) kept on file was not properly completed (missing “Date” Director executed the agreement)</p> <p>Provider: T. G. M. FCCH</p> <p><b><u>Non compliance with:</u></b> AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK Provider criteria (VPK P-B). Before delivering instruction or receiving payment for the VPK program, a VPK provider must submit a completed and signed FORM AWI-VPK 20 (Statewide Provider Agreement)</p>	<p><b><u>Accept:</u></b> Will work to assure dates are listed, but it is the final date when VPK Director signs contract that is relevant.</p>	<p><b><u>Finding Remains:</u></b> Corrective Action Plan noted.</p>

## 2ND QUARTER - VPK ELIGIBILITY (PROVIDER FILES – ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 2.</b> The Lead Instructor’s screenings are expired. Local Screening is dated 12/29/05, FDLE screening is dated 12/27/05, and FBI screening is dated 1/17/06.</p> <p>Lead Instructor: D. F.            Provider: H. B. Corp .</p> <p><b><u>Non compliance with:</u></b></p> <p>AWI Office of Early Learning VPK Standard Eligibility Review Program Guide (VPK-B.2) Provider/Instructor file must contain a signed and completed GMC Attestation for all Lead, secondary and substitute instructors. Effective August 2010, GMC attestations will be replace with GMC Affidavits.</p>	<p><b><u>Accept:</u></b> The provider has removed the staff and replaced with teacher meeting the requirements.</p>	<p><b><u>Finding Remains:</u></b> Corrective Action Plan noted.</p>

## 2ND QUARTER - VPK ELIGIBILITY (PROVIDER FILES - ELC)

Detail Findings	Corrective Action Required	Coalition Response
<p><b>Findings 3.</b> The Good Moral Affidavit on file did not have second page for Lead instructor. The good moral affidavit must have all three pages to be acceptable or incomplete (missing county)</p> <p>1. Lead Instructor: M. De M. Provider: G. S. K. A., Inc.</p> <p>2. Provider: B. E. C. C.</p>	<p><b>Accept:</b> Missing page have been included. Information relating to county not deemed necessary to determine eligibility.</p>	<p><b>Finding Remains:</b> Corrective Action Plan noted.</p>

2ND QUARTER - VPK MATCH/PAYMENTS  
MIAMI-DADE COUNTY

Findings	
<ul style="list-style-type: none"><li>▪ No findings</li></ul>	

# 2ND QUARTER -SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1:</b> The referral is incomplete, missing hours for care or purpose for care, fee waiver information and beginning date of TCC period..</p> <p>J. Z. - (xxx-xx-0529)            A. G. - (xxx-xx-8394)            A. G. -(xxx-xx-7362)            A. M. - (xx-xxx-2077)            J. J. -( xx-xxx-8402)            D. G. - (xx-xxx-3549)</p>	<p><u><b>Accept:</b></u> Referral corrected  <u><b>Accept:</b></u> Hours of care updated  <u><b>Accept:</b></u> Referral corrected  <u><b>Accept:</b></u> Referral corrected  <u><b>Accept:</b></u> Referral corrected  <u><b>Accept:</b></u> Hours of care updated</p>	<p><u><b>Findings Remain:</b></u>            Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1 (Cont'd):</b> The referral is incomplete, missing hours for care or purpose for care, fee waiver information and beginning date of TCC period..</p> <p>M. S. R -(xx-xxx-6721)            W. R. -(xx-xxx-9765)            N. K. -(xx-xxx-2000)            R-S. T.-(xx-xxx-9148)            K. T. - (xx-xxx-4949)</p>	<p><u>Accept:</u> Purpose of care updated  <u>Accept:</u>  <u>Accept:</u>  <u>Accept:</u> Referral corrected  <u>Accept:</u> Purpose of care updated  <u>Accept:</u></p>	<p><b><u>Findings Remain:</u></b>            Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 2:</b> Birth date input incorrectly on EFS</p> <p>F. S. D. (xxx-xx-5731)</p>	<p><u>Accept:</u> DOB corrected.</p>	<p><u>Findings Remain:</u> Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 3:</b> Family Size was incorrect. S. J. (xxx-xx-8081)</p>	<p>- <u>Accept:</u> Family Size corrected</p>	<p><u><b>Findings Remain:</b></u> Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 4:</b> EFS documented incorrect information (period; and/or total income; and/or fee assessed information; and/or “other income sources”/total income etc.</p> <p>R. A. - (xxx-xx-6231)</p> <p>B. J. - (xxx-xx-3254)</p>	<p><u>Accept:</u> Authorization/income information corrected.</p>	<p><u>Findings Remain:</u> Corrective Action Plan Noted.</p>

# 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

## MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 5:</b> The income worksheet was incomplete (did not document food stamp information) or incorrect (documented incorrect family size)</p> <p>W. L. - (xxx-xx-9003)            C. Y. - (xxx-xx-4329)            S., J. - (xxx-xx1049)            T. K. - (xxx-xx5256)            R. A. - (xxx-xx6231)            R.R. J - (xxx-xx6095)            N. K. - (xxx-xx2000)            E. G. - (xxx-xx3167)            R. H. - (xxx-xx1799)            C. R. - (xxx-xx4930)</p>	<p><u><i>Accept:</i></u> <i>Information corrected/updated</i></p>	<p><u><b>Findings Remain:</b></u>            Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 6:</b> Manual application deemed incomplete (missing address) or incorrect (purpose for care did not agree to referral information)</p> <p>G. J. M -(xxx-xx-1724)            K. T. -(xxx-xx-4949)            C. R. -(xxx-xx-4990)</p>	<p><u>Accept:</u> information corrected/updated</p>	<p><u>Finding Remains:</u> Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 7:</b> Rights and Responsibility for fees incorrect (date/fees documented incorrectly)</p> <p>G. J. - (xxx-xx-1724)            W. L. - (xxx-xx-9003)            C. Y. - (xxx-xx-4329)            S. J. - (xxx-xx4751)            R., R. J - (xxx-xx6095)            N. K. - (xxx-xx2000)            R. H. - (xxx-xx1799)</p>	<p><b><u>Accept:</u></b> information corrected/updated</p>	<p><b><u>Finding Remains:</u></b>            Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 8:</b> EFS application printout incomplete (missing question Q) or incorrect (authorization period not in agreement with manual application or documented incorrect beginning eligibility period date or billing code not in agreement with referral or did not document FT fees).</p> <p>W. L. (xxx-xx-9003)            R. L. (xx-xxx0932)            V. R. (xx-xxx2259)            S. J. (xx-xxx4751)</p>	<p><i><u>Accept:</u> information corrected/updated</i></p>	<p><b><u>Finding Remains:</u></b>            Corrective Action Plan Noted.</p>
<p><b>Finding 9.</b> Terms and conditions form documented incomplete date or not dated. “</p> <p>C. Y. L (xxx-xx-4329)</p>	<p><i><u>Accept:</u> Terms and conditions corrected.</i></p>	<p><b><u>Finding Remains:</u></b>            Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 10:</b> Income calculation could not be determined (no employment verification or stubs on file) or calculation deemed incorrect.</p> <p>R-S. T. (xxx-xx-9148)</p>	<p><i><u>Accept:</u> Employment verification is now included in the file.</i></p>	<p><b><u>Finding Remains:</u></b> Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 11:</b> The income worksheet was incorrect. It included the food stamps amount as part of the calculation for period 9/29/10 to 1/23/11. As a result the total income was incorrectly stated as 24,379 with fees of FT \$3.20/PT 1.60 instead of total income of \$16,363, with fees of FT \$1.60/PT \$.80.</p> <p>A. L. (xxx-xx-8128)</p>	<p><i>Accept: Total income is now updated to reflect 16,363.00</i></p>	<p><b>Findings Remain:</b> Corrective Action Plan noted:</p>

## 2ND QUARTER - SCHOOL READINESS ELIGIBILITY

### MIAMI DADE COUNTY

Detail Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 12:</b> The EFS printout did not document purpose of care. Additionally, it was not signed; however, this is a mail in application. The manual application on file had the purpose of care and it was signed.</p> <p>L. C. (xxx-xx-1524)</p>	<p><u><b>Accept:</b></u> Application is corrected</p>	<p><u><b>Finding Remains:</b></u> Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS MATCH PAYMENTS MIAMI DADE COUNTY

Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>Finding 1:</b> Sign in/out forms obtained from providers appear to be prefilled.</p> <p>N. A. - (xxx-xx-2124) D. E. - (xxx-xx1948) C. S. - (xxx-xx-2713)</p>	<p>The Provider Payments Divison only uses the Provider Attendance Roster to calculate the child care reimbursement for the Early Care and Education Providers. As of July 1, 2011, the Early Learning Coalition will provide guidance as to how to address the mentioned discrepancies.</p>	<p><b><u>Finding Remain:</u></b> Corrective Action Plan Noted.</p>

## 2ND QUARTER - SCHOOL READINESS MATCH PAYMENTS MIAMI DADE COUNTY

Findings	Miami Date County Corrective Action Response	ELC Final Response
<p><b>TAPP:</b> <b>Finding 1:</b> Sign in/out forms obtained from providers appear to be prefilled.</p> <p>C. E. - (xxx-xx-2873) M. M.- (xxx-xx5690)</p> <p><b>Finding 2:</b> Sign in/out form requested from provider was not submitted.</p> <p>G. A. - (xxx-xx-0757)</p>	<p>The Provider Payments Division only uses the Provider Attendance Roster to calculate the child care reimbursement for the Early Care and Education Providers. As of July 1, 2011, the Early Learning Coalition will provide guidance as to how to address the mentioned discrepancies.</p> <p>Payments/adjustments were correctly processed according to policy and procedures.</p>	<p><b><u>Finding Remain:</u></b> Corrective Action Plan Noted.</p> <p><b><u>Finding Remain:</u></b> Corrective Action Plan Noted.</p>

**2<sup>ND</sup> QUARTER – NON-DIRECT ADMIN  
SCHOOL READINESS-VPK  
MIAMI-DADE COUNTY**



	<b>Findings</b>
<b>Non-Direct Administrative Expenses (SR/VPK).</b>	No Findings.

# 2<sup>ND</sup> QUARTER – NON-QUALITY COUNTS

## *INCLUSION AND CHILD SCREENING AND ASSESSMENT*



Findings	Action Plan
<p><b><u>INCLUSION</u></b></p> <p><b>Finding 1:</b></p> <p>The pending adjustment (\$7,696.00) corresponding to the reclassification from Child Screening to Inclusion Services for the sub-contract payment made to Citrus Health during August 2010. The pending adjustment was to be reflected in the general ledger during November 2010 due to the allocation changes starting in July 2010. Per inquiry with D. D., this journal entry was submitted for posting on February 28, 2011. This adjustment posted to the GL on 4/1/11. This adjustment is not deemed timely.</p>	<p>Adjusted posted to the GL on 4/1/11. No response received.</p>

# 2<sup>ND</sup> QUARTER – NON-QUALITY COUNTS

## *INCLUSION AND CHILD SCREENING AND ASSESSMENT*



Findings	Action Plan
<p><b><u>CHILD SCREENING</u></b></p> <p><b>Finding 1:</b></p> <p>A Federal Payroll Certification is on file; however it was noted that it documented the Grant name as</p> <p>Inclusion and Assessment Services. The Federal Payroll Certification should document the name of the grant for which employee is certifying the time is spent (i.e., the grant for which is being indicated that 100% of the time is being spent in performance of the grant functions) .</p>	<p>The Payroll Certification has been re-titled.</p>

# 2<sup>ND</sup> QUARTER -QUALITY COUNTS

## CHILDREN'S FORUM, UNITED WAY, FIU QRIS, FIU DATA MANAGEMENT, DEVEREUX, AND UNIVERSITY OF MIAMI.



	Findings
CHILDREN'S FORUM UNITED WAY F. I. U. (QRIS) F. I. U. (DATA MANAGEMENT) DEVEREUX UNIVERSITY OF MIAMI	NO FINDINGS

# WESLEY HOUSE

## 1<sup>ST</sup> VISIT

4<sup>TH</sup> QUARTER (2009-2010)

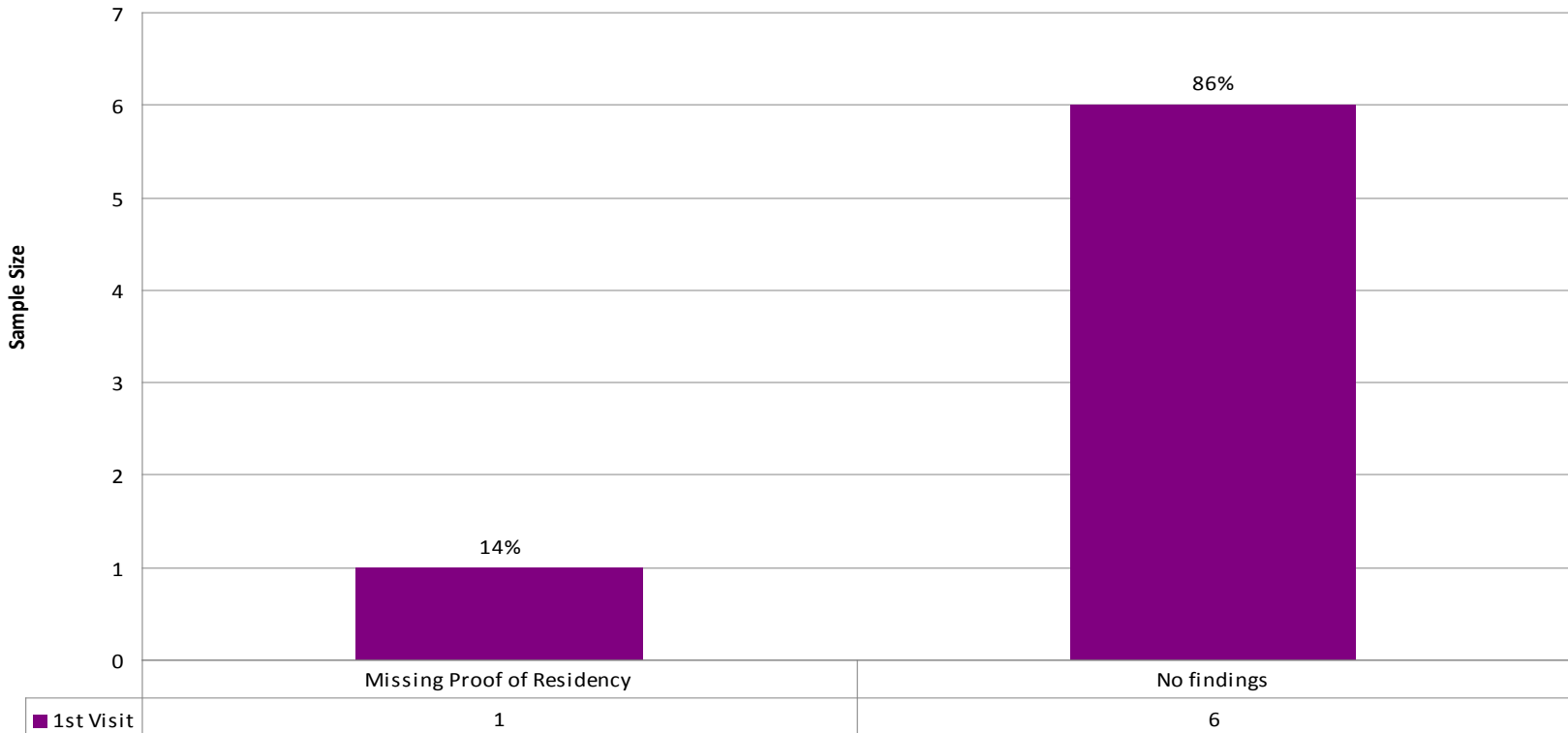
1<sup>ST</sup> QUARTER (2010-2011)

2<sup>ND</sup> QUARTER (2010-2011)

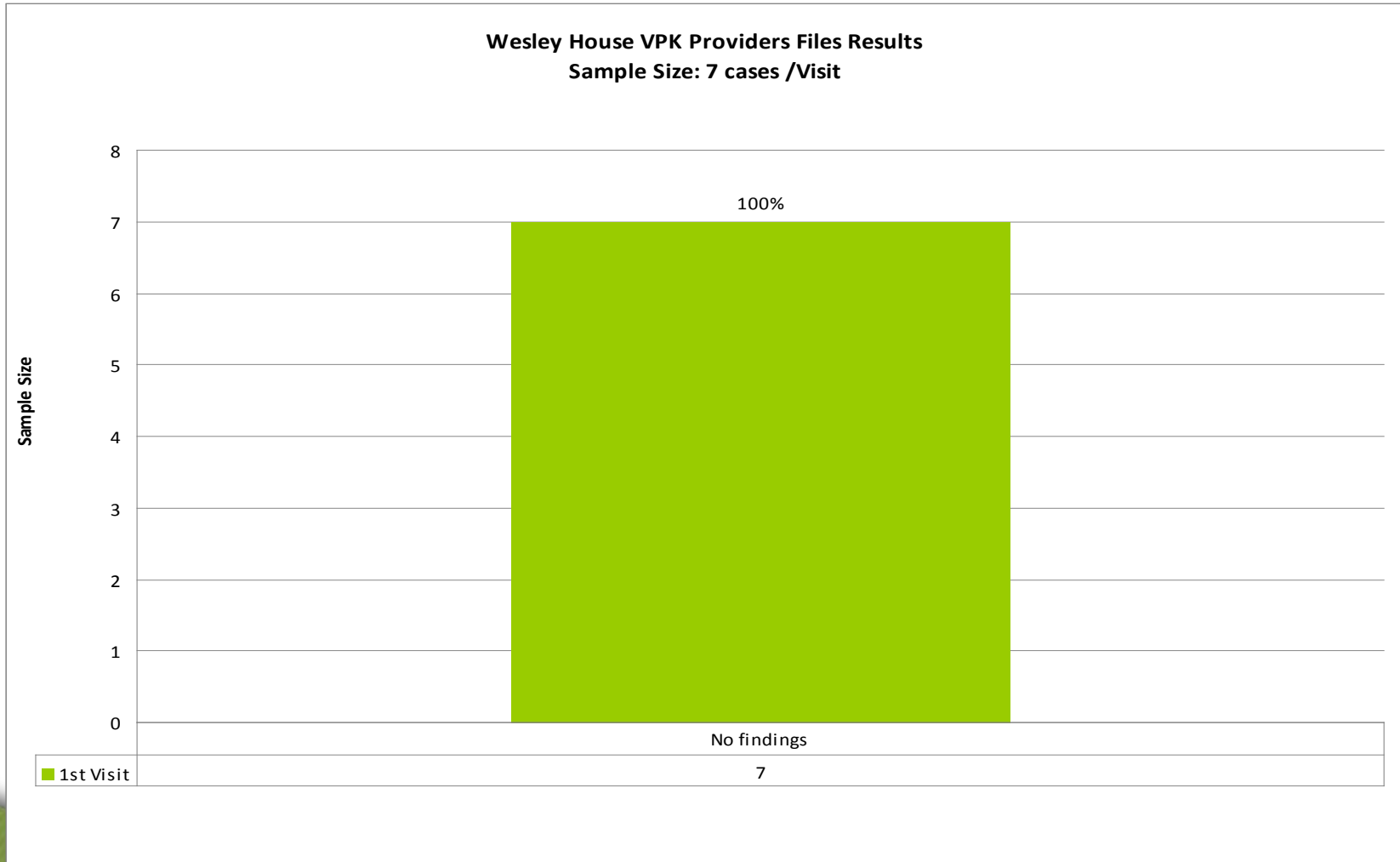
Findings	Action Plan
<p><i>.Finding 1: EFS information did not agree to utility bill used as Proof of Residency.</i></p> <p>G. O. (xxx-xx-4178)</p>	<p>A new current utility bill has been provided along with the application and a screen shot from EFS. All documentation is current and matches.</p>

# WESLEY HOUSE VPK CHILD FILES

Wesley House VPK Child Files Results  
Sample Size: 7 cases /Visit



# WESLEY HOUSE VPK PROVIDER'S FILES



Findings	Action Plan
<p><b><i>Finding 1:</i></b> <i>The parent fee information form documented incorrect period.</i></p> <p>O. V. (xxx-xxx-2187)</p>	<p>Additional file reviews and eligibility staff training will be done to ensure that files are accurate and complete.</p>
<p><b><i>Finding 2:</i></b> <i>Referral was incorrect or incomplete (i.e. documented incorrect period: missing purpose of care; hours)</i></p> <p>Y. G. (xxx-xx-2108) C. E. (xxx-xx-0860) J. V-C. (xxx-xx-6426) D. G. (xxx-xx-9361)</p>	<p>We have begun to provide training for CBC staff on completing the referral form and have met with the Department Director and Case Manager Supervisor and will continue to provide orientation and training to new staff on completing referrals.</p>

Findings	Action Plan
<p><b>Finding 3:</b> Proof of residency not on file Y. V. (xxx-xx-9426)</p> <p><b>Finding 4:</b> Child's name documented incorrectly on EFS as Y....e instead of Ya...e as per birth certificate Y. G. (xxx-xx-2108)</p> <p><b>Finding 5:</b> This child was approved from 9/8/09 to 3/8/10. Per referral on file, the new period was approved from 12/16/09 to 6/16/10; however, it was documented incorrectly on EFS as 12/16/09 to 8/17/10. Y. G. (xxx-xx-2108)</p>	<p>In the future, we will insure residential information is correct, current and matches the application.</p> <p>Eligibility Staff will receive training to insure data entry is correct, followed up with more file review</p>

Findings	Action Plan
<p><b>Finding 6:</b> EFS case notes deemed deficient.</p> <p>Y. G. (xxx-xx-2108) R. B-W. (xxx-xx-7758) Y. V., (xxx-xx-9426) Y. B. (xxx-xx-0573) M. S. (xxx-xx-3124) A., R. (xxx-xx-3989) S. Z. (xxx-xx-2333) J. J. J. (xxx-xx-6440) D. R. (xxx-xx-6905) C. M. E. (xxx-xx-0860) J. V-C. (xxx-xx-6426) O. G V. (xxx-xx-2187) T. J. (xxx-xx-4730) D. G. (xxx-xx-9361)</p>	<p>Eligibility staff have been provided training in case notes and they are being provided in the files as well as EFS history screens.</p>

## School Readiness - Eligibility

Findings	Recommendations
<p><b>Finding 7:</b> Food stamps amount was not documented on income worksheet</p> <p>J. J. J. (xxx-xx-6440) J. V-C. (xxx-xx-6426)</p>	<p>We interpreted “All earned and unearned income, for all members of the family unit, unless excludable shall be documented” to mean that food stamps are excluded because it is not considered with earned income in the family’s gross income. This is from the Draft School Readiness Standard Eligibility Review Guide page 29 of 77, 3. Since this finding, we now document food stamps on the income worksheet with an “N” to not include in income.</p>
<p><b>Finding 8:</b> The Parent fee agreement did not document correct period (8/30/10 – 11/2/10) instead of 8/9/10 to 11/2/2010 as EFS printout application</p> <p>J. J. J. (xxx-xx-6440)</p>	<p>Eligibility Staff will receive training to insure data entry is correct, followed up with more file review.</p>

# Wesley House

## School Readiness - Eligibility

Findings	Action Plan
<p><b>Finding 9:</b> The EFS application printout was not properly completed as there was only one child listed instead of the two approved on the referral for period: 7/07/10 to 1/7/11.</p> <p>D. R. (xxx-xx-6905)</p> <p><b>Finding 10:</b> Family size documented incorrectly on income worksheet.</p> <p>D. R. (xxx-xx-6905)</p>	<p>We will ensure that applicable children will be listed, reflecting the current eligibility date. Training will be provided to eligibility Staff.</p> <p>Eligibility Staff will receive training to insure data entry is correct, followed up with more file review</p>

# Wesley House

## School Readiness - Eligibility

Findings	Action Plan
<p><b>Finding 11:</b> The child received services 10/02/10 to 10/31/10; however, the referral approval period was 4/1/10 to 10/01/10. The EFS period was input as 04/01/10 to 11/1/10) C.E. (xxx-xx-0860)</p> <p><b>Finding 12:</b> Billing code of BG5-23B (TCC) not supported by referral. The referral did not document TCC approved period information only eligibility period. C. E. (xxx-xx-0860)</p>	<p>We have begun to provide training for CBC staff on completing the referral form and have met with the Department Director and Case Manager Supervisor and will continue to provide orientation and training to new staff on completing referrals.</p>

# Wesley House

## School Readiness - Eligibility

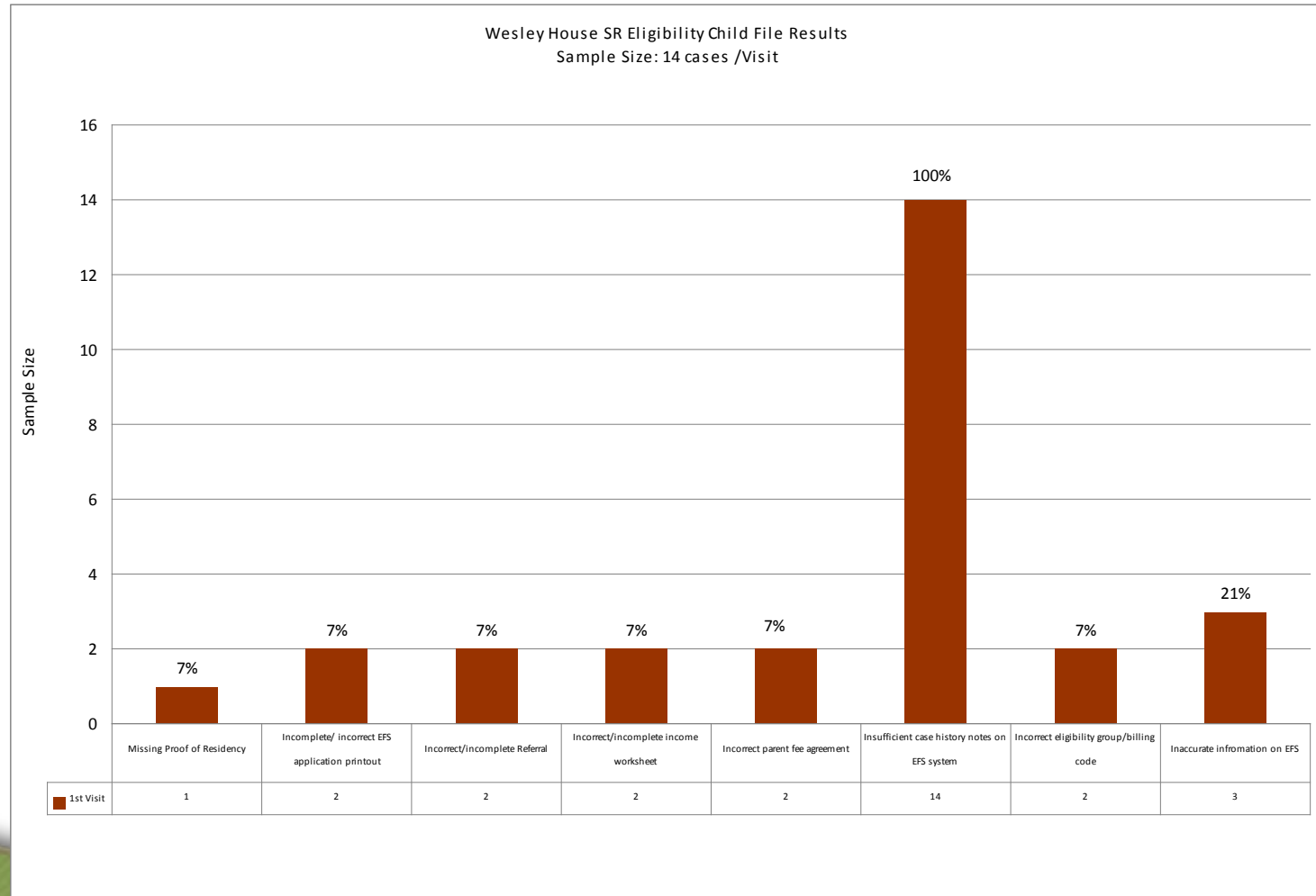
Findings	Action Plan
<p><b>Finding 13:</b> The TCC period was incorrectly documented on initial authorization referral (11/01/10 to 4/30/11) J. V-C. (xxx-xx-6426)</p>	<p>We have begun to provide training for CBC staff on completing the referral form and have met with the Department Director and Case Manager Supervisor and will continue to provide orientation and training to new staff on completing referrals.</p>
<p><b>Finding 14:</b> The billing code/eligibility group is not correct; if TCC, it should be BG5-23B and not BG3-21. J. V-C. (xxx-xx-6426)</p>	
<p><b>Finding 15:</b> The birth date does not agree to birth certificate (entered incorrectly in EFS as 9/14/07 instead of 9/13/07). D. G. (xxx-xx-9361)</p>	

# Wesley House

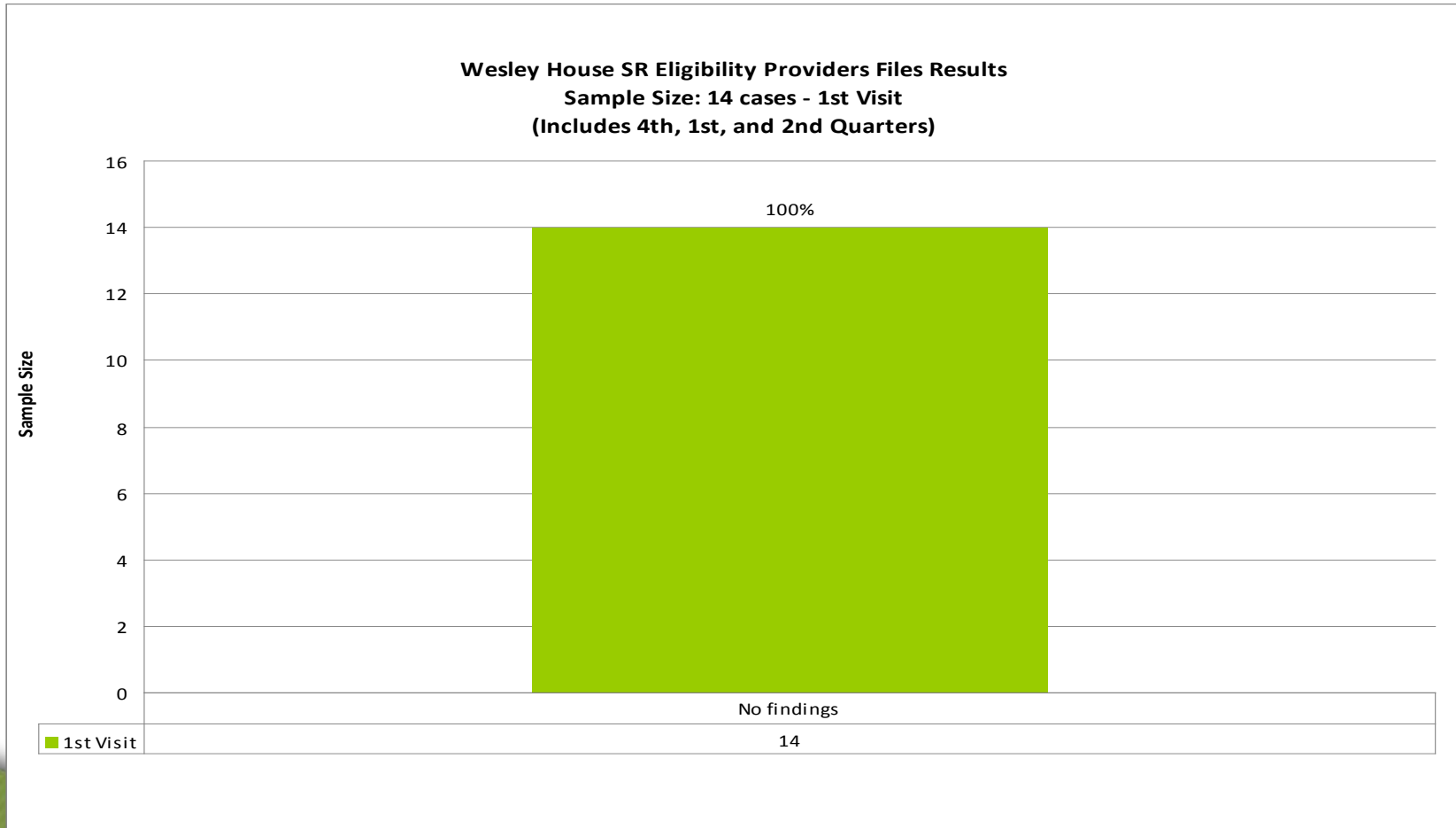
## *School Readiness - Eligibility*

Findings	Action Plan
<p><b>Finding 16:</b> The EFS application printout was not properly completed as the children's names were not indicated for period: 12/16/09 to 6/16/10. Y. G. (xxx-xx-2108)</p>	<p>Eligibility Staff will receive training to insure data entry is correct, followed up with more file review</p>

# WESLEY HOUSE SCHOOL READINESS CHILD FILES



# WESLEY HOUSE SCHOOL READINESS PROVIDER'S FILES



# Wesley House

## School Readiness - Payments

Findings	Action Plan
<p><b>Finding 1:</b> The Provider's attendance register is not accurate. It did not document absence for 4/19 and did not document excused sick absence on 4/23 as documented on Sign In/Out Sheet (marked as present) R. B-W. (xxx-xx-7758)</p> <p><b>Finding 2:</b> The Provider's attendance register was not accurate. The sign in/out sheet provided documented different information (18 days present, 2 days closed and 1 holiday) than the provider's disbursement roster (17 days present, 3 excused absences and 1 holiday) Y. V. (xxx-xx-9426)</p>	<p>We will provide training at the first quarterly provider meeting on the procedures and importance of sign in/out documentation. Additionally, we will continue our 10% audit of sign in/out sheets and perform spot checks during TA visits. We will provide TA to Providers upon request.</p>

# Wesley House

## School Readiness - Payments

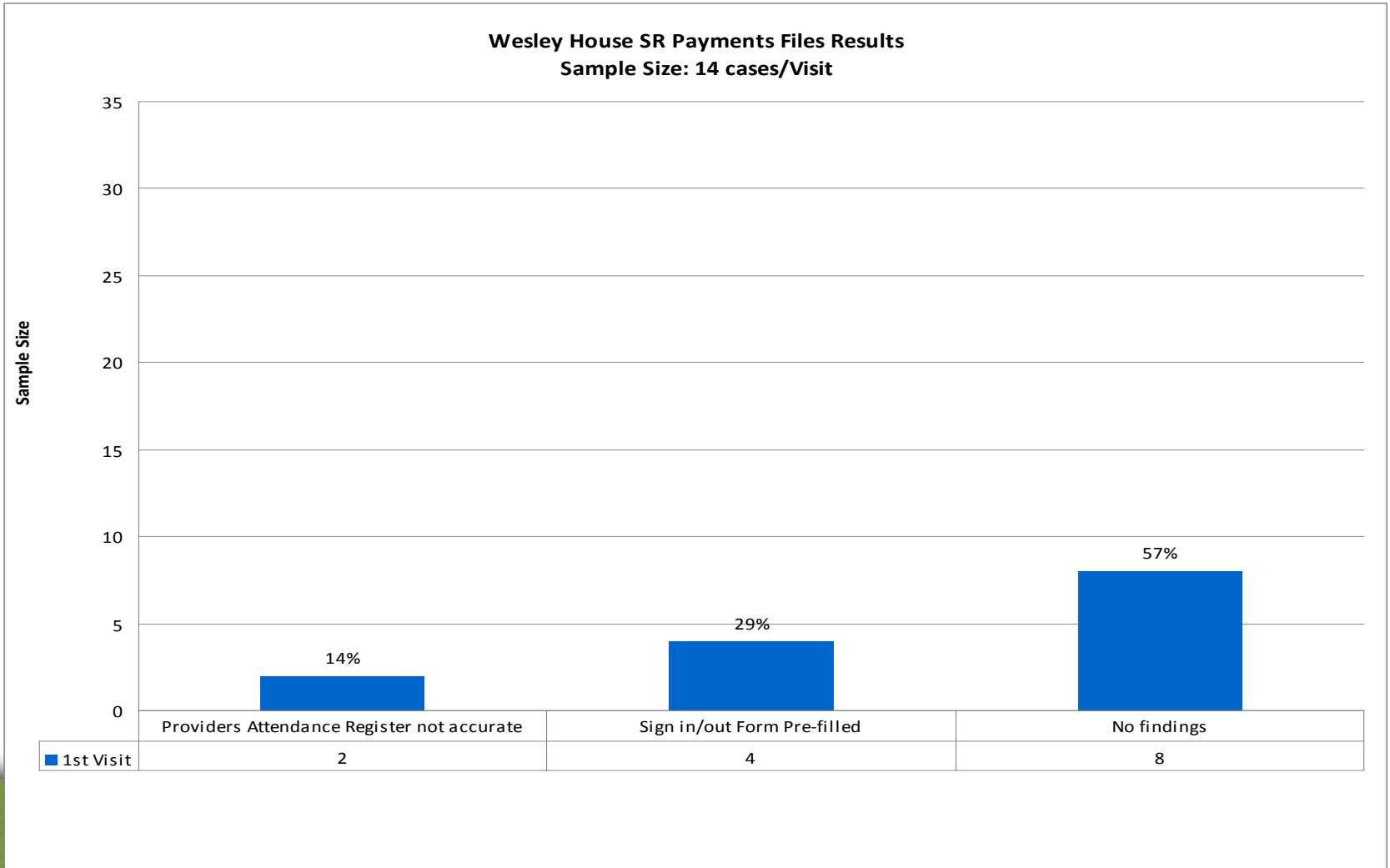
Findings	Action Plan
<p><b>Finding 3:</b> Sign In/Out sheet seems to be prefilled (did not record Fridays attendance and documented attendance on Sundays; additionally, it recorded attendance on a holiday. The information does not agree to the provider register. Payment was made in accordance with provider register M. S. (xxx-xx-3124)</p> <p><b>Finding 4:</b> Sign In-Out sheet was prefilled. The absences bear time in/out and signatures from parent, then the absences was written over the time in/out signature space D. R. (xxx-xx-6905)</p> <p><b>Finding 5:</b> Sign In/Out prefilled (same time in or out and signature C. E. (xxx-xx-0860)</p>	<p>We will provide training at the first quarterly provider meeting on the procedures and importance of sign in/out documentation. Additionally, we will continue our 10% audit of sign in/out sheets and perform spot checks during TA visits. We will provide TA to Providers upon request</p>

# Wesley House

## *School Readiness - Payments*

Findings	Action Plan
<p><b>Finding 6:</b> Sign In/Out sheet prefilled. (same time in and out and signature). Additionally, the provider claimed days that the school was closed per the sign in/out sheet.</p> <p>T. J. (xxx-xx-4730)</p>	<p>We will provide training at the first quarterly provider meeting on the procedures and importance of sign in/out documentation.</p> <p>Additionally, we will continue our 10% audit of sign in/out sheets and perform spot checks during TA visits. We will provide TA to Providers upon request</p>

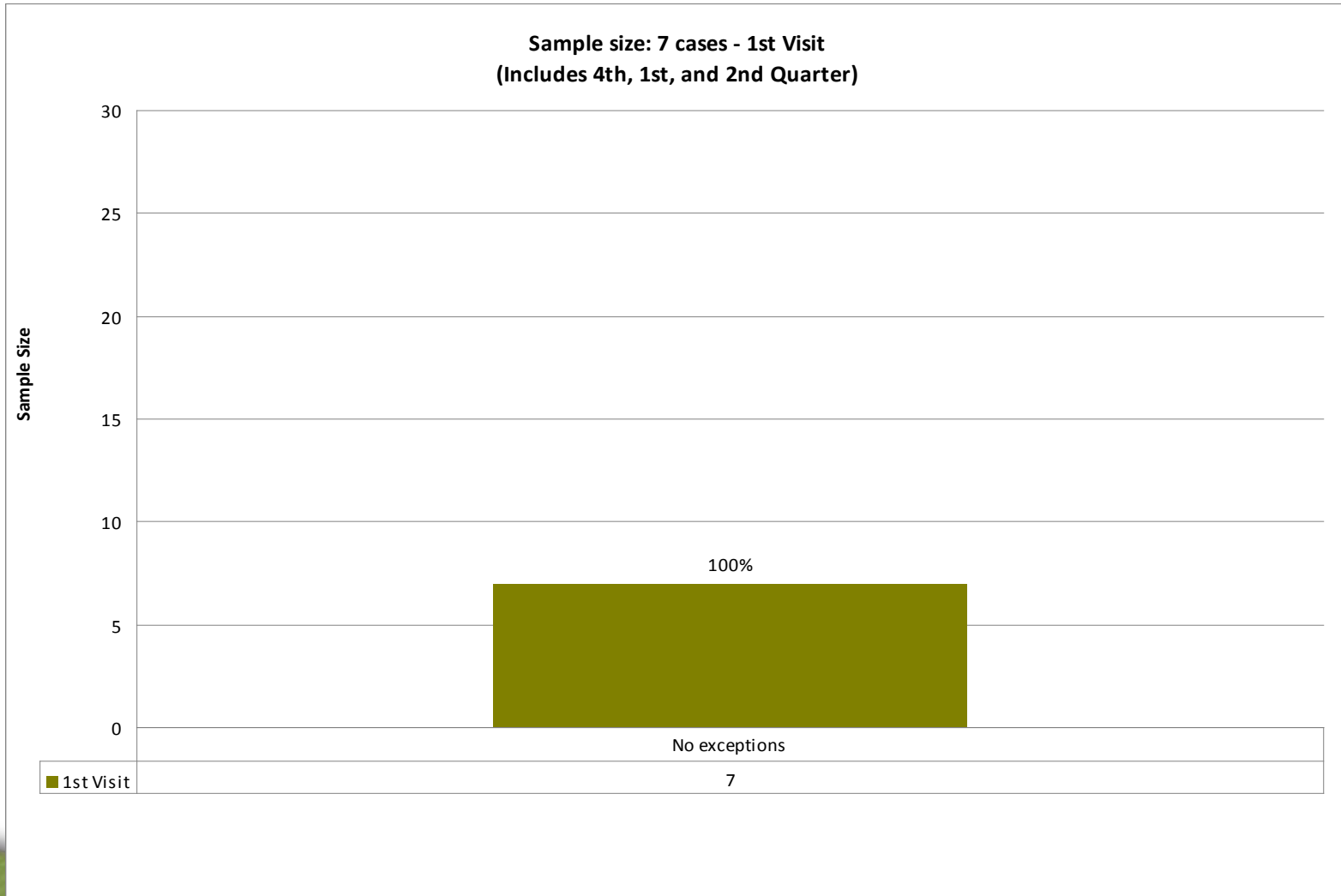
# WESLEY HOUSE SCHOOL READINESS PAYMENTS



# Wesley House VPK - Payments

Findings	Action Plan
No Findings	

# VPK PAYMENTS



<b>Findings</b>	<b>Action Plan</b>
<p><b>Finding 1:</b> <b>Adequate records not maintained to support the Cost Allocation plan specifically , the determination of allocated percentages that were based on yearly hours made by the previous Finance Director.</b></p>	<p>There is no corrective action plan required since a revised process is already in place.</p>

# Wesley House Resource and Referral



Findings	Action Plan
<p><b>Finding 1:</b> Training for new Specialists not performed within the timeline established by the CCR&amp;R guidelines (prior to 4<sup>th</sup> month of employment)</p> <p><b>Finding 2:</b> There was no evidence that staffing changes were reported within 30 days as required by the CCR&amp;R guidelines</p> <p><b>Finding 3:</b> The CCR&amp;R Provider Update form for 2010-2011 bear 2009-2010 date on the forms.</p> <p><b>Finding 4:</b> The information on the EFS was not consistent with the information documented on the Florida CCR&amp;R Provider Update Form for 2010-2011 for the following Providers: B. A., R. A., F. B., C. J. H., M. B. and S. C. S..</p>	<p>WH staff will ensure that eligibility staff work closely in training with their supervisor to meet their requirement in a timely manner.</p> <p>WH will ensure that all new staff receive training in a timely manner, adhering to the training schedule required by the contract and CCRR Requirement document.</p> <p>We will ensure that data entered in EFS matches the update forms.</p> <p>We will ensure that data entered in EFS matches the update forms.</p>

# Wesley House Resource and Referral

Findings	Action Plan
<p><b>Finding 5:</b> The annual update required by May 31, were not reflected on the Provider's History Screen as required by the CCR&amp;R guidelines.</p>	<p>We will ensure that data entered in EFS matches the update forms.</p>

# Wesley House

## Child Care Resource and Referral

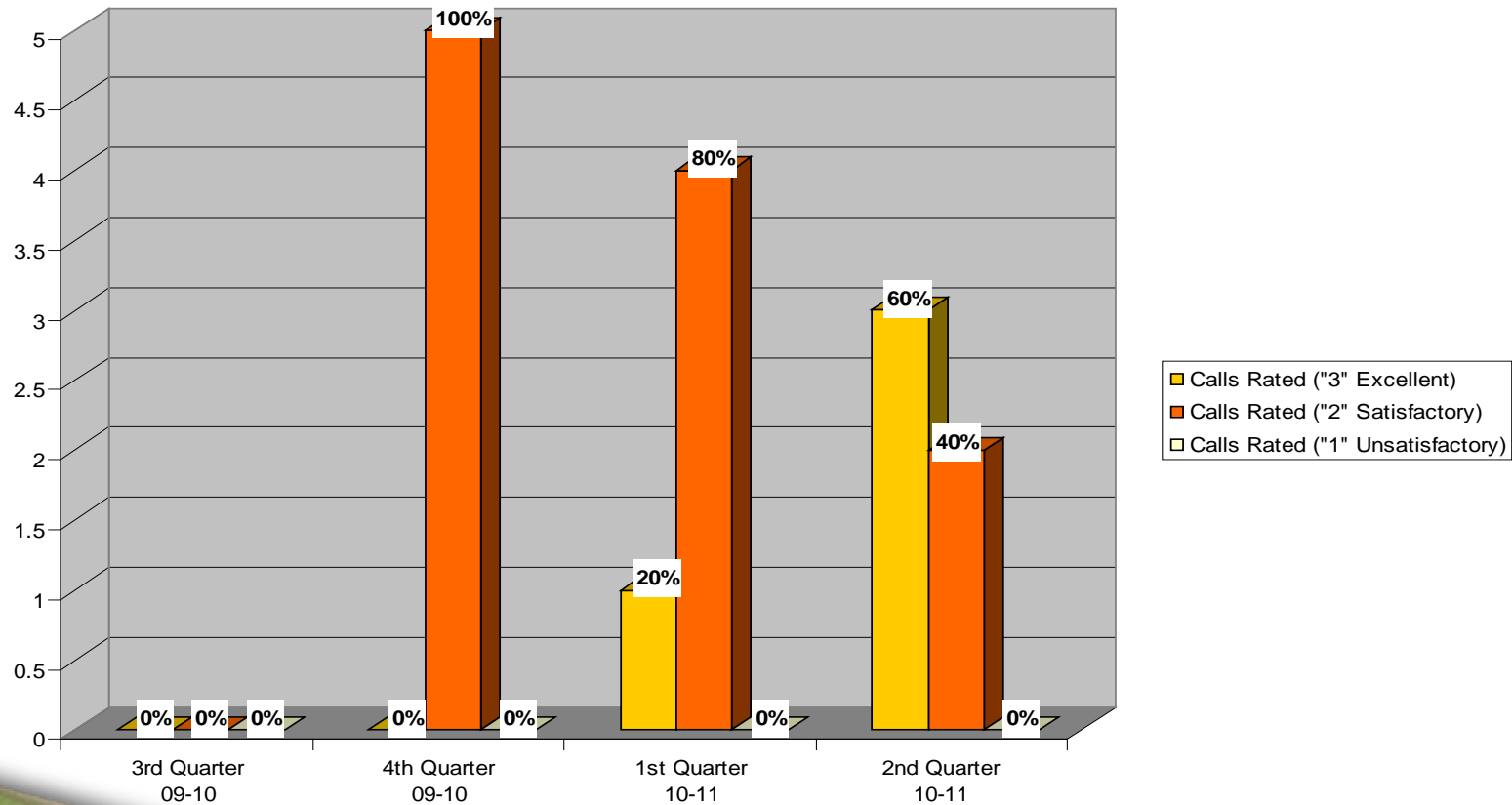
### SECRET SHOPPER CALLS



Findings	Action Plan
No Findings	

# WESLEY HOUSE CHILD CARE RESOURCE AND REFERRAL

TOTAL CALLS: 5 PER QUARTER



AUDIT WORK PERFORMED	STATUS
<p><u>Miami Dade</u></p> <ul style="list-style-type: none"> <li>▪ Eligibility (VPK/SR)</li> <li>▪ Payments</li> <li>▪ Non Direct Admin Expenses</li> <li>▪ Quality Counts</li> <li>▪ Non Quality Counts</li> <li>▪ Child Care Resource and Referral</li> </ul> <p><u>Wesley House</u></p> <p>Eligibility/Non Direct Admin/Payments</p> <p>3rd Qtr (January- March 2011)</p>	<ul style="list-style-type: none"> <li>▪ In Process</li> <li>▪ In Process</li> <li>▪ In Process</li>   <li>▪ In Process</li> <li>▪ In Process</li> <li>▪ In Process</li>   <li>▪ Visit completed, in process</li> </ul>

Questions?