

Part VI:
Human Services Reviews

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ACRONYMS AND ABBREVIATIONS FOR SELECTED TERMS USED IN PART VI:

ACF—ADMINISTRATION FOR CHILDREN AND FAMILIES
 AoA—ADMINISTRATION ON AGING
 CCDF—CHILD CARE AND DEVELOPMENT FUND

CSE—CHILD SUPPORT ENFORCEMENT
 FFP—FEDERAL FINANCIAL PARTICIPATION
 TANF—TEMPORARY ASSISTANCE FOR NEEDY FAMILIES [PROGRAM]

Human Services Agencies

The principal Department of Health and Human Services (HHS) agencies that administer human services programs are the:

- Administration on Aging (AoA), which supports programs that provide services such as meals, transportation, and caregiver support to older Americans at home and in the community through the nationwide network of services for the aging, and
- Administration for Children and Families (ACF), which operates over 30 programs that promote the economic and social well-being of children, families, and communities, including Temporary Assistance for Needy Families (TANF); the national child support enforcement (CSE) system; the Head Start program for preschool children; and assistance for child care, foster care, and adoption services.

Descriptions of the Office of Inspector General's (OIG) human services work in progress and planned new starts for fiscal year (FY) 2012 follow.

Administration on Aging

Performance Data for the Senior Medicare Patrol Projects

We will review Medicare and Medicaid monetary recoveries attributable to the Senior Medicare Patrol projects, including documentation supporting amounts recovered for the Medicare and Medicaid programs, beneficiaries, and providers. This information will support AoA's efforts to evaluate and improve the performance of the projects. In 1997, AoA established demonstration projects that recruit retired professionals to serve as educators and counselors to help beneficiaries detect fraud, waste, and abuse in the Medicare and Medicaid programs. The initiative stemmed from recommendations in a congressional committee report accompanying the Omnibus Consolidated Appropriations Act of 1997.

(OEI; 00-00-00000; expected issue date: FY 2012; new start)

State Long-Term-Care Ombudsman Programs: Efforts To Identify, Investigate, and Resolve Elder Abuse Cases (New)

We will determine whether Ombudsmen follow statutory requirements to identify, investigate, and resolve elder abuse cases. (42 U.S.C. § 3058g(a)(3)(A).) We will also assess AoA's oversight of the ombudsman programs. Ombudsman responsibilities include identifying, investigating, and resolving cases made by or on behalf of residents in long-term-care facilities, including cases involving elder abuse. (42 U.S.C. § 3058g(a)(3)(A).) AoA's data on elder abuse show significant variation between State Long-Term-Care Ombudsman programs. AoA administers the State Long-Term-Care Ombudsman programs pursuant to 42 U.S.C. § 3058g, as set forth by the Older Americans Act Amendments of 2000, § 704. (OEI; 00-00-00000; expected issue date: FY 2012; new start)

Administration for Children and Families

Oversight of System Design of Statewide Automated Child Welfare Information Systems

We will review ACF's oversight of and guidance and assistance to States directed to ensuring that States' new Statewide Automated Child Welfare Information System initiatives are appropriately focused and successfully implemented with risks minimized. We will determine whether the costs claimed by States for the systems are allowable. Federal regulations require that ACF continually review, assess, and inspect the planning, design, and operation of the systems to determine how such systems meet the requirements imposed by law, regulations, and guidelines. (45 CFR § 95.621.) States may receive 50-percent Federal Financial Participation (FFP) for the costs of planning, design, development, and installation of a statewide child welfare information system. (45 CFR § 1355.52.) (OAS; W-00-12-25040; expected issue date: FY 2012; new start)

Adoption Assistance Subsidies

We will review States' claims for Federal reimbursement of adoption assistance subsidies to determine compliance with eligibility requirements. A previous OIG review of one State's adoption assistance subsidies found payments to families that did not meet eligibility requirements. Adoption assistance eligibility requirements were established by the Social Security Act, §§ 473(a) and 473(c). Federal subsidy payments are provided to families to ensure that they have the necessary services and financial resources to meet the special needs of some adopted children. (OAS; W-00-11-24009; expected issued date: FY 2012; work in progress and new start)

Foster Care and Adoption Assistance Training Costs and Administrative Costs

We will review foster care and adoption assistance training costs and other administrative costs claimed under Title IV-E of the Social Security Act to determine whether current and retroactive claims were allowable and reasonable and were supported in accordance with laws and regulations and States' cost allocation plans. Title IV-E training costs and other administrative costs have increased dramatically in relation to maintenance payments in recent years. Prior OIG reviews in three States found that unallowable costs were claimed, costs were improperly allocated, and/or costs were otherwise unsupported. Federal reimbursement of training and administrative costs, respectively, are provided by the Social Security Act, §§ 474(a)(3)(A) – (B) and 474(a)(3)(E). (OAS; W-00-11-24100; various reviews; expected issue date: FY 2012; work in progress and new start)

Foster Care: Training Costs Charged by One County Probation Department

We will review one State's county probation department's claims for Title IV-E training costs charged to the Foster Care Program. Federal regulations provide that FFP is available at the enhanced rate of 75 percent for the costs of training personnel employed or preparing for employment by the State or local agency administering the State's foster care training plan and providing short-term training to current or prospective foster or adoptive parents, as well as personnel of childcare institutions. (45 CFR § 1356.60(b)(1).) (OAS; W-00-12-24121; expected issue date: FY 2012; new start)

Foster Care: Administrative Costs Charged by One County Probation Department

We will review one State's county probation department's claims for Title IV-E administrative costs charged to the Foster Care program. A prior OIG review disclosed instances in which a county probation department charged administrative costs to the Foster Care program for activities that were not listed in the Federal regulation or closely related to those listed in Federal regulations. Federal regulations list the costs that are necessary for the administration of the Foster Care program, and therefore allowable. (45CFR § 1356.60(c)(2).) (OAS; W-00-12-24120; expected issue date: FY 2012; new start)

Foster Care: Per Diem Rates

We will determine whether State agencies claimed foster care maintenance payments and administrative costs under Title IV-E of the Social Security Act in accordance with Federal requirements. A prior OIG review found that some services included in per diem rates were not eligible for Title IV-E foster care maintenance payments. Federal law defines "foster care maintenance payments" as payments to cover the cost of food, clothing, shelter, daily supervision, school supplies, a child's personal incidentals, liability insurance with respect to a child, and reasonable travel to the child's home for visitation. (Social Security Act, § 475(4)(A).) (OAS; W-00-12-24101; expected issue date: FY 2012; new start)

Foster Care: Group Home and Foster Family Agency Rate Classification

We will review one State's foster care payment rates made for group homes and/or foster family agency treatment programs to determine whether the rates were accurate. Federal regulations provide that FFP is available for allowable costs of foster care maintenance payments and that States must review the amount of the payments to ensure the continued appropriateness of the amounts. (45 CFR §§ 1356.60(a)(1)(i) and 1356.71(d)(2).) The auditee State requires that rates be established by classifying each group home program and applying the standardized schedule of rates. The foster care payment amount correlates with the rate classification level. Payments are initially established at a provisional rate; the State subsequently conducts audits to establish the actual rate classification level. (OAS; W-00-12-24111; expected issue date: FY 2012; new start)

Foster Care: Claims for the Placement of Delinquent Children

We will determine whether foster care maintenance costs claimed by several States pursuant to Title IV-E of the Social Security Act for the placement of delinquent children complied with Federal requirements. A prior OIG review found that claims were submitted for ineligible children, some services were not provided, and some services were ineligible. Maintenance costs include room and board payments to licensed foster parents, group homes, and residential childcare facilities for children who meet Title IV-E program requirements. (Social Security Act, § 475(4)(A).) (OAS; W-00-12-25023; various reviews; expected issue date: FY 2012; work in progress and new start)

Foster Care: Preplacement Candidacy Costs

We will determine whether State claims for foster care candidate costs in several States were properly claimed. Federal law allows States to claim administrative costs for allowable preplacement activities on behalf of foster care candidates. (Social Security Act, § 472(i)(2).) Federal regulations state that administrative costs cover staff members' activities, such as case management and supervision of children placed in foster care and children considered to be candidates pursuant to Title IV-E of the Social Security Act. (45 CFR § 1356.60(c)(2).) A candidate for foster care is a child who must be documented, through one of three allowable methods, as being at imminent risk of placement in foster care.

(OAS; W-00-12-24112; expected issue date: FY 2012; new start)

Foster Care: Children Over 19 Years Old

We will determine whether foster care maintenance payments were made on behalf of children age 19 and over. Children age 19 and over are ineligible for such payments. Federal law limits Title IV-E eligibility to children under age 18 or over age 18 but under age 19 if they are full-time students (Title IV-A State plan option). (Social Security Act, § 472.) The Adoption and Foster Care Analysis and Reporting System database, maintained by ACF, listed more than 9,900 of 513,000 children who were 19 years old or over as of September 30, 2005.

(OAS; W-00-12-24113; various reviews; expected issue date: FY 2012; new start)

Foster Care: Program Collection and Reporting of Child-Support Payments

We will review and reconcile States' records of children in foster care with corresponding States' collections of child support. We will determine the extent to which prompt and accurate reporting takes place, reconcile the reports with corresponding offsets, and identify the causes of any discrepancies. Federal regulations require that States' collections of child-support payments for children in foster care be used to offset Foster Care program costs instead of being sent to individuals who no longer have custody of the children. (45 CFR 302.52.) To facilitate offsets, Foster Care program agencies are required to report identifying information for children in foster care to States' CSE agencies. *(OAS; W-00-12-25041; expected issue date: FY 2012; new start)*

Foster Care: Monitoring the Health and Safety of Foster Children

We will review case files of foster children in one State to determine whether county social workers are monitoring foster care placements to ensure the health and safety of children. A State must have a plan approved by the Secretary that provides for development of a case plan for each child receiving foster care maintenance payments and provides for a case review system. (Social Security Act, § 471(a)(16).) Federal law defines "case review system" as a procedure for ensuring that the status of each child is reviewed periodically, but no less frequently than once every 6 months, by a court or by administrative review. (Social Security Act, § 475(5)(B).)

(OAS; W-00-12-24122; expected issue date: FY 2012; new start)

Child Care and Development Fund: Integrity of Child Care Payments (New)

For the Child Care and Development Fund (CCDF), we will determine what controls States have to identify and prevent fraudulent claims for federally subsidized childcare payments. We will also determine, for a sample of childcare reimbursement claims, the number and dollar amount of claims having characteristics indicative of fraud. CCDF is authorized by the Child Care and Development Block Grant Act and section 418 of the Social Security Act. Grantees (States, territories, and tribes) must use the funds they receive under CCDF to pay for childcare services provided to eligible

children. (42 U.S.C. § 9858c(c)(3).) CCDF may be vulnerable to submission of claims for children not under care or for more hours of care than were provided.

(OEI; 00-00-00000; expected issue date: FY 2012; new start)

Child Care and Development Fund: Monitoring of Licensing and Health and Safety Requirements for Childcare Providers

We will describe childcare-licensing and health and safety requirements for each State, States' monitoring of providers' compliance in each State, and ACF's monitoring of licensing and health and safety requirements for each State. Additionally, we will review outcomes in selected States in more detail (i.e., deficiencies, complaints, and safety issues). A previous OIG review of one Head Start grantee that also provided CCDF daycare services found several instances in which childcare facilities did not comply with the health and safety requirements. Federal Head Start performance standards require that Head Start facilities comply with State and local childcare-licensing requirements.

(45 CFR pt. 1304 and pt. 1306.) If States do not have licensing requirements or the States' requirements are less stringent than Federal standards, the facilities must comply with the Head Start health and safety requirements regulations at 45 CFR § 1304.53(a). Federal regulations for the CCDF require States to certify that they have licensing and health and safety requirements applicable to childcare services pursuant to 45 CFR §§ 98.40 and 98.41. (45 CFR § 98.15(b)(4)-(6).)

(OEI; 07-10-00230; expected issue date: FY 2012; work in progress)

Head Start and Child Care and Development Fund: Licensing Standards and Health and Safety Monitoring at Federally Funded Facilities

We will review licensing, health, and safety standards at selected childcare facilities that received Federal Head Start funding and/or Federal funding from the CCDF. We will determine the extent to which Head Start grantees and States have demonstrated that the childcare facilities have complied with requirements. We will also assess ACF's oversight of States' licensing, health, and safety requirements for CCDF-funded childcare facilities. A previous OIG review of one Head Start grantee that also provided CCDF daycare services found several instances in which childcare facilities did not comply with the health and safety requirements. Federal Head Start performance standards require that Head Start facilities comply with State and local childcare licensing requirements. (45 CFR pt. 1304 and pt. 1306.) If States do not have licensing requirements or the States' requirements are less stringent than Federal standards, the facilities must comply with the Head Start health and safety requirements regulations at 45 CFR § 1304.53(a). Federal regulations for the CCDF require States to certify that they have licensing and health and safety requirements applicable to childcare services pursuant to 45 CFR §§ 98.40 and 98.41. (45 CFR § 98.15(b)(4)-(6).)

(OAS; W-00-12-22005; various reviews; expected issue date: FY 2012; new start)

Head Start: Oversight of Eligibility and Enrollment (New)

We will assess ACF oversight of income eligibility to enroll in the Head Start program and determine the extent to which ACF has implemented recent changes intended to improve oversight. In May 2010, a Government Accountability Office (GAO) investigation revealed that grantees inappropriately enrolled families who did not meet eligibility requirements. In response, the Office of Head Start committed to a variety of changes intended to improve oversight, such as performing unannounced monitoring visits and developing a fraud hotline. (GAO-10-733T, p. 14 (May 18, 2010).) Federal regulations contain requirements and procedures for eligibility determination, recruitment, selection, enrollment, and attendance of children in Head Start programs. (45 CFR § 1305.)

(OEI; 05-11-00140; expected issue date: FY 2012; work in progress)

TANF Recipient Social Security Numbers

We will determine whether a State agency's TANF records contain valid Social Security numbers and whether the State agency verified the numbers with the Social Security Administration. A Federal regulation requires that applicants and recipients of certain programs, including TANF, provide their Social Security numbers to State agencies as a condition of eligibility for the program and that State agencies submit the numbers to the Social Security Administration for verification. (45 CFR § 205.52.) (OAS; W-00-12-25050; expected issue date: FY 2012; new start)

TANF: Use of Smart Card Technology To Reduce Payment Errors

We will determine the extent which whether States have adopted or are contemplating adoption of Smart Card technology in their TANF programs. We will survey a number of States to quantify the impact of using the technology. Smart cards can validate the identity of TANF recipients and ensure that payments are allowed only for authorized items. This technology could greatly reduce fraud and abuse in the TANF program. (OAS; W-00-12-25051; expected issue date: FY 2012; new start)

TANF: ACF Oversight of Work Participation and Verification Requirements

We will review ACF oversight of States' compliance with requirements for verifying TANF program work participation. We will also assess ACF oversight of tribes' compliance with Tribal Family Assistance Plan requirements under TANF. TANF provides assistance and work opportunities to needy families by granting States Federal funds and wide flexibility to develop and implement their own welfare programs. Regulations implementing the TANF program include, among other things, the requirement that States ensure that 50 percent of all families and 90 percent of two-parent families are working and that States report and verify work activities. (45 CFR pts. 261-265.) (OEI; 09-11-00490; 09-11-00491; expected issue date: FY 2012; work in progress)

Refugee Resettlement: Services for Recently Arrived Refugees

We will determine whether grantees have met the terms and conditions of grants and contracts. Federal law allows the Director of Refugee Resettlement to make grants to and enter into contracts with public or private nonprofit agencies for projects designed to assist refugees in obtaining the skills necessary for economic self-sufficiency; to provide training in English where necessary; and to provide health, social, educational, and other services. (The Refugee Act of 1980, § 412(c).) (OAS; W-00-12-25042; expected issue date: FY 2012; new start)

Community Action Agencies: Pension Costs Claimed on HHS-Funded Programs (New)

We will determine whether costs for retirement benefits for Community Action Agency employees have been appropriately charged to ACF-sponsored grants. We will also determine whether retirement benefit costs claimed are reasonable and allowable and comply with Federal requirements. Retirement benefits are allowable under Federal cost principles provided that the costs are incurred in accordance with the organization's policies and such policies meet the test of reasonableness, the methods of cost allocation are not discriminatory and are in accordance with generally accepted accounting principles and the American Institute of Certified Public Accountants' Accounting Principles Board Opinion No. 8, and costs assigned to a given fiscal year are funded for all plan participants within 6 months after the end of that year. (2 CFR § 225 (applicable to State and local governments) and 2 CFR § 230 (applicable to nonprofit organizations).) (OAS; W-00-12-28020; expected issue date: FY 2012; new start)

Low-Income Home Energy Assistance Program: Duplicate Payments (New)

We will examine the extent to which Low-Income Home Energy Assistance Program (LIHEAP) grantees made duplicate payments or payments that exceed benefit thresholds. We will also review ACF's oversight of LIHEAP grantees. LIHEAP provides States, territories, and tribal organizations with funding to assist low-income households in meeting their immediate home energy needs. On September 30, 2008, Federal law appropriated \$5.1 billion to LIHEAP. (The Consolidated Appropriations Act for FY 2009, § 155, appropriated the amount under the Consolidated Security, Disaster Assistance, and Continuing Appropriations Act of 2009.) Program requirements codified in the statute include the purpose of LIHEAP funds, eligibility criteria, and annual application requirements. (42 U.S.C. §§ 8621 et seq.) (OEI; 00-00-00000; expected issue date: FY 2012; new start)

Child Support: Increasing Collections

We will review States' procedures for collecting child support from self-employed noncustodial parents. We will determine the adequacy of procedures for and extent of increases in child-support collections by States that have implemented legislation to identify earnings and collect child-support from self-employed individuals whose families are receiving TANF. A prior review in one State disclosed that the State increased child support collections by more than \$1 million as a result of enacting legislation to identify earnings from self-employed noncustodial parents. (OAS; W-00-12-20032; expected issue date: FY 2012; new start)

Child Support: Investigations Under the Child-Support Enforcement Task Force Model

Project Save Our Children seeks to identify, investigate, and prosecute individuals who fail to meet their court-ordered support obligations. We plan to continue to encourage and coordinate, in FY 2012, enforcement efforts in States, particularly in States that have not pursued prosecutions of nonsupport cases. The project brings together OIG, the U.S. Marshals Service, the Departments of Justice and State, local law enforcement agencies and prosecutors, State child-support agencies, and others to enforce Federal and State criminal child-support statutes.

The [Work Plan](#) is one of OIG's three core publications. OIG's [Semiannual Report to Congress](#) summarizes OIG's most significant findings, recommendations, investigative outcomes, and outreach activities in 6-month increments. OIG's annual [Compendium of Unimplemented Recommendations](#) (Compendium) describes open recommendations that when implemented will save tax dollars and improve programs.