

<p>10-200 COUNTY EMPLOYMENT CASE MANAGEMENT WELFARE-TO-WORK SUPPORTIVE SERVICES PAYMENT PROCEDURES</p>

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PURPOSE

This handbook is to provide guidelines to county staff for operating the payment system under the CalWORKs (CW) Welfare-to-Work (WtoW) program. Each Employment Services site within a Region will maintain a Revolving Fund System (RFS) and GAIN Information System (GIS) for authorizing and issuing Supportive Service payments to WtoW participants.

SYSTEM

Either or both systems may be used for any case depending on the type of payments and time frame involved.

GAIN Information System (GIS)

This system produces computer-generated warrants that are mailed to participants. The GIS may be used for monthly payments and for individual, non-immediate need circumstances. It may also be used for lump sum payments to service providers. GIS is also used to post/record payments made from the RFS.

Revolving Fund System (RFS)

This system is used for immediate need items. The Payment Clerk (PC) will manually prepare a check or cash payment in the office which is delivered directly to the participant.

TYPES OF PAYMENTS

WtoW pays supportive services funds for:

Child care expenses incurred while participants attend WtoW appraisal or as authorized by the Employment Case Manager (ECM).
Transportation expenses related to WtoW participation.
Transportation for participants and children to child care provider.
Ancillary expenses related to WtoW participation (e.g. clothing, tools, etc.), or employment.

10-202 STAFF RESPONSIBILITIES

The following staff classifications in each Employment Services site will have separate and distinct functions in the WtoW payment system: Site Manager, Employment Case Manager Supervisor (ECMS), Employment Case Manager (ECM), "Designated" Alternate (DA), Clerical Supervisor, Payment Clerk (PC), Issuance Clerk (IC) and "Emergency Payment" Alternate.

No one staff person in any site shall have access to all functions of the payment system. As a part of normal duties, each authorized person will be responsible for only a portion of the required activities.

SITE MANAGER

The Site Manager:

Makes decisions regarding the safe keeping of cash, checks, bus tokens/tickets, and facsimile signature stamp in case of emergency, catastrophe or office shut down.
Determines staff assignments as "Designated" and "Emergency" alternates and assign replacements as needed.
Approves another person to cover the absence of a "Designate" or "Emergency" alternate.
Knows the combination of the safe.
Signs approval of the 06-136 CalWORKs Payment System Authorization Report (Appendix 1).
Sign Accountability Gram (Appendix 2), and gram for Authorization of Clerks (Appendix 3).

EMPLOYMENT CASE MANAGER SUPERVISOR (ECMS)

The ECMS:

Approves all payments in excess of \$200.00 by signing the print of the SSA1/SSA2 screen.
Maintains security of the facsimile signature stamp.
Affixes the signature stamp to all checks from the Revolving Fund System (RFS) Authorization account.
Knows the combination of the safe.
Signs Key Custody Gram (Appendix 4) as an authorized ECMS.

The ECMS does not prepare or issue payments.

EMPLOYMENT CASE MANAGER (ECM)

The ECM:

Reviews participant's request and need for supportive service funds and determine if the expense is necessary and reasonable.
Checks case record for ancillary funds previously issued to avoid duplication of payments.
Completes the SSA1 screen in the GIS to authorize payment for transportation and ancillary expenses.
Completes the SSA2 screen in the GIS to authorize payment for one-time-only child care expenses.
Obtains supervisory approval for payments in excess of \$200.00.
Authorizes system payments via the GIS by using the PAYP screen.
Posts RFS transactions to GIS daily.
Records all payments on the Payment Summary form 06-137 (Appendix 5) in the case file.

The ECM does not:

Affix the signature stamp to RFS checks.
Know the combination of the safe.
Prepare payments.
Issue RFS payments.

EXCEPTION: ECM who is a "Designated" Alternate is authorized to know the combination of the safe and affix the signature stamp to checks.

"DESIGNATED" ALTERNATE (DA)

ECMs are selected by the Site Manager to serve as DA in the absence of the ECMS. They have responsibilities that are not usually assigned to ECMs. The DA may:

Know the combination of the safe.
Be responsible for the facsimile signature stamp in the absence of the ECMS.
Approve payments in excess of \$200.00 in the absence of the ECMS.
Affix the signature stamp to checks from the RFS fund account in the absence of the ECMS.
Control one key to the cash box, as assigned by the Site Manager.

NOTE: An ECM functioning as a DA must never authorized his/her own payments in excess of \$200.00. Another DA must authorize these payments.

CLERICAL SUPERVISOR

The Clerical Supervisor:

Conducts monthly, random reviews of cash, checks, and bus tokens/tickets.
Ensures that the 06-136 Payment System Authorization Report, Cash Box Key Custody Gram and Accountability Gram for cash, checks, and bus tokens are completed, signed and sent to HHSa Fiscal Division, CalWORKs Unit whenever there is a change in staff assignments.
Acts in back up capacity for payments and issuance.

The Clerical Supervisor does not:

Affix the signature stamp to checks.
Authorize payments.

PAYMENT CLERK (PC)

Each site shall designate someone to act as PC. The PC:

Maintains custody of all cash, RFS checks, bus tokens/tickets, and all related documentation.
Maintains a maximum of \$200.00 in the cash box.
Controls one key to the cash box.
Maintains a stock of checks and bus tokens/tickets.
Prepares cash payments and types checks.
Completes miscellaneous receipt (Appendix 6) for returned money. Non-cash repayments are sent to the HHSa Fiscal Division, Collections unit at W403. The PC physically takes returned cash to Fiscal by the next working day.
Records RFS transactions to the appropriate cash or check log.

The PC does not issue the payments, which he/she has prepared, directly to the client. A separation of duties must be maintained.

ISSUANCE CLERK (IC)

Each site shall designate someone to serve as IC. The IC:

Issues RFS cash, checks, or bus tokens/tickets directly to the client.
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Obtains client signature on all required forms.
Issues return address envelopes to clients for the return of receipt as necessary.
Has access to or control of cash, checks, and/or bus tickets <u>only</u> during absence of the PC.

NOTE: When the IC is functioning as a PC, the “Emergency Payment” Alternate will be responsible for issuing payments directly to clients.

“EMERGENCY PAYMENT” ALTERNATE

Staff designated as “Emergency Payment” alternates assume the role of PC or IC as needed. The “Emergency Payment” alternate will follow the same procedures required of the PC or IC. The “Emergency Payment” alternate must never prepare and issue the same payment.

NOTE: The designation of PC and IC is used to describe the two separate job functions used in the RFS. Any designated staff can assume the PC or IC role, depending on circumstances. One clerk must never assume both roles for the same payment.

INTRODUCTION

Maintaining the security of the payment system is a primary responsibility of all staff. There are several ways this is accomplished. Specific information on the computer security system is included in the GIS section.

PAYMENT SYSTEM AUTHORIZATION REPORT

The names and signatures of the staff assigned to responsibilities related to payment systems are recorded on the 06-136 WtoW Payment System Authorization Report form (Appendix 1).

A new form must be completed whenever one of the authorized payment staff leaves or is reassigned. The Site Manager will designate a replacement staff person. The Clerical Supervisor will ensure a new authorization report form is completed, signed and forwarded to the HHS Fiscal Division, CalWORKs Unit in a timely manner.

The original form is sent to Fiscal. The Clerical Supervisor will maintain a copy for the site's record.

PETTY CASH ACCOUNTABILITY GRAM

The Site Manager and PCs are jointly responsible for the security of the Revolving Fund cash, checks and bus tokens/tickets at each site. They will sign the CalWORKs WtoW Petty Cash Accountability Gram (Appendix 2). This gram is completed when the CalWORKs payment systems are initially established. It is necessary to complete another gram if there is a change in responsible staff, or an increase or decrease in the cash allotment for the site.

If either of the Site Manager or PC is re-assigned, the Authorization of Clerk(s) (Appendix 3) is initiated and the replacement will sign it.

In either of the aforementioned situations, the Clerical Supervisor will:

Initiate the form.
Have the Site Manager sign it to authorize the changes.
Send the original to the HHS Fiscal Division, CalWORKs Unit.
Keep a copy for the site's record.

SAFE

Combination

The combination to the safe will be issued only to the Site Manager, Employment Case Manager Supervisors (ECMSs), and “Designated” alternates (DAs) in each site. The number of people who have the combination is to be kept to a minimum.

Because of staffing, the Site Manager may authorize an ECM to have the safe combination but not perform the other duties assigned to a DA. Therefore, the Clerical Supervisor will send a gram to the HHS Fiscal Division, CalWORKs Unit listing all personnel who have been given the combination. Notify Fiscal whenever there are changes in the list of personnel who have the combination.

The Clerical Supervisor will keep a record, in a secure location, indicating the date the combination was last changed and the names of the persons knowing the current combination. The Site Manager will keep the combination in a secure location.

The combination will be changed if an authorized person no longer requires access to the safe, or if the combination becomes known to an unauthorized person (the change can be accomplished in County offices by sending a work order to Office Services).

Staff having direct access to checks and cash must not have the combination of the safe. For this reason, PCs must not have the combination to the safe.

When opening the safe, visibility of the combination to other unauthorized personnel must not be permitted.

The safe will remain locked during business hours and will only be opened when necessary.

Contents

All contents in the safe are subject to audit by HHS Fiscal Division, CalWORKs Unit personnel. Refer to Section 10-211 on Audit Review for more details.

The PC will maintain a cash allotment and a working stock of checks and bus tokens/tickets for daily operations. All other cash, checks, bus tokens/tickets are to be kept locked in the safe.

CASH BOXES

During the business day, the cash box is to be kept locked in the PC's desk. When the PC leaves the work area, the desk is to be locked. At the end of the business day, the cash box is to be kept locked in the safe.

Contents

For daily operations:

Up to \$200.00 maximum in cash.
Maintain one roll/booklet of bus tokens/tickets.

Keys

Each site is to have two keys. The PC and a "Designated" alternate will each be issued a key.
The keys are to be kept in a secure location separate from the cash box itself.
The cash box keys are never to be removed from the office.

KEY CUSTODY GRAM

A Key Custody Gram (Appendix 4) will be completed by the PC and "Designated" alternate assigned cash box keys. The Site Manager will sign the gram for authorization. The Clerical Supervisor will retain the original gram and forward a copy to the HHS Fiscal Division, CalWORKs Unit.

When there is a change in payment system staff, the departing person will return the key and sign the gram so indicating. The Clerical Supervisor will send the original to Fiscal and retain a copy for the site's record.

FACSIMILE SIGNATURE STAMP

The facsimile signature stamp is a rubber stamp with a reproduction of the signature of the Agency Finance Officer. There is one stamp for each site.

The authorized ECMS is responsible for maintaining the signature stamp in a secure place separate from the checks or check imprinter. The ECMS will turn over the stamp to a "Designated" alternate prior to planned absences and inform the "Designated" alternate of the location of the stamp for unplanned absences.

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CHECK IMPRINTER

The check imprinter is to be kept in a secure location away from the checks at the end of the business day.

SEPARATION OF DUTIES

Consistent with generally accepted accounting principles, no one staff person in any site will have access to all functions of the payment system. As a part of normal duties, each authorized staff person will be responsible for only a portion of the required activities. Specific duties are outlined in Section 10-202, Staff Responsibilities.

10-204 PAYMENT TABS

Under the CalWORKs WtoW program, the GAIN payment folder is no longer needed. All required payment documentation will be filed under the Payment Tabs (Authorization, Claims and Receipts) in the WtoW case folder. One set of payment tabs is to be established for each participant needing supportive services.

Authorization Tab

File all screen prints or SSA1 payment authorization forms in excess of \$200.00 with supervisor's or DA's signature under this tab. Because the automated payment system maintains a payment history, screen prints of payments of \$200.00 or less do not need to be retained under this tab.

Claims Tab

File all child care claims that are not processed by Child Care Resource Services (CRS) under this tab. This may include child care for:

- Orientation.
- Interview with ECM.
- Other as authorized by ECM.

Receipts Tab

All receipts for transportation and ancillary expense items will be filed in chronological order. Ensure receipt can be matched to the appropriate payment (example: date and amount are visible).

PAYMENT SUMMARY, FORM 06-137 (Appendices 5A and 5B)

This form is filed under the Authorization Tab, on top of other documents.

The ECM updates the summary each time a payment is made. A current running balance of ancillary expenses will be maintained.

SUPPLIES

Materials for the CalWORKs payment tabs may be ordered through Office Services.

RETENTION

Forms under the payment tabs are considered permanent forms and may not be destroyed. Payment forms may be subfiled according to subfile instructions in the AFDC Program Guide.

Note the date forms are subfiled on the front of the case folder.

LOCATION

Payment tabs are kept in the WtoW case folder.

LOST PAYMENT FOLDERS/TABS

If review of GCLM screen reveals previous payment activities, the ECM will make every effort to locate the payment tab and Payment Summary. When it is necessary to make duplicate tabs, it is to be clearly marked "Duplicate File".

10-205 CASH PAYMENTS

Cash payments:

Are issued to clients for immediate need items.

Will not exceed a maximum of \$25.00.

Are to be issued at the CalWORKs Employment Services sites.

May be delivered off-site for issuance only in an emergency situation.

A client who is authorized to receive an amount in excess of \$25.00 may receive all or part of the funds by RFS check.

ESTABLISHING AND MAINTAINING THE FUND

A cash payment fund is to be established in each site ranging from \$300.00 to \$1,100.00. The HHSA Fiscal Division, CalWORKs Unit issues cash or checks payable to the PC or IC to maintain the fund. By putting both names on the check, either clerk will be able to cash the check.

The HHSA Fiscal Division, CalWORKs Unit monitors daily expenditures and cash balances. When Fiscal's records show the cash balance for a site is 50% of the allowable balance, Fiscal will send a reimbursement check and transmittal gram by county mail to the PC. The amount of the reimbursement check will match the total of payments posted to the GIS and contained on the GIS515 since the last reimbursement.

Because each site has individual requirements, HHSA Fiscal Division, CalWORKs Unit will accommodate the site's needs for reimbursement. The options may range from a scheduled weekly reimbursement plan to contacting Fiscal by telephone when the PC determines replenishment of funds is necessary. The HHSA Fiscal Division, CalWORKs Unit will make the final decision based on the availability of funds. Contact Fiscal if an emergency replenishment is needed.

CASH REIMBURSEMENT PROCEDURES

Upon receipt of the cash reimbursement check and transmittal gram, the PC will reconcile the funds. Using the Transmittal Gram (Appendix 7), the procedure is to add:

Cash on hand
 + amount of cash reimbursement check.
 + amounts previously issued which have not appeared on the GIS515 report

 = These amounts should add up to the total cash allotment for the site.

The PC must complete the Transmittal Gram to document that the account is reconciled.

The PC's signature serves as verification that the cash fund is in balance. The PC will return the original to the HHS Fiscal Division, CalWORKs Unit and maintain a copy for the site. Any overages or shortages in the cash fund must be reported immediately to Fiscal.

The reconciliation procedure is to be done when the check is received, not when it is cashed.

The PC or IC will cash the check and return the cash to the Clerical Supervisor or ECMS. The clerk and supervisor will count the cash together and place the funds, up to \$200.00 in the cash box, and the balance in the safe.

EMPLOYMENT CASE MANAGER PROCEDURES

An ECM authorizes a cash payment by making an entry on a Supportive Service Authorization screen on GIS:

SSA1 screen:	transportation and ancillary.
SSA2 screen:	child care.
The ECM entries on the SSA1/SSA2 screens will create a detail line on the PAYP/PAYN screen.	
When the computer system is down, the ECM will complete the Payment Authorization Form, 27-123 (Appendix 8) to authorize the payment. When the computer system is restored, the ECM will complete the appropriate SSA screen. This step is essential to the payment posting process.	
Review the Payment Summary (06-137) under the Authorization Tab in the WtoW case folder or the GCLM screen to prevent duplicate payments. If payment summary cannot be located, clear on GCLM for payment history. If the screen does not show prior payments, start a new Payment Summary.	
Check the ancillary total on the payment summary if the authorized payment is for an ancillary expense. The maximum for ancillary expenses is \$600.00 per client. The ECMS may under extraordinary circumstances increase the maximum on the SSA1 screen.	

View receipts if necessary.
Give a screen print of the SSA1 or SSA2 to the PC.

PREPARING AND ISSUING PAYMENTS

For cash payments, the PC:

Uses black ink.
Completes 06-138 Cash Payment Receipt (Appendix 9).
Enters the transaction on the Cash Payment Log before issuance.
Gets the amount of cash from the cash box.
Gives the money to the IC. The PC must ensure the receipt has been signed after issuance.

The IC:

Verifies amount of money.
Obtains client's signature on the receipt.
Gives money and pink copy of the receipt to the client.
Returns original and yellow copy of the receipt to PC.
Initials and dates the SSA1 or SSA2 screen print to indicate that the client received the fund and returns it to the ECM.

PREPARING

The 06-138 (Appendix 9) Cash Payment Receipt contains the following information:

Office.
Date.
Authorization/Receipt number.
Participant's name.
Participant's social security number.
Case name (if different from participant's name).
CalWORKs case number (include GN for aid type and FBU and Person Number).
Amount received spelled out and in number.
Purpose of payment (ancillary, transportation or child care, component and dates of service covered by the payment).

RECEIPT NUMBERING SYSTEM

All sites will number their cash receipts monthly.
The first receipt for each month will begin with the number one (1).
Continue to number the receipts consecutively until the end of the month.
If it is necessary to void a cash receipt, the PC will write "VOID" across the receipt and forward it to HHS Fiscal Division, CalWORKs Unit with the other receipts.

PROCEDURES FOR OFF-SITE DELIVERY OF CASH

Only in an emergency situation, with authorization of an ECMS, will a cash payment be delivered to a client out of the office. The PC:

Prepares the cash payment receipt.
Obtains the signature of the person who will deliver the payment on the receipt.
Makes a photocopy of the receipt. The photocopy is retained until after the cash is issued and the paperwork returned to the PC.
Gives original receipt and cash to the person who will deliver the payment.
Gives authorization SSA1 or SSA2 screen print to the person delivering the payment.
Follows up to ensure the client-signed receipt is returned by the next business day.

The person delivering the payment:

Takes the <u>original</u> receipt and cash to the client.
Obtains the client's signature on the receipt.
Issues the cash and pink copy of the receipt to the client.
Returns the white and yellow copies of the receipt to the PC.
Initials and dates the SSA1 or SSA2 screen print and returns it and, if appropriate, the yellow copy of the receipt to the ECM.

RECORD KEEPING AND POSTING

Prior to issuance, the PC records the transaction on the WtoW Cash Payment Log, Form 08-41A (Appendix 10):

Authorization number (voucher number);
Date;
Payee name;
Client social security number;

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Amount of payment; and
Subtract amount of payment from balance, enter new balance.

After issuance, upon receipt of the initialed SSA1/SSA2, the ECM records transaction on the Payment Summary, form 06-137 (Appendix 5) under the appropriate Payment Allowance column:

Date.
Amount of payment.
If payment is ancillary, add the amount of payment to the ancillary total balance.

The PC posts the transaction on GIS:

Access PAYP screen using client social security number, select function “U” for update.
Enter “CS” under the TR field for the detail line created by the ECM authorization.

After the information is posted to GIS, the system will generate a GIS 515 report (Appendix 11) which the PC will receive daily from the CalWORKs Fiscal Unit. To complete the posting process, the PC:

Locates the payment shown on the GIS 515 report and enters the GIS 515 date on the 08-41A under the column titled “Date Appeared on GIS”. A date stamp may be used.
If a name shown on the 08-41A does not appear on the GIS 515, the PC will check the GCLM screen. If the payment does not appear, it will be necessary to communicate to the ECM to re-enter the transaction.

POSTING ERRORS

If an error is discovered the same day (before the daily payment process runs at midnight) the TR code can be deleted by:

Requesting the PAYP screen with the numbered reference on GIS Example: PAYP, SSN, reference number, and
Entering “DE” for delete over “CS”.

Errors that are discovered after the daily payment process runs will be listed on a monthly error log maintained by Regional site and corrected by Regional staff. Errors can be corrected at any time except during the non-posting days.

NON-POSTING DAYS (Days in Which Transactions Cannot Be Recorded to GIS)

The last three working days of the month are always non-posting days. Staff will be notified by written memo of any additional non-posting days for the month. Transactions made during non-posting days must be entered on the GIS after non-posting days are over.

RECONCILING THE FUND – DAILY PROCEDURES

Once each day the PC will count the cash in the cash box. The total cash on hand should agree with the balance listed on the last entry of the WtoW Cash Payment Log. This process can be conducted at the end of the same day or the beginning of the next day. Once the time is decided, it will continue at the same time each day.

If the balance agrees, the PC will:

Make a photocopy of the CalWORKs Cash Payment Log and attach the original Cash Payment Authorizations/Receipts (06-138).
Sign and date at the bottom of the log and send the photocopy of the log and authorizations to the HHS Fiscal Division, CalWORKs Unit.
Draw a line on the CalWORKs Cash Payment Log after the last cash payment of the day.

If the balance does not agree:

The PC will immediately notify the Clerical Supervisor or Site Manager.
The Clerical Supervisor or Site Manager will recheck the balance, recount the cash, initial and date the CalWORKs Cash Payment Log.
If there is still a discrepancy, the PC and Clerical Supervisor will follow the procedures for cash overages and shortages below.

When the original log is completely filled, send the original to the HHS Fiscal Division, CalWORKs Unit and keep a copy for the site's record.

CASH OVERAGES AND SHORTAGES

Cash overages and shortages must be reported in writing to the HHS Fiscal Division, CalWORKs Unit by the end of the day in which the difference is discovered. The PC will complete Form 29 – Report of Cash Difference (Appendix 12). Refer to the Cash Overages and Shortages section of the Petty Cash Chapter of the Fiscal manual for more details.

Failure to report cash overages/shortages in a timely manner may result in disciplinary action.

The PC will complete Form 29 – Report of Cash Difference.

a. Line 1 through 3:

Complete the information requested on the form.

b. Line 4 - “Accountability for”:

Check the Petty Cash box and write the total authorized cash fund amount per the Accountability Gram on file at the CalWORKs Fiscal Unit.

c. Line 5 – “Cash and Cash Items on Hand”:

Write the total of coins and currencies, reimbursement checks/vouchers.

d. Line 6 – “Difference”:

Subtract line 5 from line 4. Write the amount and if the figure is a positive number, mark the shortage box. If it is a negative number, mark the overage box.

e. Line 7 – “Cause of Shortage”:

Mark the appropriate box. For those items marked with an asterisk, a “Security Incident Report”, Form FS 779 (Appendix 13), must accompany the Form 29 to the HHS Fiscal Division, CalWORKs Unit. Include a copy of the policy report, if applicable.

f. Line 8 – “Composition of Loss”:

Write the type of loss – coin, currency, etc.

g. Line 9 – “Sign”:

The PC signs.

h. Line 10 – “Approved”:

Obtain the Site Manager’s signature.

Make a copy of the Form 29 and retain with the site’s cash records.

Cash Overage Procedures

Hand deliver the completed Form 29 with the excess monies to the HHS Fiscal Division, CalWORKs Unit. DO NOT send cash via county mail.

Cash Shortage Procedures

If the loss is more than \$50.00, immediately call the HHS Fiscal Division, CalWORKs Unit Accounting Technician and the Agency Internal Security Manager. Send a completed Form 29 to the HHS Fiscal Division, CalWORKs Unit who will process it through General Accounting Department in order to replenish the revolving cash fund.

Losses over \$50.00 require departmental head signature. The HHS Fiscal Division, CalWORKs Unit Accounting Technician will obtain this signature upon receipt of the Form 29.

RESETTING THE ANCILLARY FUND BALANCE

CalWORKs (AFDC) recipients enrolled in GAIN prior to enrollment in WtoW may have received Ancillary Funds under GAIN and a payment history on the GIS Ancillary payment screens. It is the intent that all recipients have an available Ancillary balance of \$600 at the time of their WtoW enrollment. The following instructions allow staff to reset a participant’s Ancillary Fund balance to \$600 effective upon the participant’s WtoW enrollment.

View GCLM Screen

Before issuing ancillary payments for a participant, view the GIS GCLM screen to determine the amount of ancillary funds issued since the implementation of WtoW on April 1, 1998.

Total Funds Issued

Total the amount of ancillary funds issued to the participant since April 1, 1998.

Access SSA1 Screen

Access the SSA1 screen and select on of the following actions:

No Ancillary funds were ever issued.	Change the "ANC MAXIMUM" field amount to \$600 if it still shows \$450 and press ENTER.
Ancillary funds issued under GAIN, but none under WtoW.	<ul style="list-style-type: none">• Access the "ANC PAID" field and erase the field amount.• Enter \$600 in the "ANC MAXIMUM" field if it still shows \$450 and press ENTER.
Ancillary funds have been issued after implementation of WtoW, look at the ANC PAID field.	<p>If the amount in the ANC PAID field is the same as the WtoW Ancillary expenditure total from the GCLM screen:</p> <ul style="list-style-type: none">• Access the ANC MAXIMUM field and change the \$450 to \$600,• Erase the rest of the field and press ENTER. <p>If the amount in the ANC PAID field is different from the WtoW Ancillary expenditure total:</p> <ul style="list-style-type: none">• Change the ANC PAID field to the WtoW Ancillary expenditure total,• Erase the rest of the field,• Access the ANC MAXIMUM field and change it to \$600,• Erase the rest of the field,• Press ENTER.

The above procedures reset the participant's Ancillary Funds to the proper amount for each field at the bottom of the SSA1 screen.

10-206 CalWORKs REVOLVING FUND CHECKS

Payments by check can be made for amounts from \$5 up to \$250. Amounts in excess of \$250 require more than one check or issuance through GIS. The decision on the type of payment system to be used for payments in excess of \$250 will be made by the ECM.

RFS checks are payable for only thirty (30) days and must be cashed within thirty (30) calendar days from date of issue.

Checks may be made payable to a CalWORKs participant or to a vendor for the participant. For vendor payments, the ECM needs to obtain a written estimate or receipt.

ACQUIRING CHECKS

The HHS Fiscal Division, CalWORKs Unit will provide each site with:

Request and Receipt for Fiscal Supplies, Form 08-30 (Appendix 14).
A series of numbered checks.
WtoW Check Register, Form 08-38A (Appendix 15) which corresponds numerically to the checks.

When the supply of checks runs low, the PC:

Telephones the HHS Fiscal Division, CalWORKs Unit, or
Sends in the completed Form 08-30 to Fiscal. The PC writes in the words "CalWORKs Revolving Fund Checks" below the "Rolls of Bus Tokens" line when requesting checks.

The PC or designated person:

Picks up the checks and fiscal supplies from Fiscal.
Reviews numeric sequence of checks and check registers.
Signs Form 08-30, obtains the Clerical Supervisor's signature and returns the original 08-30 to Fiscal.
Stores checks in the safe, separate from the signature stamp or the check imprinter.

AUTHORIZATION

The ECM authorizes a RFS payment by making an entry on the Supportive Service Authorization screen on GIS:

SSA1 screen: transportation and ancillary.
SSA2 screen: child care.
The ECM obtains supervisory approval for payments in excess of \$200.
If the computer system is down, the ECM completes a 27-123 Payment Authorization Form (Appendix 8) to authorize the payment. Once the computer system is restored, the ECM completes the appropriate SSA screen.
Review the Payment Summary (06-137) under the payment tab or the GCLM to prevent duplicate payments. If Payment Summary cannot be located, clear on GCLM for payment history. If the screen does not show prior payments, start a new Payment Summary.
Check the ancillary total on the Payment Summary if the authorized payment is for an ancillary expense. The maximum for ancillary expenses is \$600 per client. The ECMS may under extraordinary circumstances increase the maximum on the SSA1 screen.
View receipt if required.
Give a screen print of the SSA1 or SSA2 to the PC.

CLERICAL PROCEDURES

Verification

Upon receipt of the SSA1 or SSA2, the PC:

Verifies supervisory approval for payments in excess of \$200.
Checks the SSA1/SSA2 or PAYP/PAYN screen to: <ul style="list-style-type: none">• Verify that the dates and amounts are correct.• Ensure that there is a detail line per RFS check.• Check that two or more detail lines are used for payments over \$250.

Preparing the Check

The PC types on the check the following information:

ECM number.
Client social security number.
Full name of the client.

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Date of issue.
Payee name(s) typed in capital letters with an asterisk (*) before and one asterisk after the name.
Type first name first, last name last.
If the payee is a vendor, type vendor's name in capital letters with one or more asterisks before the name and one or more asterisks after VENDOR FOR and client name. Example: *SEARS VENDOR FOR MARTHA WASHINGTON*
The amount of payment with one or more asterisks before and one or more asterisks after the typed amount.

The check imprinter is used to imprint the amount of the check. The PC must ensure that the imprinter is set for the correct amount. Recommended procedure is to set the imprinter to zero after each check.

If the imprinter is inoperable, it is acceptable to type the amount on the check.

Errors

The PC may make corrections on any field of the check if the original check and duplicate copies are legible.

Follow the non-issue procedures when an error is made in the amount field by the check imprinter or if corrections made cause the check or the copies to be illegible. The PC will:

Write in (red) ink or stamp "Non Issue" over the signature field on the original and all copies.
Enter words "Non Issue" on the check register.
At the end of the day, attach non-issue/void checks to the WtoW check register form 08-38A. These checks must be entered on the check register.

Signature Stamp

If the check is properly completed, the PC will give the check, check copies, SSA1/SSA2 screen print and completed WtoW check register to the ECMS or "Designated" alternate. The ECMS or "Designated" alternate will:

Review the check and register for accuracy.
Affix the signature stamp to the signature line of the check.
Return the signed check and register to the PC.

The PC separates the copies from the original prior to issuance and gives the original check, the register and SSA1/SSA2 screen print to the IC.

Issuance

The IC:

Delivers the check to the client.
Requests picture identification from the client or has the ECM identify the client if no picture identification is available.
Obtains the client's signature on the register.
Gives the client the check.
Signs the receipt and returns it to the PC.
Initials and dates the SSA1/SSA2 screen print and returns it to the ECM.

If the payment is for a vendor, the ECM or IC will give the client a postage paid envelope to use to return the receipt to the office after the purchase is made.

CHECK REGISTER

All checks including Non-issue and/or VOID checks must be entered on the Check Register form 08-38A (Appendix 15). Using black ink, the PC enters the following information:

Date.
Payee/vendor name.
Social security number.
Amount of payment.

NOTE: Non-Issue checks are RFS checks which have been printed, but not issued to the client, and for a variety of possible reasons, it is decided not to issue the check.

Voided checks are checks which have been printed, issued to the client, and then returned by the client prior to being cashed.

PROCEDURES FOR OFF-SITE DELIVERY OF CHECK

Occasionally it is necessary to deliver a check to a client out of the office (with the approval of an ECMS). The PC types the check and completes the WtoW Revolving Fund Check Register, 08-38A and:

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Makes a photocopy of the WtoW check register to be sent with the check.
Writes or types “for delivery – see attached” in the signature box on the <u>original</u> 08-38A.
Obtains the initial of the person delivering the payment in the signature box of the <u>original</u> 08-38A.

The person delivering the payment takes the check and a copy of the check register to the client. After obtaining the client’s signature, the register is returned to the PC. The PC attaches it to the original log and sends both copies to the HHSa Fiscal Division, CalWORKs Unit. If the original register has already been sent, forward the copy with the original signature to Fiscal.

A sample of a correctly prepared check register may be found in Appendix 16.

AFTER ISSUANCE

The ECM enters the payment on the CalWORKs Payment Summary with the following information:

Dates and service covered by the payment.
Amount.
If ancillary, update the balance.

POSTING

The PC:

Accesses the GIS, PAYP screen by participant social security number, function “U” for update.
Enters issue date in the “Issue Date” field. Example: January 21, 1998 is entered as 012198.
Enters the check number in the warrant field. It is necessary to enter a zero (0) before the check number if there are insufficient characters to fill the field.
Enters “IM” in the TR field.
Presses “Enter”. Wait to ensure the entry is posted.

Only one RFS fund check per client can be posted per day. However, one RFS can be issued to cover multiple detail lines. The PC may also post a cash payment or issue a GIS system payment at the same time a check transaction is posted.

POSTING ERRORS

If an error is discovered before the end of the day, the TR code can be deleted by:

Requesting the PAYP screen with the numbered reference,
Entering "DE" for delete over the "IM" in the TR field,
Entering correct payment amount.

Errors that are discovered after the daily payment process runs will be listed on a monthly error log maintained by the Regional site and be corrected by the Regional staff. Errors may be corrected at any time except during the non-posting days.

NON-POSTING DAYS

The last three working days of the month are always non-posting days. Staff will be notified by written memo of any additional non-posting days for the month.

RECONCILING THE CHECKS

At the end of the day, the PC:

Draws a line on the register after the last payment is issued for the day to indicate separation of days.
Reviews the check register to ensure that each check has been entered.
Compares the first unused check number on the checks to the first unused number on the check register to ensure they are the same.
Photocopies the register and attaches the carbon copies of the checks issued and posted, as well as all copies of non-issue checks.
Sends the above to the HHS Fiscal Division, CalWORKs Unit.

When each page of the check register is completed, the PC:

Makes a photocopy for the site's record.
Mails the <u>original</u> to the HHS Fiscal Division, CalWORKs Unit along with non-issue void checks and copies of checks that have not already been forwarded.

MISSING CHECKS

If a check is missing, the PC must notify the Clerical Supervisor. The Clerical

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Supervisor will conduct a preliminary investigation. If the check cannot be accounted for, contact Internal Security to complete a full investigation. The Clerical Supervisor will also report the findings to the Site Manager and Fiscal.

Procedures for reporting missing checks are contained in the Fiscal Manual, Chapter 7, Immediate Need Warrants, Section XII Daily Inventory.

INTRODUCTION

The GAIN Information System (GIS) is a computer system used in the CalWORKs program. The GIS contains a process to pay CalWORKs participants and providers for ancillary, transportation and child care services by generating warrants which are delivered by US mail. Payments issued through other sources are also recorded on GIS. The GIS Payment System contains four separate functions. They are:

- Payment Authorization

The ECM authorizes supportive service payments by entering the payment information on a payment authorization screen.

- Payment Issuance

The ECM enters a transaction code to authorize a payment through GIS.

The ECM enters a transaction code to record a payment made through the RFS system.

- Provider Registration

Used to issue payments directly to providers.

- Fiscal Activities

Include balancing, cancellations and claiming.

SECURITY ACCESS AND CONTROL SYSTEM (SACS)

System Access

The SACS will require a User ID and password to access the GIS. All staff have been identified for inclusion in a group with a specified range of GIS capability. These groups include:

Group 1	CalWORKs Administrators
Group 2	CalWORKs Employment Case Manager Supervisor
Group 3	CalWORKs Employment Case Manager

Group 4	CalWORKs Clerical Staff
Group 5	CalWORKs Clerical Supervisors and Payment Clerks
Group 6	GIS Troubleshooters.

Users can be provided access to each individual GIS screen. This access can be for inquiry, update, add or delete. All groups have inquiry ability. Additional capabilities are restricted to security groups. CalWORKs staff are provided all of the capabilities needed to complete their jobs. As an example of how capabilities are restricted, the ability to authorize payments will be provided only to Employment Case Managers.

Log On

When the GIS is requested by typing "GN01", the security screen will be displayed. Enter the user's worker number and password. Note: the worker number is also the GIS logon ID.

Log Off

The method to log off the GIS:

Return cursor to HOME field (top left corner of the screen).
Enter the word END with a space where the screen is usually typed.
Press the ENTER key.

The message "User logged off from SACS security" will be displayed at the bottom of the screen.

The user must use this method to log off the GIS to prevent someone else from making entries under his/her password. If the user presses the CLEAR key, he/she will be logged off from the GIS but not the SACS. Only the message "GAIN application session ended" will be displayed at the top of the screen in this instance.

NOTE: "GAIN application session ended" shows each time at the top of the Screen. That is why the "SACS" message appears at the bottom.

Timeout Feature

SACS also includes a timeout feature. This feature sets a time limit for the SACS when no entries are being made. The timeout feature for all security groups is 20 minutes.

PAYMENT AUTHORIZATION

The ECM is responsible for:

Entering payment authorization on the GIS.
--

Obtaining ECMS approval for all payments in excess of \$200.
--

Supportive Services Authorization 1 (SSA1) Screen

The ECM authorizes transportation and ancillary payments on the SSA1 screen. See Appendix 17 for instructions for completion of the SSA1 screen.

The ECM may authorize transportation payments to the participant or to a participant and a provider. Ancillary payments may be authorized to a participant or a one-time-only provider.

Supportive Services Authorization 2 (SSA2) Screen

The ECM authorizes child care payments on the SSA2 screen. See Appendix 18 for instructions for completion of the SSA2 screen.

Payee Modifiers

ECM may use the payee modifier on the SSA1 screen to issue a GIS warrant to a participant and provider or vendor. To use the payee modifier, the payment must still be issued to the participant.

The payee modifier will accept either "FOR" or "AND". If the ECM enters "FOR", the warrant will be in the provider's name FOR the participant. If the ECM enters "AND", the warrant will be in the participant's AND the provider's name. In either situation, the warrant will be mailed to the participant.

Whenever a payee modifier is used, the ECM must still enter "R" in the "TO" field. The ECM must enter a "P" in the "TO" field only for lump sum payments such as GED fees. The provider number must be entered when a "P" is used. Refer to CALWORKS PROVIDER NAME INQUIRY (PREQ) near the end of this section on how to inquire into the provider's file.

Payments in excess of \$200 require supervisory approval. The ECM obtains the ECMS signature on a screen print and files it under the Authorization Tab.

PAYMENT REMINDERS

FCAR

The FCAR tickler system was devised for on-going monthly transportation payments of \$200 or less. ECMs review their FCAR tickler list monthly to determine payments requiring issuance.

The ECM enters:

Payment authorization.

The FCAR free form tickler with the action date at the end of the participant's component or 6 months whichever is less.
--

Use of the FCAR ticklers may vary from site to site with some offices opting not to use the system. The offices which use the FCAR ticklers may set a monthly deadline for ECMs to enter the authorization to ensure warrants are mailed on a timely basis.

The ECM deletes the FCAR at the end of six months or when the participant no longer requires the on-going payment.

PAYMENT ISSUANCE

When an authorization for services is entered on the SSA1 or SSA2 screen, the detail line created by the entry of the authorization is displayed on the PAYP or PAYN payment screen. These screens are used to issue GIS warrants and post RFS transactions.

PROCESSING PAYMENTS

When issuing a GIS payment, the ECM:

Requests PAYP or PAYN screen as appropriate by participant social security number and function "U" for update. Check for duplicate payments.
--

Verifies the payment detail information is correct.

Enters "SU" on the TR field.

Records the payment on the participant's Payment Summary (Form 06-137) in the participant's case folder.
--

When a transaction code is entered on the PAYP or PAYN, a REFERENCE number is assigned to all of the detail lines with transaction codes. Occasionally, more than one warrant is issued from the same REFERENCE number, or a warrant is issued and an RFS payment is posted under the same REFERENCE number. For example, a transportation payment is issued to the client but the ancillary payment has a payee modifier. The GIS will issue 2 separate warrants from the same REFERENCE PAYP screen. When this occurs, the WARRANT field will contain an asterisk (*).

During the nightly batch process, a warrant is generated for the client. The warrant is held by Fiscal until 12:00PM on the next working day. The warrant is then sent in US mail to the registrant in envelopes marked "Return Service Requested".

HOLD OF A NON-MAILED WARRANT

If necessary, the ECM may contact Warrant Control prior to 12:00PM deadline to hold a warrant before it is mailed.

LUMP SUM PAYMENTS

Some ancillary providers are issued one payment to cover the supportive service payments for more than one client. The lump sum payments are most frequently used to pay the fees for Adult Education participants.

Upon receipt of an invoice or list of names from the provider of payment due, the PC will notify the appropriate ECMS. The notification will be in written form or by photocopying the invoice and highlighting the names for whom the ECM is to authorize payments. The site will establish a due date for the ECM to enter the authorization screens.

The PC will:

Access the PAYN screen, provider number.
Verify that the names of the participants for whom payments are due are all listed on PAYN. If so: <ul style="list-style-type: none">• Enter "SU" in the PAY CD field,• Make a note of the reference number at the bottom of the screen.

If any names are missing, the PC will check with the appropriate ECM to verify if the payment will be authorized.

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On the next day after the payment is issued, the PC will make a screen print of the PAYN screen with the numbered reference to mail to the provider. The PC can access the GCLM screen for one of the participants to obtain the warrant number. The warrant number is then written on the PAYN screen print. This will enable the provider to determine the participants covered by the warrant which is mailed separately from Fiscal.

The PC will also maintain a copy of the PAYN screen with the numbered reference with the original request for payment from the provider for the site's record.

DELETING A TRANSACTION CODE

A transaction code may be deleted before the batch process is run by requesting the PAYP or PAYN screen with the numbered reference. The transaction code of "DE" can then be entered over the previous code entered in the TR field. Cancellations are also processed on the numbered reference screen.

PAYMENT ERRORS

If a "SU" transaction code was erroneously entered to issue a GIS warrant when the code should have "posted" a RFS check or cash, it can be corrected by:

Deleting the "SU" if the batch process has not run, or
Holding the warrant if the batch process has not run, or
Processing the warrant as an overpayment and have the ECM re-enter the authorization so the RFS check or cash can be posted.

If an "IM" or "CS" transaction code was erroneously entered to post an RFS transaction and the code should be "SU" to issue a warrant, it may be corrected by:

Deleting the "IM" or "CS" if the batch process has not yet run, or
Re-entering the authorizations so that a GIS warrant can be issued.

Errors may be corrected by Regional staff at any time except during the non-posting days.

CANCELLATION OF GIS WARRANTS

GIS warrants can be cancelled, or cancelled and reissued. No warrant is to be cancelled until Fiscal has possession of the warrant. When a warrant is returned in US mail, it is sent directly to Fiscal. Upon receipt of a returned warrant, Fiscal notifies the Payment Site by fax.

GIS will not cancel an incorrect warrant amount nor will the system cancel the same warrant twice. Once the warrant has been cancelled, the GCLM information will contain a transaction code (-) to reflect the cancellation. Once a cancel transaction coded is entered, it cannot be deleted.

I. Canceling a warrant when one warrant was issued:

Obtain the WARRANT number, REFERENCE number, and warrant amount from the participant's GCLM screen.
Request the PAYP or PAYN screen <ul style="list-style-type: none">For participant warrants enter PAYP (the SSN), (the REFERENCE number) With a function of "U".For provider warrants, enter PAYN (the SSN), (the REFERENCE number) with a function of "U".
Check the WARRANT field, if there is an asterisk (*), see Section II below.
Enter the following: <ul style="list-style-type: none">The warrant numberThe warrant amount in the TOT AMT field and erase end of the field (EOF).One of the following transaction codes in the PAY CD field:<ol style="list-style-type: none">"RE" to cancel and reissue the warrant in the same amount,"CA" to cancel.
The message at the bottom of the screen will state "Press ENTER to cancel warrant". Press ENTER.

II. Canceling a warrant when there is an asterisk (*) in the WARRANT field:

Obtain the WARRANT number and the REFERENCE number from the participant's GCLM screen.
Request the PAYP or PAYN screen: <ul style="list-style-type: none">For participant warrants, enter PAYP (the SSN), (the REFERENCE number) with a function of "U",For provider warrants, enter PAYN (the SSN), (the REFERENCE number) with a function of "U".

Enter the following:

- The warrant number,
- The warrant amount in the TOT AMT field and erase end of field (EOF)
- One of the following transaction codes in the TR field on the detail line:
 - 1 "RE" to cancel and reissue the warrant in the same amount, or
 - 2 "CA" to cancel.

The message at the bottom of the screen will state "Press ENTER to cancel warrant". Press ENTER.

WARRANT INQUIRY

Warrant status inquiry is accessed in a two-step process. Step one obtains the warrant number and step two determines the status of the warrant with the Auditor's Office.

Warrant Number

Access the GCLM screen to obtain the warrant number when informed that the recipient has not received a check.

Warrant Status Inquiry – AC01 Screen

The AC01 screen will allow the viewer to review the status of the warrant with the Auditor's office once the warrant number is known.

The warrant inquiry is completed as follows:

Access the SS clearing screen.

Type in "AC01".

Press the space bar once.

Type in the two-digit series number and the six-digit warrant number.

NOTE: The series number is always 06.

Press ENTER.

The following screen should appear:

TYPE	DATE	AMOUNT	S	TYPE	DATE	AMOUNT	S
I	05/01/98	565.00	1	P	05/05/98	565.00	1

On each transaction, the following information should appear:

Type of transaction:		
I	=	Issued.
P	=	Paid/Posted.
C	=	Canceled.
V	=	Void
S	=	Stop Payment
W	=	Warning
H	=	Hold Out (warrant not charged to the County).
B	=	Charge Back.
Blank	=	Warrant is Outstanding.
Date		
Amount of warrant		

GIS SCREENS

This section provides an overview of the functions of the following GIS screens: PREG, PREG, PAYN, PAYP, GCLM, SSAH and GWAR. Specific instructions and detailed information on these screens are available in the GIS Manual.

CALWORKS PROVIDER REGISTRATION (PREG)

Supportive Service providers may be registered on the Provider Registration (PREG) screen if GIS warrants will be sent directly to the provider. Transportation providers' numbers begin with "TRS" followed by three numbers. Ancillary providers begin with "ANC" followed by three numbers.

Refer to GIS Manual for further instructions on registering a provider.

CALWORKS PROVIDER NAME INQUIRY (PREQ)

The PREQ screen allows the CalWORKs ECM to inquire into the GIS provider file by provider name. The PREQ screen will also display names that are similar to, or sound like the name entered. The only access mode allowed for the PREQ screen is Inquiry.

NOTE: If entering the provider's name does not access the provider's file, try again by only entering the first letter of the provider's name.

PARTICIPANT (PAYP) AND PROVIDER (PAYN) PAYMENT

The GIS treats the payment screen as though it was an invoice. As a payment

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detail line is created by the ECM's authorization, the "invoice" contains a zero reference number. Once a transaction code has been entered on the detail line to issue a warrant or record a payment issued through another system, the GIS assigns a reference number to the invoice (screen). This reference number will be displayed at the bottom of the screen. That night during the batch process, the detail lines will be processed and will no longer be displayed on the zero reference screen. These detail lines can be viewed by requesting the screen with the reference number. Reference numbers can be found on the claiming screen (GCLM).

GIS CLAIM HISTORY (GCLM)

This screen displays all paid claims listed under the participant's social security number even though the warrant may have been paid to either the participant or the provider. The GCLM screen displays all claim warrant records including payments, cancellations and adjustments.

If a date is also entered, the display will begin with the claim warrant records that have an issue date equal to or older than the date entered. Records on the GCLM screen are displayed in reverse issue order with the most recently issued record on the top of the screen.

SUPPORTICE SERVICE AUTHORIZATION HISTORY (SSAH)

The SSAH screen displays the supportive service authorizations created from the SSA1 and SSA2 screens. This screen displays service authorizations in reverse chronological order based on the date the record was sent to history. Because the authorization history displayed does not necessarily match the services that were actually paid, GCLM provides a more accurate payment history.

Authorizations displayed on this screen are historical authorizations. Current authorizations are not displayed on this screen and are displayed on the SSA1 or SSA2 screen.

GAIN WARRANT REGISTER (GWAR)

The GWAR screen is an inquiry only screen and displays information about a particular warrant. GWAR will display both provider and participant warrants. The presence of a warrant on GWAR may not mean that the payment was issued. The transaction field on this screen indicates whether the warrant was issued, cancelled, reissued, etc (see Warrant Status Inquiry on page 35).

When a specific warrant is entered, the screen display will show information for that warrant. The user may scroll forward or backward with F9 or F10 key to view warrants numbered before or after the warrant number initially entered.

Warning: Do not access GVAR without a valid warrant number or you will get stuck with the clock.

ESTABLISHMENT OF FUNDS

Tokens

The PC contacts Fiscal to arrange for pick up of bus tokens. The Clerical Supervisor will sign the completed Request and Receipt of Fiscal Supplies, Form 08-30 DSS. Include the word "CalWORKs" on the form below the mail stop box.

When the PC is notified the tokens are ready, he or she will pick them up and sign the required receipt. Receipt of bus tokens must be acknowledged by the Clerical Supervisor or other supervisory staff person by sending the signed form 08-30 DSS back to Fiscal.

An authorization of Clerk(s) form (Appendix 3) must be completed, signed and kept on file with Fiscal stating the persons responsible for the bus tokens.

Tickets

Bus tickets of North County Transit System are ordered through the CalWORKs Operations Administrative Secretary (or any other designated person) at the end of the fiscal year. The amount of tickets ordered is based on the estimated usage for the next fiscal year. Tickets are only valid for a certain period of time. Any unused tickets are turned in to the Administrative Secretary. The Administrative Secretary is to contact North County Transit System to check whether expired tickets can be exchanged for new tickets, when there are unused tickets from the previous year.

A check will be issued to the Clerical Supervisor to take to the North Transit to purchase tickets.

Staff Changes

Refer to the Bus Token Chapter of the Fiscal Manual, Section IV, for procedures to change the person responsible for bus tokens/tickets.

SECURITY

Payment Clerk (PC)

The PC is responsible for the security of the bus tokens/tickets. Bus tokens are equivalent to a cash value of \$1.75 each or \$87.50 for each roll of 50 tokens. Bus tokens must be handled with the same care as cash.

The PC is permitted to keep one roll of bus tokens in the cash box. The balance is stored in the safe.

Clerical Supervisor

The Clerical Supervisor in each site periodically conducts bus tokens/tickets count and reviews the log. This is to be done at the time the Clerical Supervisor conducts the random monthly review.

If the fund is not in balance, the Clerical Supervisor will re-check the logs, tokens/tickets and vouchers. If the problem is not resolved, the Clerical Supervisor will follow the procedures in the Bus Token Chapter, Section VII, of the Fiscal Manual.

HHSa Fiscal Division, CalWORKs Unit

HHSa Fiscal Division, CalWORKs Unit also conducts a review of the bus tokens/tickets during the field audits.

AUTHORIZATION

The Supportive Service Authorization screens (SSA1, SSA2) are not used to authorize issuance of bus tokens or tickets to participants. When bus transportation is needed, the ECM completes a 06-138 form (Appendix 9) and forwards it to the PC.

PREPARATION

The ECM completes the 06-138 with the following information:

Office
Date
Participant's name

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Participant's social security number
Case name if different from participant's name
Case number.

The PC:

Records the authorization number
Obtains the required number of tokens or tickets from the cash box
Gives authorization and bus tokens/tickets to the IC.

The IC:

Verifies the amount of tokens/tickets
Obtains the clients' signature on the authorization
Gives the client the tokens/tickets and pink copy of the authorization
Returns the original authorization and yellow copy to the PC.

After Issuance

The ECM enters the payment information on the Payment Summary in the client's case file under the transportation column.

The PC enters the required information on the Bus transportation Log, Form 08-33 (Appendix 19):

Issuance date
Participant's name
ECM number
Dates of coverage if provided by the ECM
Total value of disbursement
Number of tokens issued
Balance of tokens
Initials of PC.

POSTING

Bus transportation token/ticket transactions are not posted on GIS.

END OF MONTH RECONCILIATION

At the end of each calendar month, the PC completes the Bus Token Report, Form 08-35 (Appendix 20). The last working day of the month is the cut off date for the report. The report is due to the Fiscal Unit on the 5th working of the following month.

The PC counts:

The number of rolls
Loose tokens
Bus tickets

The PC adds the number disbursed to those on hand which should equal the number available on the first of the month (beginning balance).

If the fund is in balance, the PC will submit the completed 08-35 to Fiscal with the original Bus Transportation log. The PC keeps copies of the Bus Token Log and Bus Token Report. The signed original vouchers are kept in a file.

If there is a discrepancy, the PC will notify the Clerical Supervisor immediately. The Clerical Supervisor will re-check the log and bus tokens and tickets. If the problem is not resolved, the Clerical Supervisor will follow the procedures in the Bus Token Chapter, Section VII, of the Fiscal Manual. If there is a discrepancy in the bus tickets, a report is sent to the CalWORKs Operations Administrative Secretary.

QUANTITY ISSUANCE TO EMPLOYMENT CASE MANAGERS

A procedure has been established for quantity issuance of bus tokens to ECMs who will issue the tokens directly to clients.

Upon request, the PC:

Records the number of tokens issued to the ECM,
Issues an Addendum Bus Transportation Log (Appendix 21) with the ECM name/number on it to the ECM,
Issues a supply of payment authorizations to the ECM.

The ECM is responsible for:

Completing a payment authorization each time tokens are issued,
Obtaining client's signature on the authorization,
Giving tokens and pink copy of authorization to client,
Recording issuance on the Addendum Bus Transportation Log and entering initials.

By the last working day of the month, the ECM returns to the PC:

The completed cash payment authorization/receipt.
The Addendum Bus Transportation Log.
Any unused bus tokens.

The PC will then attach the Addendum Bus token log along with the regular Bus Token Log to the monthly Bus Report and send to the Fiscal Unit by the 5th working day of the following month.

10-209 REPAYMENT AND COLLECTIONS

Participants who receive advance payments of supportive service funds and who do not meet the participation requirements, are expected to return the funds to the CalWORKs program.

EMPLOYMENT CASE MANAGER PROCEDURES

When the ECM identifies an overpayment, he/she will complete and mail a Repayment Notice, GIS 126 (Appendix 22A) or Form 06-126 (Appendix 22B) to the participant. One copy of the letter will be filed under the Authorization Tab in the WtoW case folder. ECMs are not to accept returned funds from clients. Clients who wish to return cash, tokens, warrants or make payment for an overpayment are to be referred to the PC.

PAYMENT CLERK (PC) PROCEDURES

Each site will maintain the following fiscal supplies to process repayments and collections:

Endorsement Stamp

The rubber stamp used to stamp checks and money orders states the following: "For Deposit Only", "Treasurer of San Diego County". By law, the endorsement area is limited to one and a half inches at the end of the back of the check under the words "Pay to the order of _____". Keep the endorsement in this area.

Miscellaneous Receipt Book/Receipt Control Logs

HHSa Fiscal Division, Collections Unit will issue Miscellaneous Receipt books upon written request. Two Receipt Control Logs, Form 08-44A (Appendix 23) will be sent with the Miscellaneous Receipt books.

Prepare Miscellaneous Receipts only for monies that are forwarded to Fiscal Division, Collections Unit for deposit. Examples of monies for deposit are personal checks, money orders and cash to replace monies originally paid by GIS warrant or Revolving Fund. Do not prepare Miscellaneous Receipts for warrants or RFS checks returned for cancellation.

The Clerical Supervisor signs for receipt of the Miscellaneous Receipt book in the "Receipt by . . ." space on the Receipt Control Log and returns the original copy of the log to Fiscal Division, Collections Unit.

After the last receipt of the Miscellaneous Receipt book is used, returns the book immediately with all pink copies intact to Fiscal Division, Collections Unit. The site's only record of the Miscellaneous Receipts issued is the completed Receipt Control Log. This log should be kept current at all times.

All Collection Transmittals are received by the Fiscal Division, Collections Unit. Listed receipt numbers will be verified to the Receipt Control Log as consecutively issued or "voided", and logged for the date issued/deposited as applicable. Sites will be notified of any discrepancies.

Collection Transmittals

List funds received on a Collection Transmittal, Form 08-44 (Appendix 24) and forward to Fiscal Division, Collections Unit. These forms are ordered through Fiscal by using the 016 Order Form.

Specific instructions and samples of completed Miscellaneous Receipts, Receipt Control Logs and Collection Transmittals are located in this chapter.

RETURNED CASH, CHECKS AND MONEY ORDERS FROM CLIENTS

When a client returns monies or makes repayments in the form of cash, check or money order, the PC will:

Ensure the payee on checks and money orders is San Diego County Health and Human Services Agency. Do Not leave the payee line blank or accept third party checks.

Stamp checks and money orders for deposit, using the stamp "For Deposit Only", "Treasurer of San Diego County".

Complete Miscellaneous Receipt, Form 12 and issue the client the white copy.

Remove yellow and goldenrod copies of receipts. Leave the pink copy in the book.

Complete the Collection Transmittal. Make a photocopy for the site.

Send completed Collection Transmittal, with the yellow and goldenrod copies of the receipt attached, and the monies to Fiscal Division, Collections Unit.

Funds received must be sent to Fiscal Division, Collections Unit on the same day or the work day following the day they are received.

Cash (Coins and Currencies)

Seal in a plain white (non-window) envelope with the amount and receipt number marked on the outside.

Hand-deliver to Fiscal Division, Collections Unit at 1255 Imperial Ave (Trolley Towers), Room 625.
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Never send cash through County or US mail systems.
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Checks and Money Orders

May be sent through County mail to Fiscal Division, Collections Unit, W403. If repayment was received by mail, include the envelope and any correspondence.

Adjustment to GIS

Adjustments to GIS are made by Fiscal Division, CalWORKs Unit on the non-posting days at the end of each month.

RETURNED GIS WARRANTS

If a client returns an uncashed GIS (pink color) warrant, the PC will:

Write or stamp "VOID" across the front of the warrant and on the back of the warrant on the signature line.

NOT prepare a Miscellaneous Receipt for a County warrant which has been returned for cancellation. Prepare a receipt on a gram instead. The gram will specify client name, case number, amount and date of the check, signatures of the participant and the person accepting the returned check.
--

Return the warrant to Fiscal Warrant Control on the same or following work day of receipt.
--

Give the ECM a copy of the receipt to update the Payment Summary.

Cancellation of Warrant

Warrant Control sends notification by fax to the site which confirms receipt of the returned warrant. After notification is received, the PC cancels the warrant by following the procedures in the GIS Payment System Chapter.

Re-issuance

Do not reissue a warrant until notification is received from Warrant Control verifying their receipt of the returned warrant.

RETURNED RFS CHECKS

A returned RFS check is not a collection. Return the RFS check to Fiscal Warrant Control. The PC:

Writes "VOID" across the front of the check and the back of the check on the signature line.
--

Does not prepare a Miscellaneous Receipt for a returned RFS check. Prepares a receipt on a gram instead. The gram will specify client name, case number, amount and date of the check, signatures of the participant and the person accepting the returned check.

Gives a copy of the receipt to the ECM to update the Payment Summary.

NOTE: If the RFS check is returned to the office on the same day it was issued and before the transaction was posted to GIS, the PC will handle the check as if it were a "non-issue" check and return the check and the check carbon copies to Fiscal.

PREPARATION OF COLLECTION TRANSMITTAL, FORM 08-44

Numbering System

Consecutive identification numbers must be assigned by the CalWORKs site to all transmittals, i.e., Northeast Employment Services – N-1, etc. there may be more than one transmittal page, but only one identification code for each day's receipt.

Add to Form

On the top right-hand side of the form, write in:

Name of the person sending in transmittal,
Mail stop.

Completing the Form

All columns for each line entry on the Collection Transmittal must be filled in and a diagonal line drawn across all unused lines from the lower left corner to the upper right corner. The PC provides the following information:

Date

Receipt number

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Client name
Case number – use GN for aid type
Amount returned
Adjustment – type of funds received.

Under the name column, the PC writes the following information:

Client's social security number
Date and method of the original payment <ul style="list-style-type: none"> include the appropriate check number or warrant number type of supportive services; ancillary, transportation or child care.

Under the Adjustment column, the PC enters the code that indicates the type of funds returned by the client:

CK - check
CA - cash
MO - money order

Appendix 24 provides sample of a completed Transmittal form.

Distribution and Record Keeping

The Collection Transmittal is completed in duplicate and photocopied. The original and copy are forwarded to the Fiscal Division, Collections Unit Cashier with the funds received. A photocopy is retained at the site until a signed copy is returned by the Fiscal Division, Collections Unit. Once the signed copy is received, the photocopy can be discarded.

Sites must maintain a file of signed Collection Transmittals and verify that all consecutive transmittals have been received by the Fiscal Division, Collections Unit Cashier and are accounted for.

Timeframe

Funds received in the site offices must be sent to Fiscal Division, Collections Unit on the same day or following work day they are received. Cash must be hand-delivered to Fiscal.

PREPARATION OF MISCELLANEOUS RECEIPT

Completing the Form

The PC:

Ensures all blocks on the Miscellaneous Receipt form are filled in except the FBU number and PAY code, which will be completed by the Fiscal Division, Collections Unit cashier.
Enters CASE NAME in blocks below "ADDRESS, CITY AND STATE" blocks. In cases where the name of the person for whom payment is being made is different from the case name, writes the person's name in "OTHER" section.
Enters GN in the AID block.
Writes the ECM's Number in the upper left portion of the receipt.
Signs the form.

Voids

If it is necessary to void a Miscellaneous Receipt, the PC will:

Draw a single line through it from the lower left to the upper right corner.
Boldly print the word "VOID" on the line.
Forward the white, yellow and goldenrod copies of the receipt to the Fiscal Collections Unit.
Keep the pink copy in the receipt book.

10-210 UNUSUAL CIRCUMSTANCES

This section contains information found in the Fiscal Manual on the following subjects:

- Stop payment/release of stop payment.
- Lost, stolen or mutilated warrants.
- Forgery
- Emergencies.

Any situation that arises related to supportive service payment that is not covered by these procedures should be handled following the procedures listed in the Health and Human Services Agency (HHS) Fiscal Manual.

Any arising situation that cannot be found in the HHS Fiscal Manual should be handled by contacting the HHS Fiscal Division, CalWORKs Unit for direction.

CALWORKS REVOLVING FUND

Stop Payment/Release of Stop Payment

When it is determined necessary to stop payment on a CalWORKs Revolving Fund check, the ECM will contact the Fiscal Unit by phone as soon as possible.

Complete the CalWORKs Revolving Fund Stop/Release Instruction Form (Appendix 25) which confirms the telephone request. Use one form per check, per action. Add the registrant's social security number and case number to the form. Retain a copy for the site's record.

This form may also be used to release a stop payment on a RFS check.

GIS WARRANTS

Lost Warrants

A warrant is considered lost when it was not received within five (5) days after it should have been received by the payee. Warrants are normally received by the payee the day after they are mailed.

Upon being advised that a client has not received a warrant, the ECM will:

Calculate the five-day period.
Obtain the warrant number by accessing GCLM.
Verify the warrant status (cashed or uncashed) on AC01.

Cashed Warrants

If the warrant has been cashed and the client claims not to have cashed it, telephone Warrant Control for a copy of the warrant. When the copy of the warrant is received, compare the signatures. If the client continues to claim not to have cashed the check, follow the Forgery procedures described in this chapter.

Uncashed/Returned Warrants

Whenever a warrant is returned, the Regional site is notified by a faxed message from HHS Fiscal Division, Warrant Control unit. If the warrant has not been cashed on the 6th working day after the issue date, and the Regional site has not yet received notification of return, call Warrant Control @ (619) 338-2656 to determine if the warrant has been returned. Warrant Control will require the following information of the caller:

Payee name
Aid type – GN
Case number
Issue date
Amount
SSA # or Vendor #

NOTE: Warrant Control will consult the most current staff roster available to verify the authenticity of the caller. Regions are responsible for updating roster information with Warrant Control.

If the warrant is returned, Regional Employment Services staff process a Notice of Disposition of Benefits, form 08-40 (Appendix 26) to indicate the type of action to be taken. The completed form is forwarded to Fiscal Division Warrant Control @ MS W403.
If the warrant has not been cashed or returned, the recipient is entitled to sign and file an Affidavit to Obtain Substitution of Lost or Destroyed Warrant, Form 08-5 DSS (Appendix 27). Refer to Fiscal Manual Section 1VI.B1 for detailed procedures to replace lost warrants.

The form 08-5 will be accepted only when signed and submitted by the payee. The Affidavit must be:

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Factual.
Written in the first person by the payee or legal owner of the warrant, and <u>not</u> by the ECM or PC.
It is mandatory that the person executing the Affidavit sign, date, and write the city and state in his/her own handwriting. Do not permit this portion to be typed.

Call Warrant Control to get a control number. The original and 3 copies of the Affidavit are sent to Warrant Control. A copy will be returned to the site after verification is received from the Auditor and Controller's Office.

If the client's statement is written in a language other than English, refer to the Fiscal Manual, Chapter I, Section VI B.2.C. for instructions.

Stolen Warrants

A warrant is considered stolen ONLY if it is taken after the client had possession of the warrant. The client may immediately fill out the Form 08-5 DSS without the waiting period when a warrant is stolen.

The statement contained in the Form 08-5 DSS must <u>PRECISELY</u> describe the circumstances leading to the warrant being stolen.
The PC will call Warrant Control to stop payment.
Follow the same procedures as outlined for lost warrants.

NOTE: If the warrant was endorsed by the payee before it was stolen, a substitute warrant will not be issued.

Mutilated Warrants

Refer to the Fiscal Manual, Chapter I, Section VI A for procedures.

FORGERY

A forged warrant is one which has been endorsed by someone other than the legal payee. The PC will:

Check the GCLM and AC01 screens to determine if the check has been cashed.
Contact Warrant Control by telephone if the record shows the warrant has been cashed and the client claims not to have cashed it.
Request a photocopy of the warrant.

If, after reviewing the photocopy of the warrant it appears that forgery has occurred, the PC will request a Forgery Packet (Appendix 28) from Fiscal Warrant Control.

Refer to Fiscal Manual, Chapter I, Section VI D for instructions on processing the Forgery packet.

OFFICE SHUTDOWN

If it is necessary to close the office, the Clerical Supervisor or ECMS will contact the Regional Manager for a decision on the payment system. If the Regional Manager is not available, contact CalWORKS Administration. If necessary, bring all payment items to the safe in the regional administrative office for safekeeping.

In case of an emergency or catastrophe, the PC should ensure the cash box is secure before leaving the office.

10-211 AUDIT REVIEWS

INTERNAL AUDIT

MONTHLY RANDOM AUDITS

Once a month, the Clerical Supervisor conducts a random, unannounced review of the payment system. Whenever possible, the Clerical Supervisor should be observed by someone in a supervisory capacity when conducting the cash count. This could be accomplished by an ECMS.

In case of Clerical Supervisor vacancy or extended absence, it is necessary to have a back-up system for conducting monthly random audits.

The Clerk Supervisor will address the Cash, Checks, and Bus Token-Random Gram (Appendix 29) to the Site Manager.

Cash

Count the cash in the cash box and safe.

Check the balance of the Cash Payment Log.

- The money in the cash box and safe should equal the balance shown in the Cash Payment Log.
- If the amounts do not agree, the Clerical Supervisor verifies the amounts posted to the Log for accuracy. If there is still a discrepancy, the Clerical Supervisor will refer to the "Reconciling the Fund – Daily Procedures" in the Cash Payments Section in this Chapter.

RFS Checks

Record the beginning and ending RFS check numbers. Ensure the check numbers are in sequential order.

Record the total number of checks on hand. Count them individually.

Bus Tokens

Count the bus tokens in the cash box and safe.

The number of bus tokens should equal the balance shown on the Bus Token Log.

If there is a discrepancy, the Clerical Supervisor will refer to the "End of Month Reconciliation" in the Bus Transportation Section in this Chapter.

Postage

Count postage stamps.
The number of stamps on hand should equal the balance on the Postage Stamp Log.

Distribution

The original gram is given to the Site Manager.
A copy is maintained by the Clerical Supervisor for Fiscal review.

EXTERNAL AUDITS

Fiscal Division, CalWORKs Unit makes one announced and one unannounced field review annually, per site. A staff person in a supervisory position asks the Fiscal representative for identification prior to allowing access to payment records.

Announced Audit

Fiscal Division, CalWORKs Unit contacts the Site Manager prior to the announced field review. If the manager is not available, the next contact person is the Clerical Supervisor. If neither person is available, Fiscal is to contact an ECMS or the Designated Alternate at the time. Fiscal will not contact the PC directly.

Unannounced Audit

There is no site contact prior to the unannounced audit.

Field Audit Process

Generally, the process for conducting the field audit review is to:

Count	Revolving Cash Fund Bus Tokens/Tickets House Committee Funds Postage Stamps
Inventory	CalWORKs Allowance Checks
Examination	Record keeping.

Interview	Payment Clerk and Clerical Supervisor
Exit Conference	On site and with administrative representatives.

Count

When opening the safe, visibility of the combination to other persons must not be permitted. Fiscal staff are not permitted access to the safe combination. CalWORKs staff will observe the count conducted by Fiscal staff.

Revolving Cash Fund	Fiscal staff count the coins and currencies in the cash box and safe. They will then add: Coins and currencies + Amount of reimbursement checks <u>+ Amount of reimbursed Cash Payment Vouchers</u> = Amount of CalWORKs RCF authorization
Bus Tokens/Tickets	Fiscal staff count the number of bus tokens/tickets in the cash box and safe. They will verify that the count is in agreement with the total on the Bus Token/Ticket Log.
House Committee and Other Funds:	The Coffee Room policy which applies to House Committee Fund responsibilities can be found in Appendix 30. Generally, all monies kept in the safe that are not part of the CalWORKs Revolving Cash Fund are also subject to Fiscal review. The money must be kept in an envelope with the amount clearly identified. A notation is to be made by name and date whenever money is taken or entered.

Postage Stamps

Some sites maintain a supply of postage stamps. An accounting must be kept for all postage stamps purchased with county funds. It must include a record of purchases, disbursement and reflect a running balance. The form and procedure used in CalWORKs can be found in Appendix 31A. The stamps are also counted to ensure the total matches the Postage Stamp Log (Appendix 31B).

Inventory

Fiscal staff will conduct an inventory of the CalWORKs Allowance Checks.

Examination

All logs and records are checked to see if they are up to date and in agreement with Fiscal's records.

Interview

The PC and Clerical Supervisor are asked questions regarding the safekeeping of accountable items such as cash, cash box, keys to cash box, checks, facsimile signature stamp, check imprinter, safe combination, postage stamps and bus tokens/tickets. Fiscal representatives routinely look for internal control and separation of duties. Refer to the Security Section in this Chapter for specific information regarding the safekeeping of accountable items.

Exit Conference

Fiscal staff will review their initial findings on site with the PC, Clerical Supervisor and Site Manager, if available.

A second exit conference will be held with a designated Region Administrator. The purpose of the second conference is to allow for complete understanding of the review and findings and to ensure dissemination of information and system wide implementation of Fiscal Unit's recommendations.

A copy of the Office Review form used by Fiscal can be found in Appendix 32.

WRITTEN REVIEW

The Finance Officer, HHS Fiscal Division will prepare a formal written review of the audit findings and recommendations. Fiscal procedure is to address the report to the Deputy Director, with copies to the:

Site Manager,
Deputy Director of Personnel Services when mileage claims are an issue,
Deputy Director of Management Services, and
CalWORKs Administrator designated as the Fiscal Contact for the CalWORKs program.

RESPONSE TO WRITTEN REVIEW

If action is required after a review, a written response must be submitted to Fiscal within 30 days. The Site Manager will prepare a response for the signature of the Regional Manager of CalWORKs Program Operations. The Clerical Supervisor may provide input into the written response.

The written response is addressed to the Finance Officer, with copies to the:

Regional Manager,
Regional Assistant Manager, CalWORKs Coordinator,
Deputy Director of Personnel (if applicable),
Deputy Director of Management Services,
CalWORKs Administrator designated as the Fiscal Contact for the CalWORKs program,
Site Manager, and
Clerical Supervisor.