

COUNTY OF VENTURA
CORRECTIVE ACTION PLAN
FOR THE YEAR ENDED JUNE 30, 2016

Compiled by: Jill Ward, Deputy Director, Auditor-Controller
County of Ventura, California

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I. FINANCIAL STATEMENT FINDINGS

None noted.

II. FEDERAL AWARDS FINDINGS AND QUESTIONED COSTS

Finding 2016-001

Programs: Supplemental Nutrition Assistance Program (SNAP) Cluster, Medicaid Cluster, Adoption Assistance, and Workforce Investment Act (WIA)/Workforce Innovation and Opportunity Act (WIOA) Cluster

CFDA No.: 10.561, 17.258, 17.259, 17.278, 93.659, and 93.778

Federal Grantor: U.S. Department of Agriculture, U.S. Department of Health and Human Services, and U.S. Department of Labor

Passed-through: California Department of Social Services and California Employment Development Department

Award No. and Year: Various

Compliance Requirements: Activities Allowed or Unallowed and Allowable Costs/Cost Principles

Management's or Department's Response:

HSA – HSA management concurs with the finding(s). An extended period of understaffing in the unit has impacted the level of service within HSA Payroll. Steps are being taken to fill vacancies and direct staffing to HSA Payroll activities.”

View of Responsible Officials and Corrective Action:

SUPERVISOR APPROVAL OF EMPLOYEE TIMECARDS IN VENTURA COUNTY HUMAN RESOURCE-PAYROLL SYSTEM (VCHRP)

To address the issue of supervisor approval of the employee's timecard, the County VCHRP produces the report "Biweekly Auto Lockdown by Budget Unit". This query report provides a listing by department of all employees that have been "Auto Locked" by the system, a direct result of Supervisors not locking employees' reported time before the biweekly payroll cycle began. Each supervisor is then notified by email by their payroll clerk that they need to review, approve and/or lock their employee's reported time. Upon review of reported time, should the Supervisor disagree with what is reported, and corrections must be made on the timesheet, the Supervisor must submit a request to the department's payroll clerk to make adjustments in the current pay period. When adjustments are completed, Supervisors must review the adjustments made, then approve and/or lock final reported time after the fact the following pay period. If the supervisor is unavailable or unresponsive, the payroll clerk must send an email to an alternate time labor approver and/or to an appropriate supervisor up the chain of command. As part of the department's biweekly processing procedures, each department shall approve reported time in accordance with Auditor-Controller prescribed payroll processing timelines.

To ensure the supervisor approval of employee timecard procedures are followed, the Auditor-Controller will produce a Countywide "Auto Lockdown by Budget Unit" audit report each bi-weekly pay period, notify the Payroll Supervisor when a violation of policy has occurred, and instruct the Payroll Supervisor on proper reporting and correction techniques. Items which remain uncleared after a reasonable period of time will be escalated to the manager and then the department head as determined necessary.

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At the Agency level, the Human Services Agency will be hiring and directing additional staffing to payroll activities (including the follow up to assure proper approval of time sheets). HSA Payroll staff will also take steps to work with dedicated contacts in each of the Agency Departments who will assist with appropriate follow up directly with staff when/if additional follow up is needed to accomplish the required approval of timesheets. HSA Payroll will provide periodic status reports to the HSA Executive team as needed to assist the Agency taking the necessary steps to accomplish compliance.

Name of Responsible Person:

Bryan Gonzales, Senior Manager – Accounting, Human Services Agency
Valerie Barraza, Deputy Director, Auditor- Controller

Implementation Date: Complete by: March 27, 2017

Finding 2016-002

Program: Medicaid Cluster

CFDA No.: 93.778

Federal Grantor: U.S. Department of Health and Human Services

Passed-through: California Department of Social Services

Award No. and Year: Various

Compliance Requirements: Eligibility

Management's or Department's Response:

HSA management concurs with the finding(s).

- A. Errors: Eligibility redetermination: (1) The required eligibility redetermination was not performed. (2) Benefits were not discontinued when the period of eligibility expired.

Findings: Three cases (sample case # 5, 16, 41) did not have a redetermination completed for Fiscal Year 2016 and benefits were not discontinued.

Department's Assessment of Findings: In all three of these cases, the 2015 redetermination packet was received but not processed. A 2016 redetermination packet was not generated because the 2015 redetermination was still in progress.

- B. Error: Benefits were not discontinued when the period of eligibility expired.

Findings: One case (sample case #15) was found to have had a redetermination packet sent and not returned, however benefits were not discontinued.

Department's Assessment of Findings: This case had an active secondary aid code for Medicare Savings Plan (MSP). Cases with an active MSP aid code require a worker to manually authorize the discontinuance. This case remained active because a manual authorization to discontinue benefits was not completed.

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View of Responsible Officials and Corrective Action:

- A. The Ventura County Human Services Agency (HSA) concurs with the finding that in three cases the required eligibility determination was not performed and benefits were not discontinued when the period of eligibility expired. HSA put together the following Corrective Action Plan to ensure compliance with all federal rules and regulations.

HSA developed and implemented a “Medi-Cal RRR Tracking Report” that monitors the status of annual redeterminations. Among other redetermination details, the tracking report indicates the receipt, status, and completion of each redetermination. The reports resides on the HSA Intranet, where eligibility staff and supervisors can readily access the information. HSA requires eligibility staff and supervisors to use this report on a regular basis to monitor the disposition of each redetermination and ensure the proper action is taken.

HSA also developed the “MC RRR Tracking Report Tool” to further support eligibility staff in the use of the tracking report. The tool serves as a reference document that provides a description of each column in the RRR Tracking Report and how to understand the presented information.

HSA provided training to all eligibility workers and supervisors on the functionality and use of the Medi-Cal RRR Tracking Report on January 24-31; February 1; and February 21-22, 2017. Eligibility workers then received expectations that the report must be reviewed at least twice a week to ensure the discontinuance of eligibility benefits if clients fail to return redetermination packets. This should reduce similar issues in the future.

A second report (Active MC Old RRR Report) identifies cases with an overdue redetermination date. This report also resides on our Agency Intranet. Eligibility supervisors and workers are expected to review this report on a bi-weekly basis. The Active MC Old RRR Report will capture cumulative data that will allow eligibility staff to monitor the status of cases no longer viewable on the current MC RRR Tracking Report.

- B. HSA concurs with the finding that in one case benefits were not discontinued when the period of eligibility expired. The County reinforced the use of the “Medi-Cal RRR Tracking Report” in the Medi-Cal Redetermination policy, and through a mandatory training for eligibility staff conducted in January and February 2017. The Medi-Cal RRR Tracking Report identifies cases which need to be discontinued so the worker can take action in a timely manner.

Eligibility workers will also utilize the “Active MC Old RRR Report” to identify and take action on cases that need to be manually discontinued for failure to complete redetermination.

Name of Responsible Person: Curtis S. Updike, Deputy Director, Ventura County Human Services Agency

Implementation Date: Complete by February 22, 2017