

**SUMMIT COUNTY PROSECUTOR:
CHILD SUPPORT ENFORCEMENT AGENCY
PRELIMINARY AUDIT FINAL REPORT**

06-CSEA.Pros-43

PREPARED FOR:

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**APPROVED BY AUDIT COMMITTEE
DECEMBER 19, 2006**

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**SUMMIT COUNTY PROSECUTOR: CHILD SUPPORT ENFORCEMENT AGENCY
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BACKGROUND**

Auditors: Lisa Skapura, Joseph George, Jennifer Schneider, Anthony Boston, Tanya Garsteck (Intern), Courtney McMichael (Intern), and Matthew Hurr (Intern)

General Background:

The purpose of the child support program is to provide children with the opportunity for a better life. By working with both parents to establish and enforce support orders, the Child Support Program helps children receive the financial and medical support ordered for them.

The Child Support Enforcement Agency (CSEA) assists parents by providing the following services:

- Establishment of paternity
- Location of absent parents
- Establishment of a child support or medical support order
- Modification of child support orders
- Enforcement of existing child support or medical support orders
- Collection and disbursement of payments
- Education and outreach about the child support program
- Referrals for community and government services

There are both administrative and judicial enforcement tools available to CSEA staff. The following are examples of administrative tools: Income or Wage Withholding, Federal and State Tax Offset, Financial Institution Data Match, Professional and Driver License Suspensions, Credit Bureau Reporting, Orders on Arrears. Examples of judicial enforcement tools are Contempt, Misdemeanor Criminal Non-Support, Felony Non-Support, Liens, Attachments, and Lump Sum Actions.

Agency attorneys and staff initiate and conduct the above referenced actions. In addition, the CSEA Attorneys have the responsibility to review cases for litigation, recommend appropriate legal proceedings, conduct pre-trial negotiation and collection activities, and finalize proceedings and appropriate court orders. The CSEA Attorney represents the state of Ohio. No attorney client relationship exists between the attorney and any individual party.

Because the CSEA is very complex, IAD examined several areas in detail with regard to the background information for the agency. The following are the areas examined:

- I. Activities and Programs
- II. Flowchart of Case Life
- III. Caseloads
- IV. Cost Drivers

I. Activities and Programs

The CSEA has 163.5 employees as of 10/2/06 (Figure 1). Currently, there are 42 staff vacancies and seven abolished positions within the agency. The CSEA consists of four units of operation, which include Case Management, Legal Division, Support Services, and Administration.

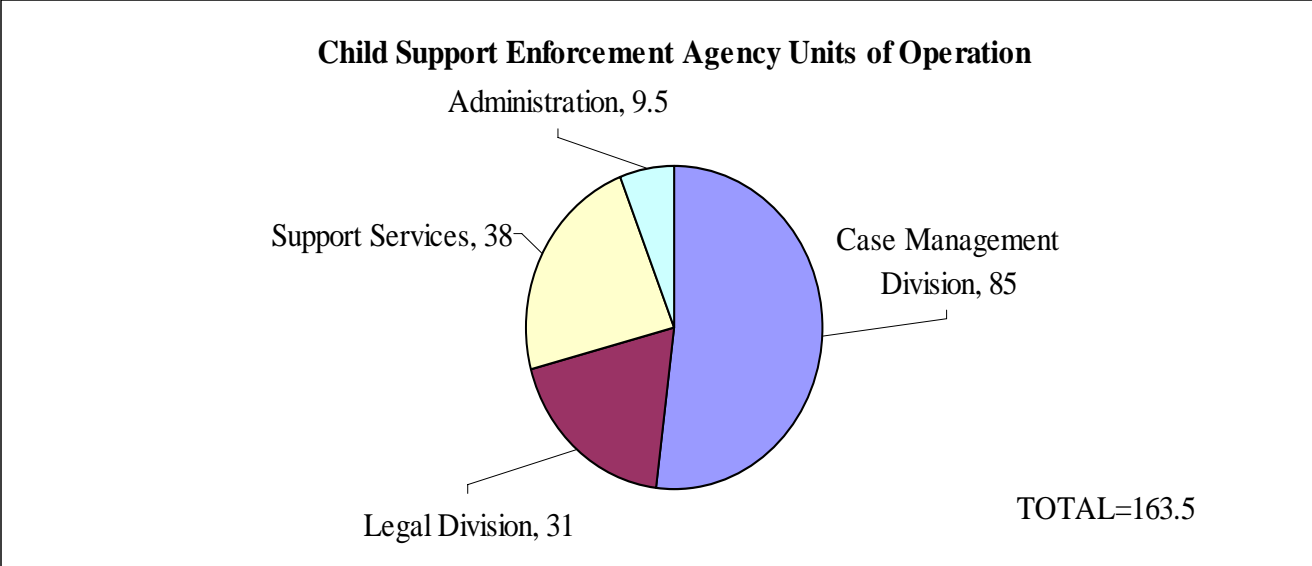


Figure 1

1) Case Management Division:

Case Management is the largest operating unit within CSEA, consisting of 85 positions (Figure 2). These positions are responsible for the CSEA’s main functions, which include establishment enforcement and child support orders. These employees are responsible for managing just fewer than 54,000 open and active child support cases. There are currently 13 staff vacancies, two of which are the result of disability separation within the division. An Administrative Assistant and an Administrative Secretary are also found within this department. Case managers are separated into six units, which include the following:

- A. **Two Establishment Units** - Responsible for establishing paternity and support orders. Case Managers carry a caseload of just over 1,100 cases per worker.

Paternity and Support Order Establishment Program: (26 employees which includes 2 supervisors) Paternity is the legal determination of fatherhood. It can be established through presumption or voluntary acknowledgement.

According to the Ohio Department of Job and Family Services, Child Support Program Manual 5101:12-40-05

- (1) The CSEA shall provide paternity establishment services for any IV-D case in which paternity has not been established.
- (2) Pursuant to section 3111.381 of the Revised Code, the CSEA shall attempt to establish paternity by administrative procedure or, if the administrative action is unsuccessful, by bringing a court action.
- (3) Pursuant to section 3111.05 of the Revised Code, a paternity action may be brought up to and including the child's twenty-third birthday.

B. ***Four Enforcement Units*** - Responsible for enforcing new and existing child and spousal support orders. Case managers carry a caseload of approximately 822 cases per worker.

Support Enforcement Program: (44 employees-including 4 supervisors) In accordance with section 3125.03 of the Revised Code, the Office of Child Support is responsible for the establishment and administration of a support enforcement program that meets the requirements of Title IV-D of the Social Security Act, Pub. L. No. 93-647, 88 Stat. 2351 (1975), 42 U.S.C. 651 (8/22/1996), as amended, and any rules adopted under Title IV-D. The program of child support enforcement shall include:

- (1) Location of custodial or non-custodial parents or alleged fathers
- (2) Establishment of parentage
- (3) Establishment and modification of child support orders and medical support orders
- (4) Enforcement of support orders
- (5) Collection of support obligations
- (6) Any other actions appropriate to child support enforcement

Interstate Cases: (6 employees including 1 supervisor) An initiating CSEA shall:

- (1) Notify the child support agency in the responding state of any new information received on a case within ten business days of receipt of that information.
- (2) Provide the child support agency in the responding state with any additional information requested or notify the responding child support agency when the information shall be provided within thirty days of receipt of the request.
- (3) Send a copy of a notice received from a court or tribunal to an obligee within two business days of receiving it from the court or tribunal.
- (4) Send a copy of a written communication from the obligor or the obligor's attorney to the obligee within two business days of receiving it from the court or tribunal.
- (5) Notify the obligee within ten business days if jurisdiction over the obligor cannot be obtained.
- (6) Furnish a certified statement by the custodian of the record of the amounts and dates of all payments received to a requesting party or child support agency of another state. Initiating CSEA's may use a stamp on the record to indicate that it is a true and accurate statement of arrears.
- (7) Pay the cost of genetic testing as described in rule 5101:1-30-29 of the Administrative code.

Medical Support: (3 employees including 1 supervisor) The CSEA shall secure and enforce medical support, as appropriate, for all IV-D cases. Medical support services shall be provided for all ADC, IV-E, and Medicaid cases receiving TITLE XIX medical benefits. Medicaid recipients do not need to apply for IV-D services or pay an application fee. The completion of a Medicaid

application or redetermination constitutes assignment to IV-D services. The Assignment does not apply to payments for any month after the month in which the recipient ceases to be eligible for Medicaid. Non-ADC clients shall be made aware of the services available but may withhold consent if the individual is not a Medicaid applicant or recipient.

Review/Adjustment of Order: (4 employees including 1 supervisor) The basis for review and adjustment of all child support orders in effect under the Child Support Enforcement Program will be the “Ohio Child Support Guidelines”. The CSEA will use the guidelines in the review and adjustment of IV-D orders. The CSEA will not deviate from the use of the basic child support schedule in calculating a revised amount. In all IV-D cases if a review indicates that an adjustment is appropriate, using the Basic Child Support Guidelines, the CSEA must proceed with the adjustment of the order.

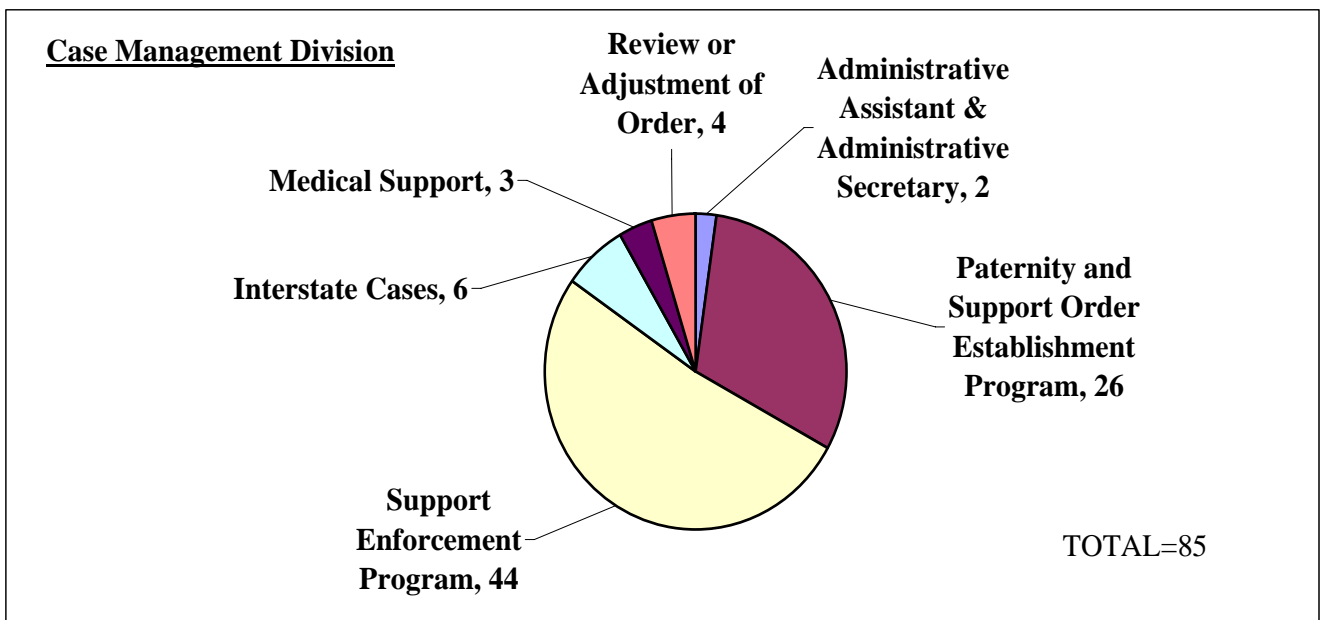


Figure 2

2) Legal Division

The Summit County CSEA Legal Division consists of 31 positions (Figure 3). There are currently nine Assistant Prosecutors assigned to CSEA, who handle all paternity and support court cases as well as conduct all administrative hearings. An Outreach Coordinator also resides in the Legal Division and is responsible for educating the community and increasing public awareness about parental responsibilities for child support obligations. Also within this department are four Legal Analysts and five Legal Secretaries. Within the Legal Division, the Criminal Non-Support Unit houses three investigators, three process servers, two case managers, one victim services coordinator, and three support staff who are responsible for the prosecution and case management of the agency’s worst offenders. This Criminal Non-Support unit has collected over \$8 million for Summit County’s children since its inception in 2001. There are currently eight staff vacancies and six abolished positions within the Legal Division.

- Program constitutes 22% of 2006 budget

- Houses Criminal-Non-Support Unit
- Represent the state in judicial proceedings against absent parents for non-payment of support, non-cooperation in paternity establishment, and interstate actions.
- Conduct administrative paternity and support hearings
- Work with title companies for the payment of arrearages in association with lien releases.

According to the *Child Support Program Manual 5101:12-70-05.1*, Administrative Procedures for the Legal Division are as follows:

(A) Pursuant to section 5101.37 of the Revised Code:

- (1) The Ohio department of Job and Family Services (ODJFS) and each CSEA may make any investigations that are necessary in the performance of their duties and, to that end, they shall have the same power as a judge of a county court to administer oaths and to enforce the attendance and testimony of witnesses and the production of books and papers.
- (2) ODJFS and the CSEA shall keep a record of their investigations. The record may include the time, place, charges or subject, witnesses summoned and examined, and its conclusions.
- (3) The issuance of a subpoena by ODJFS or a CSEA to enforce attendance and testimony of witnesses and the production of books or papers at a hearing is discretionary and the department or agency is not required to pay the fees of witnesses for attendance and travel. The fees of witnesses for attendance and travel shall be the same as in the court of common pleas.
- (4) ODJFS or the CSEA may request any judge of any division of the court of common pleas to compel, by a judgment for contempt or otherwise, the attendance of witnesses, the production of books or papers, and the giving of testimony.

(B) Noncompliance with provisions of an administrative subpoena may include license suspension as specified in sections 3123.41 to 3123.63 of the Revised Code.

Responsibilities of the Prosecutor Investigator include the following:

- (1) Checks to see if the Absent Parent (AP) has any outstanding warrants, currently incarcerated, pending past charges or is currently collecting SSI or SSD. If any of these are applicable, the Prosecutor Investigator will recalculate the payment history based on the information.
- (2) Verifies the AP employment status, worker's compensation or unemployment claims and contacts previous employers regarding any information that they may have in reference to the AP.
- (3) Contacts the Custodial Parent (CP) to confirm his/her cooperation.
- (4) Checks for the required twenty-six (26) weeks of non-payment.
- (5) Contacts the AP to discuss the procedures and answer any of their questions.

- (6) Checks the content of the file for the necessary orders, wage information, and postal verifications.

Responsibilities of the Process Server include the following:

The following procedure addresses the Legal Divisions’ responsibilities of preparing a Child Support Case for Civil Contempt when a Child Support Case Manager has referred a case to the Legal Division.

- (1) The procedure also addresses the Legal Secretaries and the Process Servers responsibilities to complete the CTHS, CTHR, CTSL and the CTSD screens on SETS.
- (2) The documents that are listed throughout this procedure are unique to the Legal Department and are only found on their individual, personal Microsoft Word files. These are not a part of the ‘Shared Drive’, “Case Management Forms”.

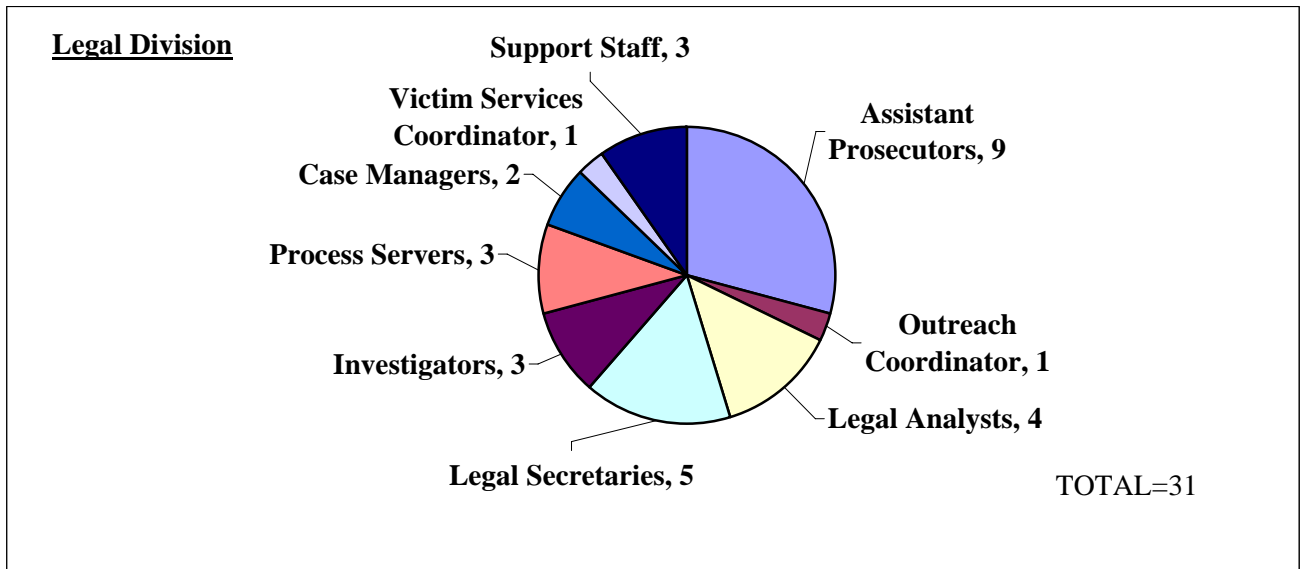


Figure 3

3) Support Services:

Support Services is the second largest division within CSEA, consisting of 38 positions (Figure 4). These positions include staff in the Records Room, Phone Bank, Fiscal Department, Account Audits, Information Technology Department, and the Training, Cross-Training, and Orientation Department. There are currently 20 staff vacancies and one abolished position within Support Services. Within this department, there are also one Utility Clerk and one employee working the first floor information window.

A. Records Room Staff: (8.5 employees including 1 supervisor)

The Records Room staff are responsible for the daily delivery and pick up of case files, items of mail, and various unconnected case related documents. They are also responsible for the proper recording of file jacket location so that files may be obtained as needed.

Records Room:

Agency personnel request case files to be delivered to them by sending an e-mail to SUMTR15 before 3:00 p.m. the day prior to the file being delivered. The next day, the list is retrieved and printed from Group Wise SUMTR15 and is known as the "Diary List". This list is the first priority within the record staff's daily routine, as files should be distributed as early as possible. Once the files are pulled, the workers need to input the SETS case number and Worker ID into the CSEA File Tracking System. Records staff then deliver files and mail to appropriate agency staff while checking all agency employee's "Outs" for outgoing mail or files. Binning is the process of presorting files that have been returned to the Records Room and prepare them for filing. From time to time file jackets and/or file labels are in need of repair. When these files or labels are recognized by Records Room staff, the files must be placed in the repair area near the service window of the Records Room.

Mail Room:

Designated Records Room staff pickup mail twice daily (i.e. 8:30 a.m. and 10:30 a.m.). The responsibilities of the Records Room Staff assigned to the mail include:

- Open Mail
- Date and time stamp back of documents
- Sort Mail
- Deliver Mail

Records Room staff is also responsible for gathering and processing outgoing post office mail and inter-agency mail.

B. Phone Bank: (4.5 full-time 7 part-time rotating Clerical Specialists)

The Summit County Child Support Enforcement Agency receives an average of 25,700 calls per month and manages more than 60,000 case files.

The Telephone Information Unit shall handle the following type of calls:

- Inquiries about services and application processes;
- Sending Applications for Service;
- Inquiries on all types of letters and/or notices;
- Payment inquiries, such as:
 - Was a payment received?
 - Where was it sent?
 - The amount of the check
 - What are administrative fees?
- Inquiries for appointment/court hearing information, such as:
 - When is the hearing?
 - Where is the hearing located?
 - What do I have to bring?
- Inquiries from ODJFS staff requesting payment information;
- Pay history requests;

- Checking WFIL77 (not the SFRC) for third party calls. If not found on WFIL77 refer the call to the Customer Service Unit.
- Calls that do not pertain to these certain functions may require special instructions.

C. Fiscal Department: (8 employees)

Fiscal/Management:

- To establish internal controls for the assignment and monitoring of County property.
- Established the Summit County Prosecutor's Child Support Enforcement Agency guidelines for Operating County Vehicles.
- To set a uniform procedure to be followed by workers and supervisors for submitting payroll cover sheets to the Fiscal Management Department. To ensure that employees get paid properly for the time that they work or are in a pay status, and to comply with the requirements of the state auditors; payroll cover sheets must be completed correctly and timely. Eighty hours must be accounted for each pay period, as must any hours in pay status worked over the eighty hours. The worker is responsible for making sure that all forms are timely.
- Completion of the Random Moment Sample (RMS), which is the basis of funding for the Summit County Child Support Enforcement Agency from the state and the federal government.
- To govern all official travel by employees of the CSEA.

Fiscal/Collections:

- CSEA collects cash, cashier's checks, and money orders at the first floor payment window.
- Maintains the Held Allocated Collections Report, which is a daily and month-end listing of payments that have been allocated, but are being held prior to disbursement (e.g., missing/invalid payee address), or after disbursement when a check has been returned and/or voided.
- Fiscal Corrections, which result from incorrect posting of payments or an incorrect amount due to a bank encoding error.
- An EFT-Out (Direct Deposit) recipient is a participant who receives his or her child support payments via an Electronic Funds Transfer (EFT). With an EFT, monthly child support payments are deposited directly into the payee's bank account.

D. Account Audits: (13 employees including 1 supervisor)

An audit is a formal examination, verification, or correction of a financial account. SETS cases may be routed to the Child Support Specialist in the Fiscal/Maintenance Unit for an audit when requested by an Absent Parent, Custodial Parent, Enforcement Case Manager, or the Court. A separate audit will be completed per case and order number.

E. Information Technology: (1 employee)

Manages the State's network, maintains all equipment, serves as a help desk, and serves as the agency's liaison to the state's help desk. This department is currently implementing document imaging.

F. Training, Cross-Training, and Orientation Department: (1 employee)

Trainers attend ongoing training with the state, conduct new hire training, and write policy and procedures.

The Internal Audit Department conducted an interview with the Supervisor of Case Management Administration. During the interview, IAD noted that in the past, the training program consisted of four trainers but is now down to one. Trainers are responsible for updating procedures and training the entire staff.

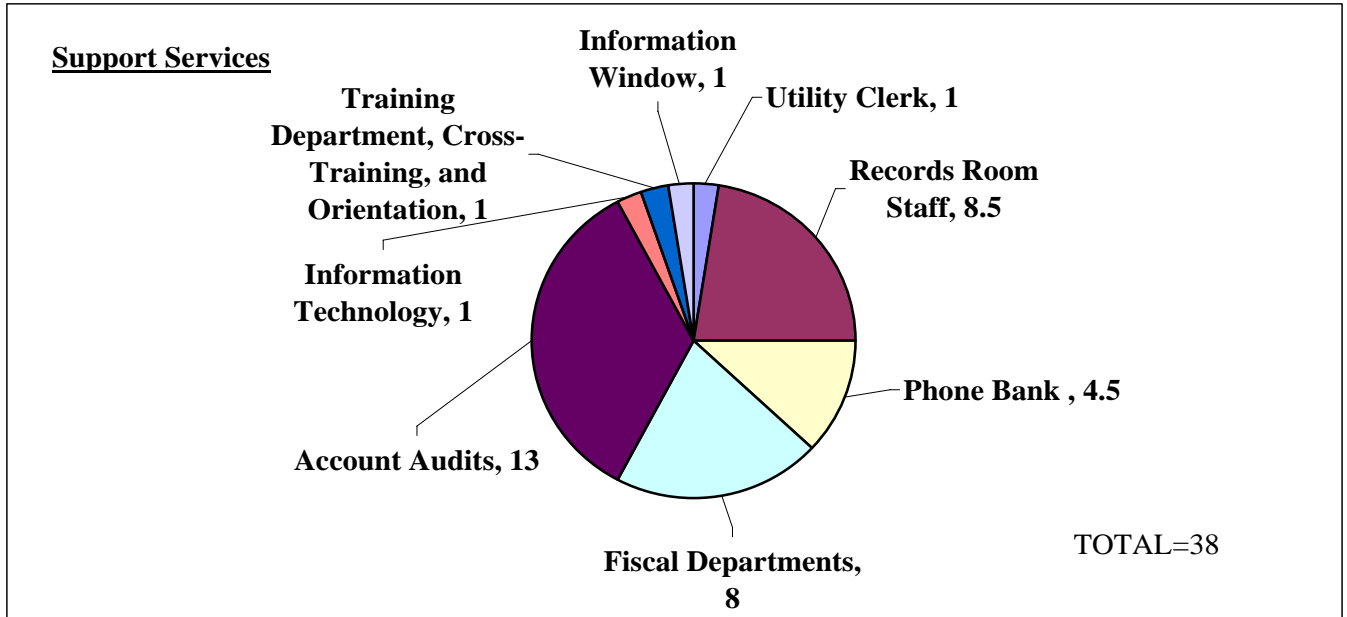


Figure 4

4. Administration:

The Administrative Department for the Summit County CSEA currently consists of 9.5 positions (Figure 5). These include Director, Chief Assistant Prosecuting Attorney, Director of Administration, Case Management Administrator, Support Services Administrator, Chief Fiscal Officer, Service Contract Coordinator, Administrative Assistant, Personnel Aide, and a part-time Administrative Assistant. These positions operate the personnel department, manage support staff, head the Criminal Non-Support Unit, and oversee financial operations. Excluding the Director, five of these positions directly oversee an operating unit within the agency. The additional support staff is responsible for personnel functions and contract administration. There is currently one staff vacancy within Administration.

Personnel Department:

The goals of the Personnel Department include the following:

- To inform all employees of an expectation of professionalism in the office this is evidenced in part by daily punctual attendance.

- To balance the demands of the workplace with the needs of families through the Family and Medical Leave Act.
- Treat all classified and bargaining unit employees equitably and provide a benefit package, which includes leaves of absences. These procedures will be consistently, fairly, and impartially applied.
- Inform employees of sick leave to be used only when needed.
- Consistently, fairly, and impartially providing the benefits of vacation leave and holiday leave to CSEA employees.
- It is the policy of the County of Summit Prosecutor to allow all employees to voluntarily assist their co-workers who are in critical need of sick leave due to the serious illness or injury (terminal or life threatening) of the employee or a member of the employee's immediate family.

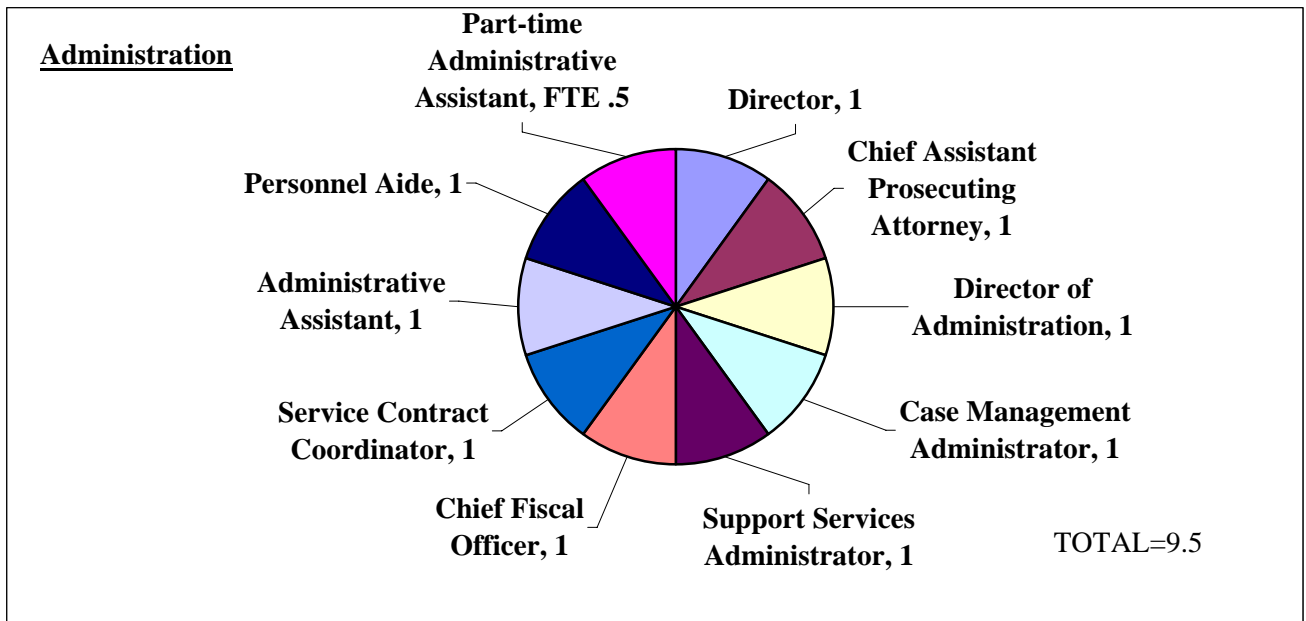


Figure 5

II. Flowchart of Case Life

IAD obtained and reviewed the procedures from the CSEA Procedures Handbook to gain an understanding of the case flow process. IAD also obtained and reviewed the flow charts from the Case Management Administrator that are used in the training process. The following is a flowchart showing the general life of a case (Figure 6):

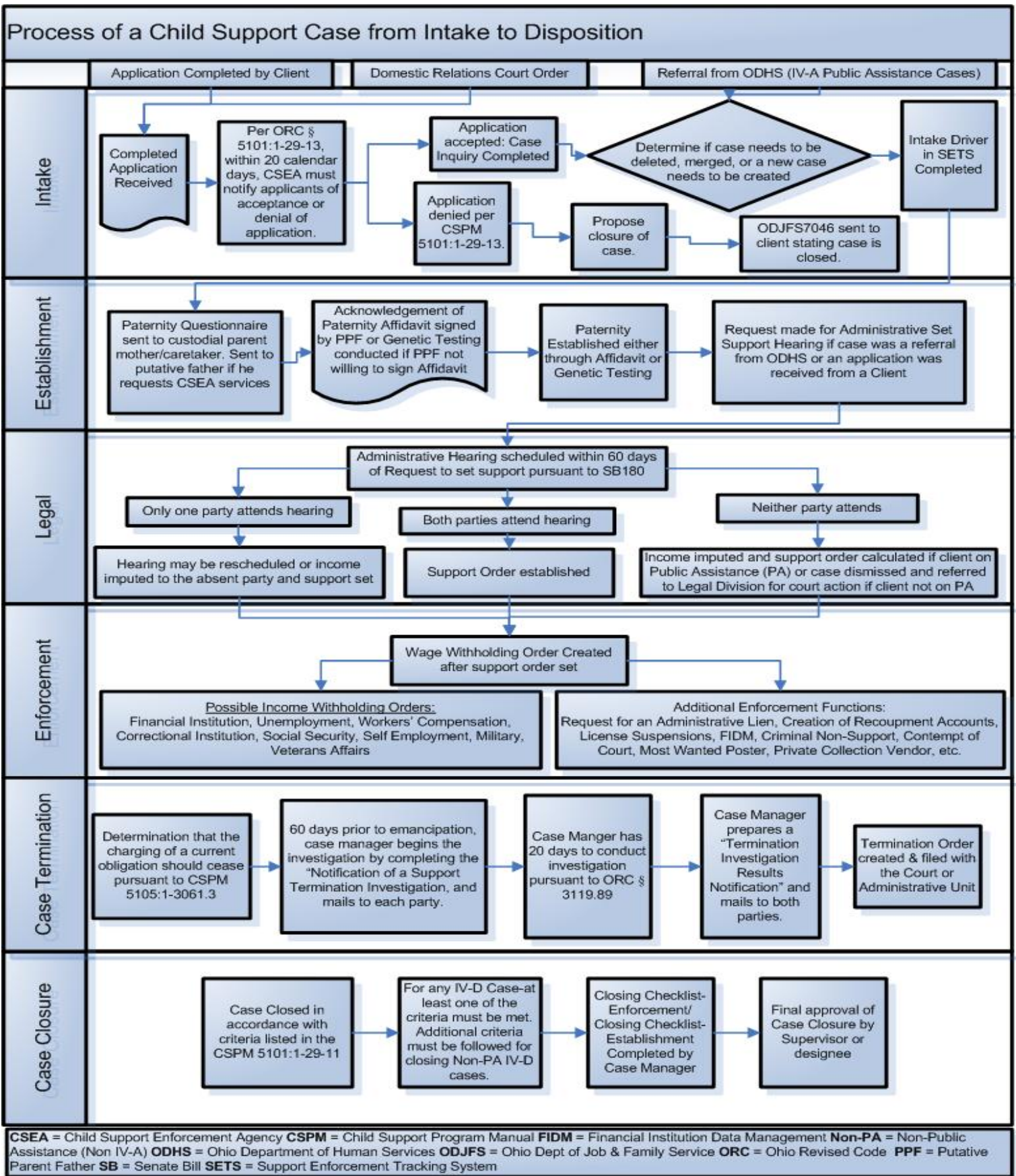


Figure 6

III. Caseloads

Management Overview Reports from the Support Enforcement Tracking System (SETS) were obtained and compiled. These reports were obtained to perform an analysis on caseload trends from 2002 through August 2006 for the following Summit, Montgomery, and Lucas counties (Figure 7).

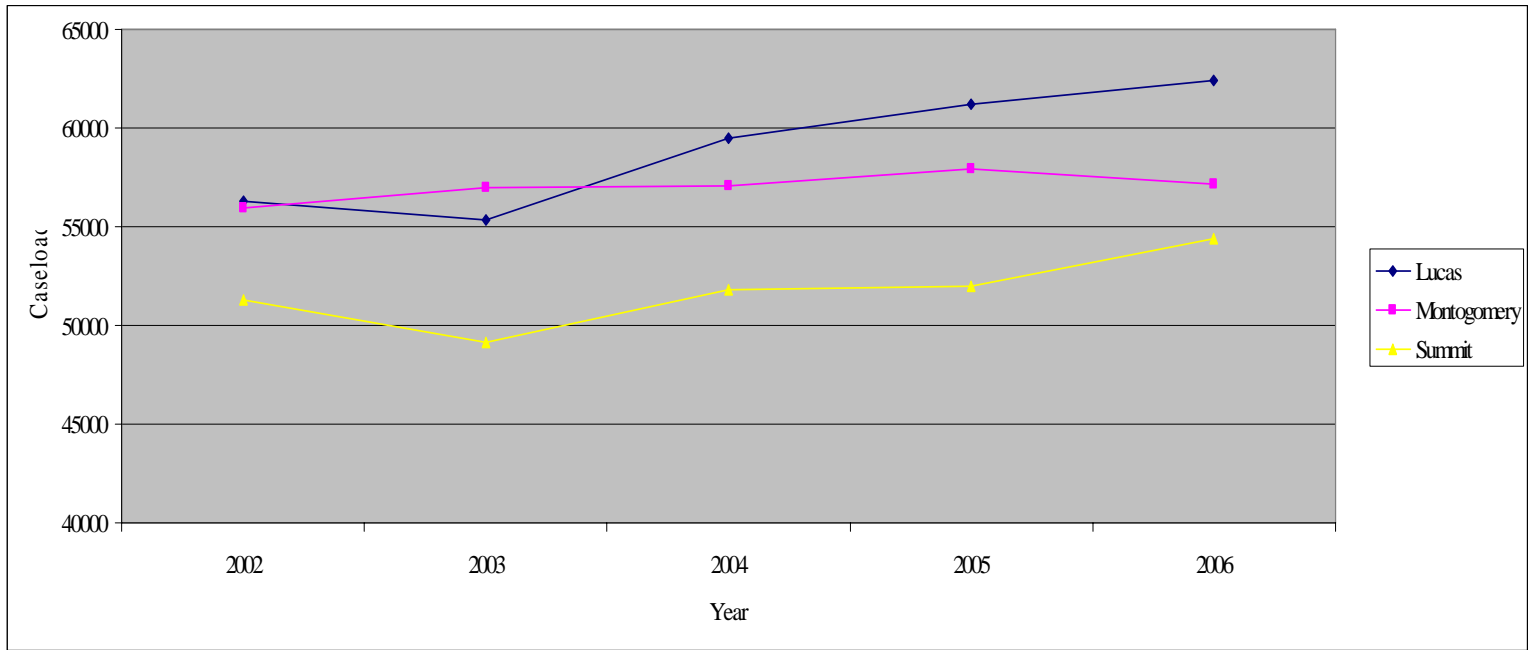


Figure 7

IV. Cost Drivers

A comparison utilizing the 2001-2005 Comprehensive Annual Financial Report (CAFR) expenditures, by line item, was performed to show the dollar amount and percent changes of expenditures from the previous years. This was performed to identify trends in the expenditures of CSEA (Figure 14).

Analysis of the 2001-2005 Comprehensive Annual Financial Report (CAFR) Detailed Summary of Expenditures

	2001 Actual Expenditures	2002 Actual Expenditures	\$ Amount Change from previous year (decrease)/ increase	% Change from previous year	2003 Actual Expenditures	\$ Amount Change from previous year (decrease)/ increase	% Change from previous year
Description							
Personal Services	8,145,130	8,012,965	(132,165)	-1.62%	8,758,769	745,804	9.31%
Professional Services (1)	0	0	0	0.00%	30,000	30,000	100.00%
Internal Charge Back	54,389	164,900	110,511	203.19%	246,890	81,990	49.72%
Supplies	137,801	108,574	(29,227)	-21.21%	117,931	9,357	8.62%
Travel and Expenses	17,911	29,192	11,281	62.98%	27,993	(1,199)	-4.11%
Motor Vehicle Fuel/Repair	3,000	4,587	1,587	52.90%	7,564	2,977	64.90%
Contract Services	2,162,795	2,085,262	(77,533)	-3.58%	1,101,129	(984,133)	-47.19%
Other Expenses	621,945	998,546	376,601	60.55%	589,275	(409,271)	-40.99%
Equipment	69,867	47,494	(22,373)	-32.02%	44,645	(2,849)	-6.00%
Total Expenditures	\$ 11,212,838	\$ 11,451,520	\$ 238,682	2.13%	\$ 10,924,196	\$ (527,324)	-4.60%

	2004 Actual Expenditures	\$ Amount Change from previous year (decrease)/ increase	% Change from previous year	2005 Actual Expenditures	\$ Amount Change from previous year (decrease)/ increase	% Change from previous year
Description						
Personal Services	9,469,702	710,933	8.12%	8,990,779	(478,923)	-5.06%
Professional Services (1)	0	(30,000)	-100.00%	0	0	0.00%
Internal Charge Back	222,865	(24,025)	-9.73%	236,215	13,350	5.99%
Supplies	107,199	(10,732)	-9.10%	88,630	(18,569)	-17.32%
Travel and Expenses	20,638	(7,355)	-26.27%	16,005	(4,633)	-22.45%
Motor Vehicle Fuel/Repair	8,205	641	8.47%	8,721	516	6.29%
Contract Services	1,433,475	332,346	30.18%	1,865,021	431,546	30.10%
Other Expenses	725,611	136,336	23.14%	679,354	(46,257)	-6.37%
Equipment	159,748	115,103	257.82%	22,899	(136,849)	-85.67%
Total Expenditures	\$ 12,147,443	\$ 1,223,247	11.20%	\$ 11,907,624	\$ (239,819)	-1.97%

Notes

1

The line item only appeared on the 2003 CAFR.

Figure 8

**SUMMIT COUNTY PROSECUTOR: CHILD SUPPORT ENFORCEMENT AGENCY
PRELIMINARY AUDIT FINAL REPORT**

AUDIT OBJECTIVES AND METHODOLOGY

The primary focus of this review was to provide the Summit County Prosecutor: Child Support Enforcement Agency (CSEA) with reasonable assurance, based on the testing performed, on the adequacy of the system of management control in effect for the audit areas tested. Management controls include the processes for planning, organizing, directing, and controlling program operations, including systems for measuring, reporting, and monitoring performance. Management is responsible for establishing and maintaining effective controls that, in general, include the plan of organization, as well as methods, and procedures to ensure that goals are met. Specific audit objectives include evaluating the policies, procedures, and internal controls related to CSEA.

Our review was conducted in accordance with Government Auditing Standards issued by the Comptroller General of the United States and accordingly included such tests of records and other auditing procedures as we considered necessary under the circumstances. Our procedures include interviewing staff, reviewing procedures and other information and testing internal controls as needed to assess compliance with policies and procedures.

Based on the results of our review, we prepared specific issues and recommendations for improvement that were discussed with management. These recommendations, as well as management's unaltered written response, can be found in the following sections of this report.

Specific Objectives:

1. To obtain and review the current policies and procedures.
2. To review the internal control structure through employee interviews and observation.
3. To perform a general overview of the physical environment and security of the facilities, data, records and departmental personnel.

Scope:

An overview and evaluation of the existing policies, processes, procedures, contracts and internal control structure utilized by the department.

The following were the major audit steps performed:

OBJECTIVE 1 – POLICY AND PROCEDURES REVIEW

1. Obtain and review the current policies and procedures.
2. Meet with the appropriate personnel to obtain an understanding of the current department processes and procedures. Compare those existing processes to the policies and procedures manual for consistency, noting all exceptions.
3. Test procedures for mandatory compliance where applicable.
4. Identify audit issues and make recommendations where appropriate.

OBJECTIVE 2 – REVIEW OF INTERNAL CONTROLS

5. Meet with the appropriate personnel to obtain an understanding of the control environment.
6. Document the existing control procedures in narratives and/or flowcharts.
7. Compare existing processes to the policies and procedures manual for consistency.
8. Test procedures for compliance where applicable, noting all exceptions.
9. Investigate discrepancies and summarize results.
10. Make recommendations where appropriate.

OBJECTIVE 3 – REVIEW OF SECURITY

11. Perform a general overview of the physical environment and security of the department/ agency being audited.
12. Interview various personnel to determine that confidential information is secure and processed only by appropriate parties.
13. Obtain and review the document retention policy and determine if policies and procedures are currently in place and being followed.
14. Test security issues where appropriate.
15. Analyze current policies and make recommendations.

**SUMMIT COUNTY PROSECUTOR: CHILD SUPPORT ENFORCEMENT AGENCY
PRELIMINARY AUDIT FINAL REPORT
DETAILED COMMENTS**

I. Policies & Procedures Review:

The Internal Audit Department (IAD) obtained and reviewed the CSEA Procedures Handbook and an Orientation/Personnel Manual. These manuals were reviewed for reasonableness and the following issue was noted:

1) Issue

Upon review of the CSEA Procedures Handbook, IAD noted the following:

- a. Procedure # 100-100-015: "Client Walk-Ins-Case Related" refers to case managers seeing clients in their offices, training room, trainer's office, or interview room, however, the current procedure is to see all clients in room 101A on the 1st floor. No clients are permitted on the 5th or 6th floors. Additionally, the procedure indicates that clients can place their belongings in a secured locker on the 6th floor; however, clients currently go through a metal detector on the 1st floor.
- b. From Procedure # 100-100-001: "Personal Computer Policy" All employees assigned a PC will be required to sign an Acknowledgment of Hardware and Software on their PC and agree to Agency PC Policies and Procedures. A copy of this form will be placed in the employees personnel file. IAD noted this was not listed in the Personnel File section, as a document required in the personnel files.
- c. There is no procedure documented in Section 300-600-001.
- d. Procedure # 400-200-002: "Application for Services Request-Non PA", contains the name of a terminated employee and the name of a current employee.
- e. Procedure # 400-100-008: "Accessing Reports and Screens", #400-100-012: "Procedures Workflow" and #400-100-014: "Alerts-How to Work my Alerts", are all noted as procedures in progress. Per the Support Services Administrator, she was not sure if they were updated. Upon follow up with the Director, IAD obtained and reviewed an updated CSEA Procedures Handbook as of 8/15/06, and the procedures were still noted as "in progress".
- f. Procedure #200-200-013: "Financial Tracking", listed on the Table of Contents, was not noted as a procedure in progress, however, there was no corresponding procedure located in the handbook.

Recommendation

IAD recommends that CSEA update the applicable policies and procedures to reflect the most current process being followed by CSEA. This will ensure that the most up-to-date procedures are documented. Additionally, IAD recommends that the terminated employee's name be removed from procedure # 400-200-002 and job titles replace employee names. This will reduce the number of procedure updates needed whenever there is a change in staff. Prior to fieldwork completion, IAD obtained and reviewed from the CSEA Trainer/Procedure Writer, revised procedures for Issue 1 a, b, & d and a revised table of contents for Issue 1 c, e, & f.

Management Action Plan

No management action plan is necessary.

II. Internal Control Testing:

Internal control testing and/or observations were performed in the following areas:

- Interviews
- Personnel Files
- Expenditures
- Cash Receipts
- Random Moment Sampling
- Phone Bank

INTERVIEWS

To gain an understanding of the CSEA, IAD interviewed the following positions throughout the division:

- 1) Director
- 2) Asst. Prosecuting Attorney
- 3) Case Management Administrator
- 4) Support Services Administrator
- 5) Director of Administration
- 6) Chief Fiscal Officer
- 7) Nine Supervisors

The following issues were noted:

2) Issue

IAD noted during interviews, that there is no formal interaction with the press policy that is communicated to employees. Upon review of the Summit County Child Support Enforcement Agency Procedures Handbook, IAD did not locate a written interaction with the press policy.

Recommendation

IAD recommends that the CSEA create a formal interaction with the press policy and include it in the policy and procedures manual. This will ensure that communications with the press are handled in a consistent manner in line with the expectations of the CSEA.

Management Action Plan

A press policy has been issued as recommended by IAD. See attached exhibit G for reference.

3) Issue

It does not appear that a formal written disaster recovery plan for business continuity or data recovery is communicated to CSEA employees. Upon follow up in the Summit County Child Support Enforcement Agency Procedures Handbook, IAD did not locate a written disaster recovery plan.

Recommendation

IAD recommends that the CSEA create a disaster recovery plan for business continuity and data recovery and include it within the policy and procedures manual. This will ensure that the staff is aware of the procedures they will need to follow in the event of an emergency to ensure the continuity of the operations.

Management Action Plan

CSEA, in conjunction with the Prosecutor's Office, will develop a formal written disaster recovery plan for business continuity and data recovery. The anticipated timeframe for completion of the plan is February 12, 2007.

PERSONNEL FILES

IAD obtained and reviewed CSEA Procedures #300-400-007: 1.0 "Personnel Files," #300-500-001: 2.0 "Types of Performance Evaluations," and #300-500-002: 2.0 "Types of Performance Evaluations," as well as the current bargaining unit agreements. These procedures and agreement were reviewed to gain an understanding of the CSEA personnel file documentation requirements. The Ohio Department of Job & Family Services (ODJFS) final audit report for the CSEA for the period January 1, 2000 through December 31, 2000 and the corresponding corrective action plan was reviewed to gain an understanding of CSEA's prior audit findings in regards to personnel files. White papers on employee performance evaluations were obtained and reviewed from the Society of Human Resources Management (SHRM). IAD met with the Administrative Assistant, utilizing a personnel file questionnaire to gain an understanding of the CSEA Human Resource (HR) function. Twenty-Five employees were judgmentally selected for testing.

The following issues were noted:

4) Issue

Upon review of the personnel files selected for detailed testing of the HR file requirements, the following issues were noted:

- a. Three out of the 20 applicable personnel files, five employees were hired before the requirement of the I-9 form, which is November 6, 1986, did not contain an I-9 Verification. IAD obtained and reviewed a completed I-9 for one employee from the Administrative Assistant after testing was completed.

Recommendation

IAD recommends that CSEA bring all HR personnel files up to the current CSEA file expectations where applicable. This will ensure that appropriate file documentation is present in

the personnel files. IAD further recommends that CSEA review and update the policies and procedures to ensure the internal instructions are consistent with the CSEA Procedures Handbook.

Management Action Plan

CSEA will complete I-9 forms for all applicable staff for the time period of 1986 through 1990. CSEA was operating under the assumption that I-9 forms were only required from 1990 forward. CSEA will have the I-9 forms completed by December 1, 2006.

5) Issue

Eight out of 25 personnel files did not contain a current performance evaluation. In one instance, an employee was nine days overdue for a performance evaluation. Per internal instructions obtained from the Administrative Assistant, the review deadline for performance evaluations is twenty days after the end of the rating period. Per the CSEA Procedures Handbook Procedure #300-500-001: 2.0 "Types of Performance Evaluations," and Procedure #300-500-002: 2.0 "Types of Performance Evaluations," the employee "will receive a Performance Evaluation each year. The date used for such evaluations will be the date in which their probation period ended." It was also noted by IAD upon review of the ODJFS audit report dated October 2, 2002 that CSEA had a comment in regards to employee evaluations not being performed on 48.5% of the sample. At that time ODJFS recommended that all employees be evaluated on an annual basis to comply with OAC §5101-9-01.

Recommendation

IAD recommends that all employees receive annual evaluations. The primary goal of performance evaluations is to provide a process to assess actual performance in relation to goals and expectations. This process should be an ongoing, mutual exchange of information that promotes professional growth and contribution to CSEA. This will ensure that CSEA complies with OAC §5101-9-01, addresses the performance evaluation finding from the ODJFS and will follow best practices.

Management Action Plan

We routinely conduct oral performance evaluations of the Assistant Prosecutors. We also address performance issues as they occur. As professional unclassified at-will employees, who perform in a fiduciary capacity in cases of varying degrees, our office is satisfied that all Assistant Prosecutors are performing at or above acceptable levels.

EXPENDITURES

IAD obtained and reviewed the policies and procedures manual to determine if a formal expenditure procedure existed. Due to the lack of a documented procedure, IAD interviewed the Chief Fiscal Officer and the Prosecutor's Office Director of Administration, utilizing an internal control questionnaire to gain an understanding of the expenditure process. IAD then met with the IV-D Contract Supervisor to gain an understanding of the Title IV-D expenditure process. In addition, IAD obtained and reviewed the ODJFS final audit report and the corresponding corrective action plan for the CSEA for the period January 1, 2000 through December 31, 2000, conducted by the ODJFS, to

gain an understanding of any audit findings. Thirty expenditures from 5/31/05 through 6/30/06 were judgmentally selected to ensure that proper authorization was obtained and controls were in place. The following issues were noted:

6) Issue

Upon review of the expenditures selected for detailed testing, the following issues were noted:

- a. Three out of 30 invoices selected for testing did not contain the sign off of the Chief Fiscal Officer, or supervisor of the requesting department, indicating that the invoice was reviewed, to ensure that all amounts agreed and were correct.
- b. Two of 30 invoices selected for testing were not stamped and signed as approved to pay by the Prosecutor's Office Director of Administration.

Recommendation

IAD recommends that CSEA ensure that all signatures and approved to pay stamps are present on the invoices. This will ensure that there is indication of appropriate review and approval of the expenditure.

Management Action Plan

CSEA developed and implemented a new policy to address IAD's recommendation to ensure the appropriate review and approval of CSEA expenditures. Please see attached exhibit A for reference.

7) Issue

Upon review of the policies and procedures manual and discussion with the Chief Fiscal Officer, IAD noted that there are no written internal policies and procedures for the CSEA expenditure process.

Recommendation

IAD recommends that the CSEA develop and implement formal policies and procedures for the expenditure process. This will ensure that the current processes are being performed appropriately and consistently. Prior to fieldwork completion, IAD obtained and reviewed draft procedures for "supply/equipment requisitions and invoices" from the Chief Fiscal Officer.

Management Action Plan

CSEA has followed IAD's recommendation by developing formal policies and procedures addressing the expenditure process. Please see attached exhibit A for reference.

8) Issue

It was noted that the Summit County Adult Probation, Clerk of Courts – Legal Division, Summit County Fiscal Office, and the Domestic Relations Court (DRC) have not been submitting invoices to CSEA within the 30 days required by statute. Per Rule 5101:12-10-45.3 “Governmental contractors shall submit the JFS 07035, "IV-D Contractor Invoice" (rev. 11/2002), to the CSEA for payment no later than thirty days after the last day of the month in which the services are performed.” Per the IV-D contract Supervisor, the Summit County Adult Probation contract is awaiting approval from ODJFS. The contract for the Clerk of Courts – Legal Division was recently approved by ODJFS and is now caught up on invoicing and the Fiscal Office contract is currently being negotiated with ODJFS. Upon review of interoffice memorandums from the DRC to CSEA, it appears that the DRC has submitted invoices to CSEA for payment of Title IV-D services up to February 2006. Therefore, the DRC is six months behind in submitting invoices for services rendered. Further review of emails between CSEA and the DRC Court Administrator revealed that submittal of invoices from DRC has been an issue that has existed since July of 2005. Additionally, this issue was noted in the ODJFS audit of CSEA for the year 2000.

Recommendation

IAD recommends that CSEA communicate the 30-day requirement and the current number of outstanding invoices due for services rendered to the DRC. This will ensure that CSEA complies with the Ohio Administrative Code and will prevent any further ODJFS audit notations.

Management Action Plan

CSEA repeatedly has communicated the 30-day requirement to submit invoices to our IV-D services providers as IAD has recommended and that has not produced acceptable results. CSEA has no control over the services providers to effectuate change other than to stop paying invoices which are not submitted on a timely basis. There is no codified rule for a financial penalty in the event invoices are not submitted timely and not paying the invoices is not an option since it would result in a reduction of federal revenue to the county. However, the Prosecutor will memo the court requesting that every effort be made to comply with invoice submittal requirements.

CASH RECEIPTS

IAD obtained and reviewed the CSEA Procedure #200-200-001: “Payment Window”. IAD then met with the Chief Fiscal Officer, to gain a further understanding of the cash collections process for the CSEA payment window utilizing an internal control questionnaire and performed an observation of the cash collection process. IAD verified with the Chief Fiscal Officer that the Payment Window procedures were the most current procedures. The ODJFS final audit report and the corresponding corrective action plan for the CSEA for the period January 1, 2000 through December 31, 2000, was obtained and reviewed to gain an understanding of any prior audit findings by ODJFS. Additionally, the workpapers from REA & Associates were obtained and reviewed to gain an understanding of testing performed on CSEA during the county financial statement audit. IAD randomly selected 52 days where transactions occurred in 2005 for testing.

The following issues were noted:

9) Issue

Upon review of the CSEA Procedure #200-200-001-Payment Window and discussion with the Chief Fiscal Officer, the following procedures in the Payment Window procedures need to be updated to reflect the current cash collections process:

- a. The payment window is now located on the 1st floor.
- b. When checks are received, they are stamped with a “For Deposit Only” stamp by the Account Clerk II at the payment window.
- c. The Account Clerk III approves closed batches prior to 2:00 p.m. each day.
- d. There are three cash drawers as opposed to four. The Supervisor of the Fiscal/Collections unit is no longer assigned a cash drawer.

Recommendation

IAD recommends that the CSEA update the Payment Window procedures to reflect the most current process. This will ensure that the CSEA staff is following the most current procedures. Prior to fieldwork completion, IAD obtained and reviewed updated Payment Window procedures from the Chief Fiscal Officer before the completion of fieldwork.

Management Action Plan

No management action plan is necessary.

10) Issue

Upon review of the Summit County CSEA Procedures Handbook: Procedure #200-200-001-Payment Window, discussion with the Chief Fiscal Officer and observation of the cash collection process, there is a lack of segregation of duties between collecting cash at the payment window and preparing the daily deposits. The Account Clerk II, who collects payments during the main cashier’s breaks, is also responsible for preparing the deposits.

Recommendation

IAD recommends that the CSEA review the cash receipting, depositing, and reconciling process to ensure that there is a proper segregation of duties. Prior to fieldwork completion, the CSEA corrected the segregation of duties issue by assigning the deposit functions to an Account Clerk II who does not have any open batches.

Management Action Plan

No management action plan is necessary.

11) Issue

There were 9 of 52 Released Batch Summary Reports from the KidStar system selected for detailed testing of cash receipts where the batch summaries (subtotals of each batch) did not agree to the County Summaries (grand totals of all batches). However, it was noted that the

totals of the individual payment amounts agreed to the County Summaries. Per the Account Clerk III, when this occurs, she has to manually add the individual payment amounts to agree the totals posted to the total deposit. Additionally, the Account Clerk III stated that this is still occurring occasionally.

Recommendation

IAD recommends that the CSEA inform the state of the totaling error that is occurring in the KidStar system so that it can be corrected. This will alleviate the time it takes to manually total the individual payment amounts on the Released Batch Summary Reports. This will also ensure that the total payments posted in KidStar agree to the total deposits. Prior to fieldwork completion, the CSEA contacted the state to inform them of the issue and to determine if the problem can be corrected.

Management Action Plan

As recommended by IAD, CSEA staff contacted the State of Ohio during fieldwork and made an inquiry again on October 3, 2006. Please see attached exhibit F for reference.

RANDOM MOMENT SAMPLING (RMS)

IAD obtained and reviewed the Ohio Administrative Code (OAC) § 5101:1-31-04: Child Support Administrative Fund-(D): Child Support Random Moment Sample (CS-RMS) (ODHS 2712). The “County Coordinator’s Instructions for Administering CS-RMS” and “Instructions for Completing CS-RMS Observation Form” was obtained and reviewed from the Child Support Program Manual. Additionally, the CSEA Procedure #600-100-004: “Random Moment Sample” was obtained and reviewed to gain an understanding of the CSEA internal procedures. IAD met with the Fiscal Officer 2, who is the RMS Coordinator, to gain an understanding of the RMS process. The ODJFS final audit report and the corresponding corrective action plan for the CSEA for the period January 1, 2000 through December 31, 2000, was obtained and reviewed to gain an understanding of any prior audit findings by ODJFS. The 2nd quarter of Fiscal Year ’05 – ’06, which includes the period of 3/1/06 through 5/31/06, was chosen for testing.

The following issues were noted:

12) Issue

Upon review of the Summit County Procedures Handbook: Procedure #600-100-004: Random Moment Sample (RMS), IAD noted the following:

- a. Per discussion with the RMS Coordinator, when an employee calls off or is on vacation/sick leave and is scheduled for an RMS at that time, the RMS Coordinator attaches a leave form/call-off log to the RMS form for support. IAD did not locate this procedure in the RMS procedures.
- b. Section 1.0: Purpose A.2 states “If a worker is performing an activity that does not require SFRC notes, the worker will still need to go into the SFRC screen and record “RMS THIS DATE”. The activities that do not require SFRC notes are not documented in the procedures; therefore, it is not clear when this procedure should be followed.

Recommendation

IAD recommends that the CSEA update the RMS procedures to reflect the most current process. This will ensure that CSEA staff is following the most recent procedures. Prior to completion of fieldwork, IAD obtained and reviewed a revised RMS procedure (#600-100-004) from the Chief Fiscal Officer. IAD noted that the CSEA revised the RMS procedures to clarify when the employees must document the activity being performed during an RMS.

Management Action Plan

No management action plan is necessary.

13) Issue

Two of 354 activity codes located on the RMS Sample Reference list, containing the program and activity codes inputted into the CS-RMS software by the RMS Coordinator, did not agree to the activity codes selected by the employee on the ODHS 2712 (RMS form).

Recommendation

IAD recommends that the CSEA make the proper corrections so that the activity codes on the RMS Sample Reference list agree to the activity codes selected by the employee. This will ensure that the information submitted to ODHS is accurate. This will also ensure that the corrections are made within the two-year period as required by OAC § 5101:1-31-04.

Management Action Plan

CSEA policies and procedures regarding RMS are more stringent than ODJFS policies. Please see attached exhibit C regarding updated policies developed by CSEA. Also, please review attached exhibits D and E when the ODJFS Cleveland District Office and the ODJFS Bureau of Audit recently releases reports concerning our RMS process which was given a clean bill of health in both instances. No further CSEA action is required at this time.

14) Issue

The QuIC file containing the CS-RMS data for the 2nd RMS reporting quarter in 2006 was submitted to the Ohio Department of Human Services (ODHS) on July 5, 2006. Per OAC § 5101:1-31-04, “the QuIC file shall be submitted to the ODHS, Office of Fiscal Services, Bureau of County Finance & Technical Assistance no later than the twentieth calendar day of the month following the CS-RMS reporting quarter, or the next business day after the twentieth if the twentieth is not a business day”. The months of March through May make up the 2nd reporting quarter. Therefore, the QuIC file should have been submitted on June 20, 2006. Per the Chief Fiscal Officer, the report was not submitted timely, therefore, the state contacted her on July 5, 2006. Upon review of the QuIC log, listing the dates of submittal for the third and fourth quarters of 2005 and the first quarter in 2006, IAD noted the submittals were late as well. Submittal dates were as follows:

- a. 3rd quarter 2005: 10/28/05
- b. 4th quarter 2005: 12/27/05
- c. 1st quarter 2006: 4/25/06

Per the Chief Fiscal Officer, if 100% of the RMS samples are not correct during an upload, or if there is a problem with the upload, the upload must be submitted again. Therefore, the dates above reflect the final submission dates of the entire RMS data.

Recommendation

IAD recommends that the CSEA submit the QuIC file by the required deadline. This will ensure that the CSEA complies with OAC § 5101:1-31-04.

Management Action Plan

CSEA policies and procedures regarding RMS are more stringent than ODJFS policies. Please see attached exhibit C regarding updated policies developed by CSEA. Also, please review attached exhibits D and E when the ODJFS Cleveland District Office and the ODJFS Bureau of Audit recently releases reports concerning our RMS process which was given a clean bill of health in both instances. No further CSEA action is required at this time.

15) Issue

Upon review of the ODHS Form 2712 (RMS forms) selected for detailed testing of the RMS requirements, the following issues were noted:

Items a-c are requirements per the ODJFS Child Support Manual (CSPM): Instructions for Completing CS-RMS Observation Form:

- a. There was no selection made in Section I of the ODHS 2712 (RMS form) for 6 of 354 RMS forms.
- b. Five RMS forms containing corrections/changes were not initialed by the employee selected for the RMS, indicating that he/she made the change on the RMS form.
- c. The employee selected for the RMS did not initial 1 of 354 RMS forms. Another employee, per the RMS Coordinator, initialed the RMS form, as the employee selected for the RMS could not print the SETS screen print.

Items d-k are requirements per the Summit County CSEA Procedures Handbook: #600-100-004-Random Moment Samples:

- d. A screen print from the Support Enforcement Tracking System (SETS) was not attached to 9 of 265 applicable RMS forms in which the employee documented that he/she was working on a case or case-related activity. The sample size was reduced to 265 because the remaining 89 RMS forms did not require an attached screen print from SETS, per the CSEA Director, as the employee was on vacation, sick leave, break, or lunch at the time of the RMS.
- e. Program Code 315: "Child Support Enforcement/All Prog" and Activity Code 640: "IV-D Administrative Activities" was selected on 15 of 354 RMS forms. Per Procedure #600-100-004: RMS, Code 640 may be used with either Program Code 300: "IV-D Support/TANF/IV-E FC" or Program Code 305: "IV-D Support/Non-TANF/Medicaid". Additionally, there was no screen print from SETS attached to the 15 RMS forms showing that the employee recorded "RMS this Date" in the notes.
- f. "RMS this Date" was documented in the notes on 4 of 265 applicable screen prints attached to the RMS forms. However, the employee did not document in the notes the activity being performed at the time of the RMS. The sample size was reduced to 265 because the

remaining 89 RMS forms did not require an attached screen print from SETS, per the Director, as the employee was on vacation, sick leave, break, or lunch at the time of the RMS.

- g. Eleven of 265 applicable dates located in the notes of the SFRC screen print attached to the RMS forms did not agree to the dates on the RMS forms. The sample size was reduced to 265 because the remaining 89 RMS forms did not require an attached screen print from SETS, per the Director, as the employee was on vacation, sick leave, break, or lunch at the time of the RMS.
- h. The activity code selected on 23 of 265 RMS forms and the notes on the attached screen print did not agree and/or the notes did not support the activity selected by the employee (i.e. the employee was performing a case-related activity that did not require SFRC notes and did not attach an SFRC screen print stating "RMS this date").
- i. The case number documented on 3 of 250 applicable RMS forms did not agree to the case number located on the attached screen print. The sample was reduced to 250 because Code 002: "Case Number" was selected on the RMS forms, indicating that the employee was working on a case.
- j. The program code selected on 1 of 354 RMS forms did not agree to the "Case Type" code located on the attached screen print.
- k. The Comment Box was not completed on 6 of 89 applicable RMS forms. Per the CSEA RMS Procedure # 600-100-004: "completion is mandatory if the worker does not have comments from the SFRC screen to print and attach to the RMS form". The sample size was reduced to 89 because SETS screen prints were not required to be attached for 89 RMS forms as the employee was on vacation/sick leave/called off, lunch, or break.

Recommendation

IAD recommends that the CSEA make the proper corrections so that they are in compliance with OAC § 5101:1-31-04: Child Support Administrative Fund-(D): Child Support Random Moment Sample, the ODJFS "County Coordinators Instructions for Administering CS-RMS", and the Summit County CSEA RMS Procedure #600-100-004.

Management Action Plan

CSEA policies and procedures regarding RMS are more stringent than ODJFS policies. Please see attached exhibit C regarding updated policies developed by CSEA. Also, please review attached exhibits D and E when the ODJFS Cleveland District Office and the ODJFS Bureau of Audit recently releases reports concerning our RMS process which was given a clean bill of health in both instances. No further CSEA action is required at this time.

PHONE BANK

IAD obtained and reviewed the Summit County CSEA Procedures Handbook, Procedures 100-100-007: 1.0 "Telephone Information Unit to gain an understanding of the internal procedures of the phone bank.

The phone room is generally staffed with 10 to 11 phone bank personnel in the phone room at all times, except for lunchtime when it drops to 7 or 8. Daily personnel are composed of 4 case managers and 6 to 7 phone room operators. Case managers began substituting in the phone room in November 2005.

All calls coming into CSEA are first directed through the phone bank. No direct phone lines, or case manager email addresses, are given out to clients. An e-mail system was implemented approximately two months ago to give clients the ability to email their case manager. The only notice of this new e-mail inquiry system is found on the CSEA website.

The CSEA phone room is not automated. When all lines are busy, the call is transferred into a queue. While the client is holding on the line for the next available phone bank worker, four announcements are played at various time intervals. When the client's call is answered, the phone bank staff tracks what type of call has been received using a coding system. Code 20 is the code used for small inquiries such as CSEA's hours, directions, changing staff information, child support payments, etc. The information that CSEA provides to the client is primarily the same information provided to the client by the State. The major difference in the two systems is that the CSEA utilizes an online real time system, which provides up-to-date information, whereas the State utilizes batch processing.

IAD contacted Lucas, Montgomery, Franklin, Cuyahoga, and Hamilton counties to obtain current information regarding their organizational structure, current phone system, phone prompt and average monthly calls into the agency. Below is a chart reflecting the information collected.

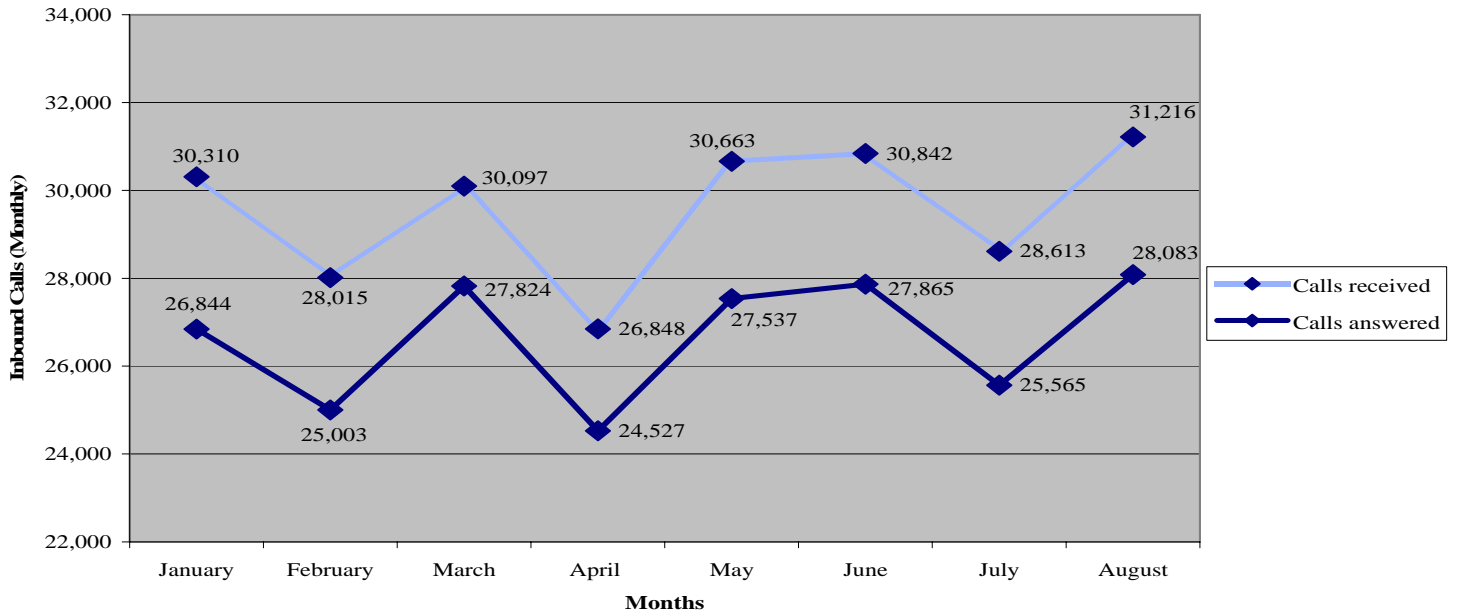
County	Organizational Structure	Phone System	Prompts	Avg. Monthly Calls into Agency
Lucas (Toledo)	County Commissioners	Sprint MAX system	partially automated	Not available.
Montgomery (Dayton)	Department of Job and Family Services (DJFS)	NORTEL Succession 100 system running Symposium software	none	22,000 calls. This number does not include calls that were abandoned before the introductory message of address and fax information was finished.
Franklin (Columbus)	County Commissioners	SBC Automated Call Distributor (ACD) and Call Center Information Management System (CCIMS) by NORTEL	automated	32,000 calls.
Cuyahoga (Cleveland)	County Commissioners	SBC Automated Call Distributor (ACD) and Call Center Information Management System (CCIMS) by NORTEL	automated	40,000 calls.
Hamilton (Cincinnati)	DJFS (Children Services Board also falls under DJFS)	AVAYA system	automated	24,000 calls.
Summit (Akron)	Prosecutor's Office	Automated Call Distribution System (ACD)- SBC is the phone service provider	none	29,600 calls.

CSEA utilizes an Automatic Call Distribution (ACD) phone bank system, which is a software application system used to monitor and track all incoming calls into the agency. Several reports were obtained from the ACD system and used to perform the following comparisons and analysis:

- a. Comparison showing the average calls received and answered per month in 2006. (Figure 15)
- b. Comparison showing the average calls received and answered from 2003-2005 (Figure 16).
- c. Analysis showing the average number of calls per day in 2006 (Figure 17).
- d. Analysis showing the average number of calls per day from 2003-2005 (Figure 18).

- e. Analysis showing the average answer time for inbound calls into the phone bank in 2006 (Figure 19).
- f. Analysis showing the average answer time for inbound calls into the phone bank from 2003-2005 (Figure 20).

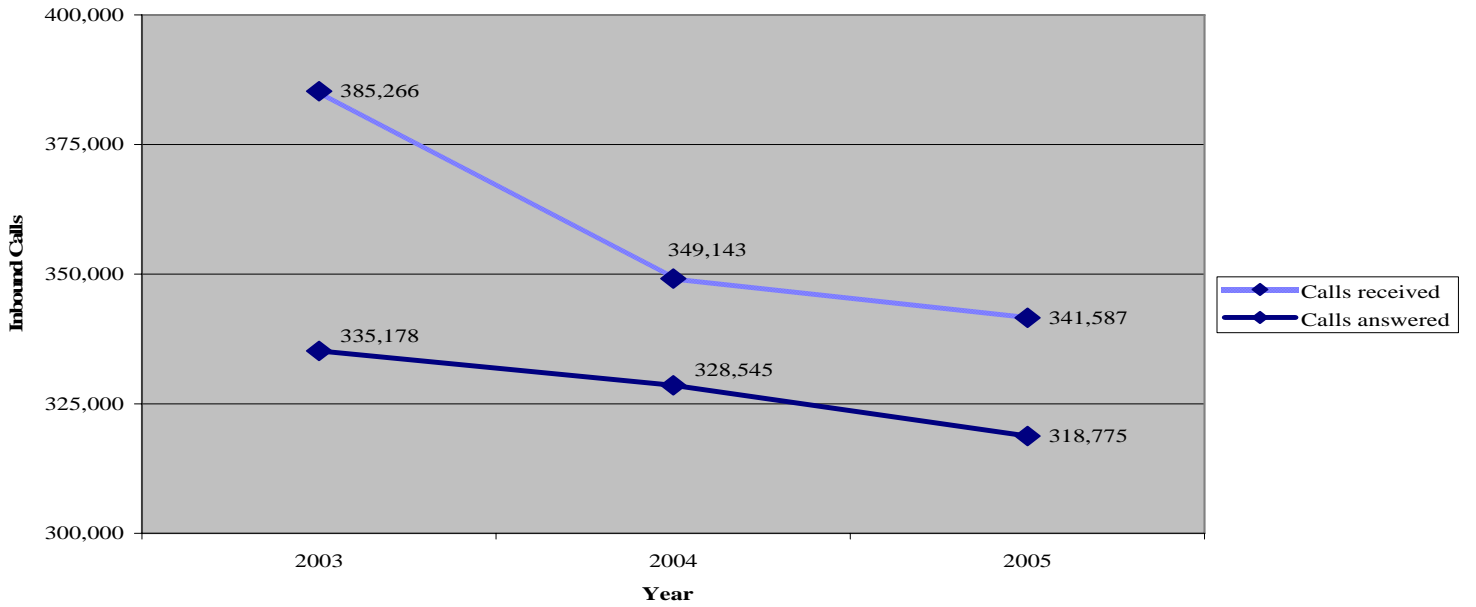
Average Calls Received and Answered per Month in 2006



Note: Difference in total numbers reflects calls abandoned by clients (e.g. voicemail or disconnect).

Figure 15

Average Calls Received and Answered 2003-2005



Note: Difference in total numbers reflects calls abandoned by clients (e.g. voicemail or disconnect).

Figure 16

Average Number of Calls per Day in 2006

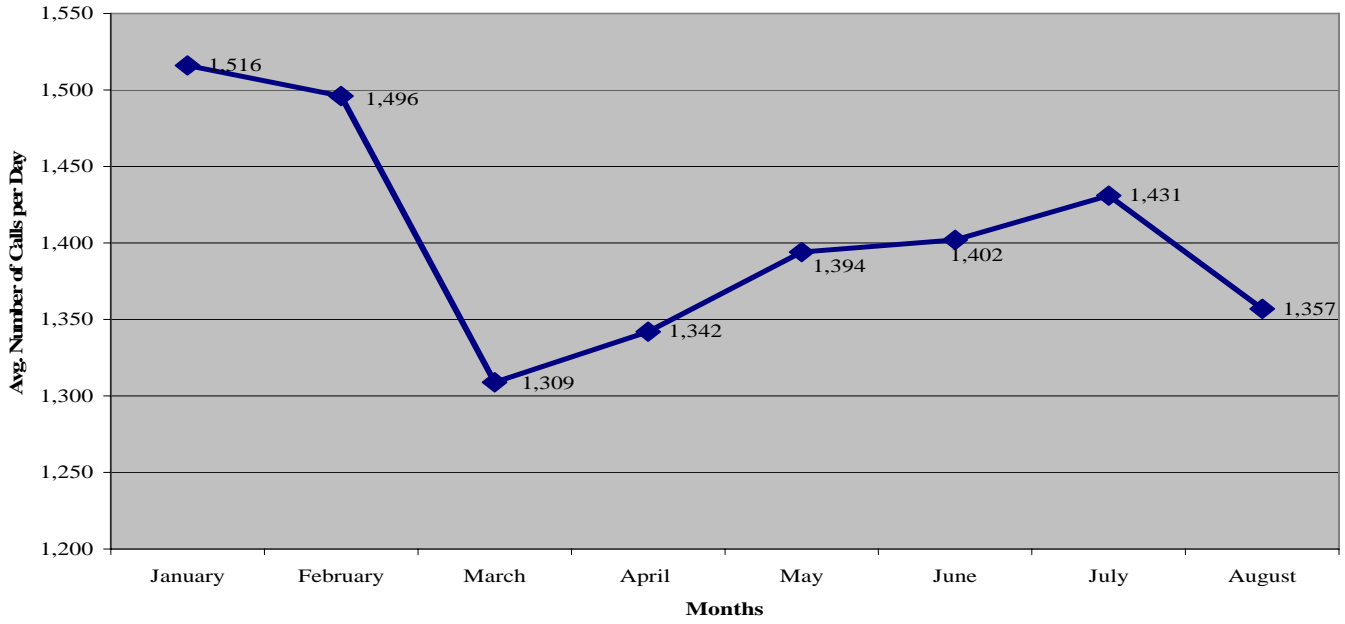


Figure 17

Average Number of Calls per Day from 2003-2005

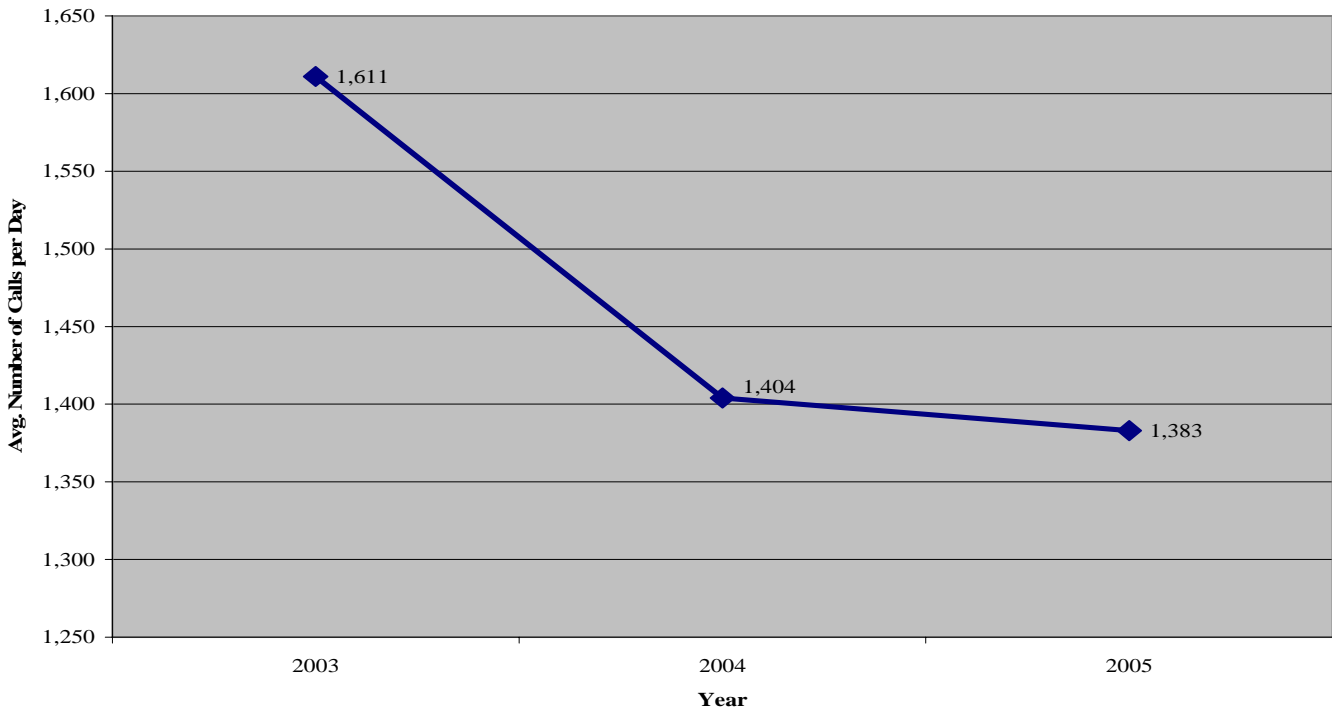


Figure 18

Average Answer Time for Calls Coming into the Phone Bank 2006

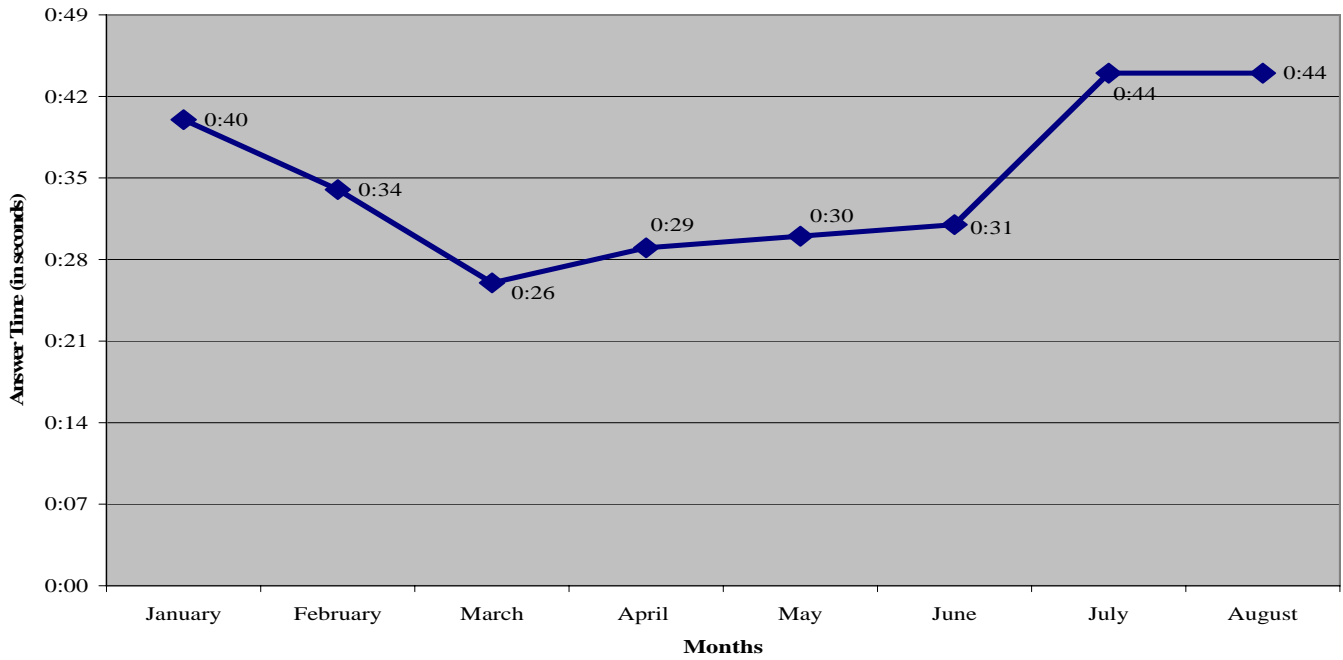


Figure 19

Average Answer Time for Calls Coming into the Phone Bank 2003-2005

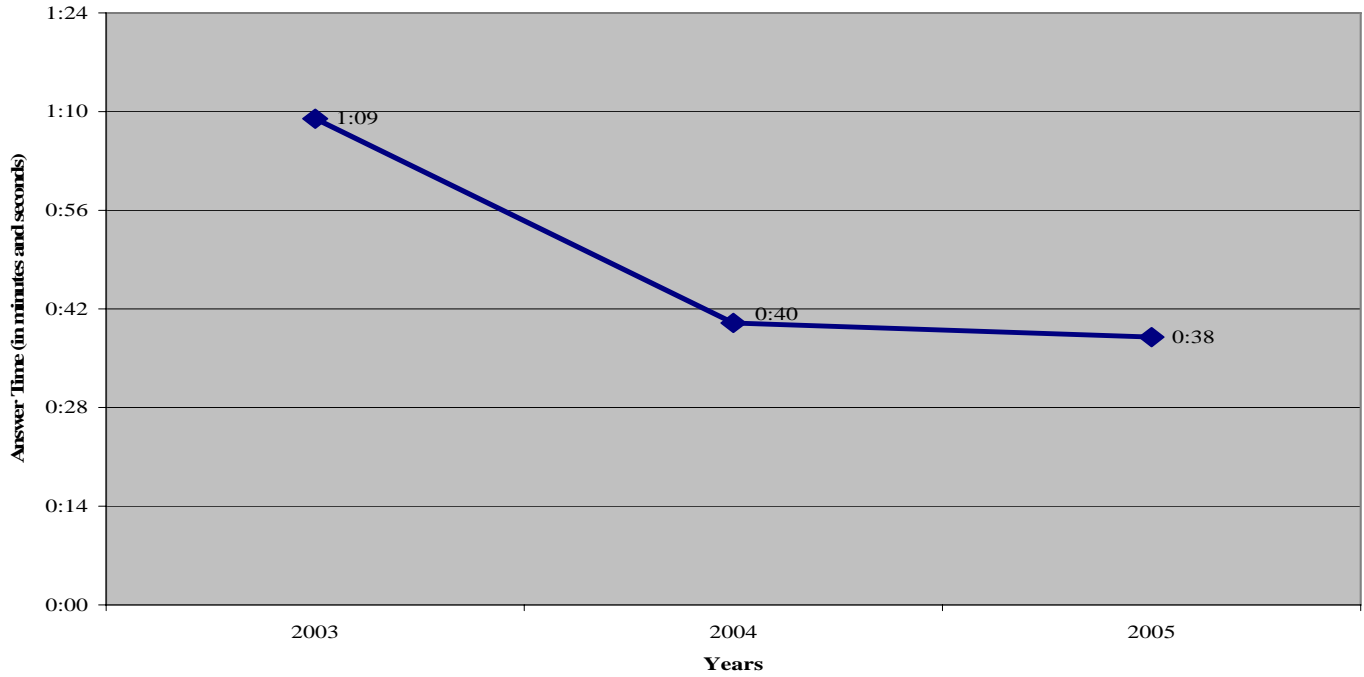


Figure 20

16) Issue

IAD noted from the 2006 phone bank statistics, obtained from the Phone Room Supervisor, that approximately one-half of the calls received in the phone room are recorded in Code 20. This code is used for small inquiries such as CSEA's hours, directions, changing staff information, child support payments, etc. The state provides primarily the same information to the client.

Recommendation

IAD attended a meeting with the Phone Room Supervisor, Support Services Supervisor, and CASNET, a document solution provider, to research an automated phone solution. IAD strongly recommends that the CSEA continue researching alternatives to automate the current Phone Bank structure in order to increase efficiencies.

Management Action Plan

CSEA has met with staff from County Telecommunications; SBC and Casnet to explore automation options in Phone Bank. On or before November 30th, two additional phone lines will be installed which will enable CSEA to implement four voice prompts for incoming callers to select from. Those prompts will include instructions on how to apply for CSEA Title IV-D services; how to obtain payment information; general office information such as CSEA's hours of operation and mailing address; and to speak with a CSEA representative.

In addition, CSEA ordered voice mail capabilities for fourteen Child Support Specialists in one of our Enforcement Units. Voice mail should be installed the week of November 13, 2006. Phone Bank staff will begin providing incoming callers the direct phone number of their Child Support Specialist so that future calls to Phone Bank will not be necessary from these callers and Phone Bank staff will not have to take messages for these Child Support Specialists. This "test" in one Enforcement Unit will enable CSEA to evaluate the effective use of voice mail after thirty days of use in this Unit at which time CSEA will determine whether or not to add voice mail capability for all CSEA Child Support Specialists.

III. Security:

Security issues noted during fieldwork are addressed under separate cover in the accompanying report in compliance with Ohio Revised Code §149.433²⁴⁸.