



COMMONWEALTH of VIRGINIA

Scott Reiner, M.S.
Executive Director

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

March 1, 2017

Anne Mitchell, CPMT Chair
King William County Children's Services Act Program
172 Courthouse Lane
King William, VA 23086

RE: King William County CSA Program Self-Assessment Validation, File No. 42-2015

Dear Ms. Mitchell,

In accordance with the Office of Children's Services (OCS) Audit Plan for Fiscal Years 2016, the King William County Community Policy and Management Team (CPMT) has completed and submitted the results of the self-assessment audit of your local Children's Service Act (CSA) Program by the established due date of December 31, 2015. An on-site visit was scheduled and conducted by OCS Program Auditors on June 3, 2016 to perform the independent validation phase of the process.

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

Concurs Partially Concurs Does Not Concur

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

King William County Community Policy and Management Team concluded that only non-significant compliance and/or internal control weakness observations noted. However, validation procedures of the locally prepared CSA Self-Assessment Workbook identified major deficiencies indicating non-compliance in the local CSA program. Non-compliance with the statutory requirements of CSA is considered significant because the local program is not operating fully in accordance with the laws of the Commonwealth. Specifics pertaining to the King William County CSA Program are detailed on page two of this report.

SIGNIFICANT NON-COMPLIANCE OBSERVATION

1. Adequate measures have not been established and/or implemented by the King William County CPMT to evaluate and ensure accountability and effectiveness of the locally managed CSA program. Opportunities for improvement were noted based on instances of non-compliance with CSA statutory requirements and internal control weaknesses identified as follows:

- The CPMT has established ongoing key performance goals; however, measurable criteria for evaluating the achievements of stated goals and target dates were not documented.
- A formal process of documenting utilization management/utilization review (UM/UR) activity has not been implemented by King William County CPMT. Program oversight by the CPMT has not included review and/or assessment of specific reports that summarize, in aggregate, program outcomes to demonstrate accomplishment of local program goals objectives and effectiveness of the services provided correlated with the funds expended.

The ability and likelihood of the CPMT to adequately monitor and provide oversight of the local CSA program is an essential component of the organizational governance. The absence of a formal planning, coordination and program evaluation to ensure that the goals and objectives of the program are met ultimately impacts the CPMT efforts to better serve the needs of the youth and families in the community to maximize the use of state and community resources.

CRITERIA: COV § 2.2-5206, Items 4, 6, and 13; Department of Accounts (DOA) Agency Risk Management and Internal Control Standards (ARMICS), Control Environment, Control Activities

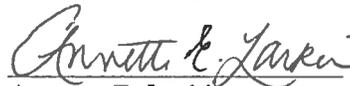
RECOMMENDATIONS:	<ul style="list-style-type: none"> • The CPMT should develop measurable criteria for evaluating the achievement of its stated goals and objectives and report progress to all stakeholders at least annually. • The CPMT should develop and implement a process that requires periodic reporting of aggregate data collected regarding the status of utilization review/utilization management activities.
CLIENT COMMENT:	<p>“King William CPMT agrees with the conclusion of partially concur as stated in the draft audit report. The team will develop a corrective action to address the observation.”</p>

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

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

Sincerely,



Annette E. Larkin
Program Auditor

cc: Scott Reiner, Executive Director
Sanford B. (Sandy) Wanner, King William County Administrator
Bobbie Tassinari, Fiscal Agent
Ann G. Porter, CSA Coordinator
Stephanie Bacote, OCS Program Audit Manager
SEC Finance and Audit Committee