NYS Office of Children and Family Services

Technical Solution Initiative
Child Care Program Integrity (CCPI)

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Rob Hops, Senior Project Manager, Controltec

NYWFIA
31st Annual Training Seminar
Monday, June 2, 2014

Sheila J. Poole
Acting Commissioner

Andrew M. Cuomo
Governor
Mission of OCFS

“Promoting the safety, permanency, and well being of our children, families, and communities. We will achieve results by setting and enforcing policies, building partnerships, and funding and providing quality services.”
Where are we in Fighting Child Care Subsidy Fraud?
Child Care Program Integrity (CCPI)

- The technical solution project is developed
- Currently in final integration and testing
- Pilot operation to start in June/July 2014
- Statewide rollout scheduled for August 2014
CCPI Structure

Past Version 2
- CCTA Data
- CCFS Data
- WMS Data
- BICS Data

Past Version 1
- CCTA Data
- CCFS Data
- WMS Data
- BICS Data

Current Version
- CCTA Data
- CCFS Data
- WMS Data
- BICS Data

Modeler

Cognos

Program Integrity Database With History

Nightly Batch Processes

Address Services

Other External Services

Program Integrity Dashboard

Other Future Data

Other Future Data
CCPI Data Sources

• Review data elements from various sources
  – CCTA (including schedules, actual attendance records, payments, and child and parent demographic information)
  – BICS
  – WMS (through CSOS)
  – CCFS

• Detect patterns in data across the data sources that would be difficult for humans to see
CCPI Objectives

• Data mining using current data and historic data to detect patterns
• Finding outliers - i.e. data patterns for situations that are different from the norm
• Analyze data based on red flags (potential fraud indicators)
• Combine different indicators and assign potential fraud scores
Indicators Developed Based on:

- Cooperation and data sharing between OCFS and other states (Wisconsin, California, etc.)
- Feedback from task groups
- Published literature and fraud conferences
- Domain expert experience with child care subsidy fraud by OCFS, LDSSs and vendors
- Input from fraud experts at systems vendors through RFI
CCPI Indicators (Red Flags)

- Licensed Capacity
- Perfect Attendance
- Never Closed
- Hours Billed
- Driving Distance
- Provider Overrides
- Precise Attendance
- Multiple Locations
- Legal Entity
- Correctional Facility
- Inconsistent Demographics
- Parents Employed
- Ineligible Provider
- Matched Demographics
- Payments over Threshold
- Payments to PO Boxes
- Disproportionate Authorizations
- Disqualified CACFP
- Excessive Amounts
- Children Moving
- Second Shift
- Outside Business Hours
List of Indicators

• Attendance exceeds licensed capacity by a predetermined threshold relative to licensed capacity
• Providers billing for children with perfect or above average attendance rates for extended periods of time
• Programs that are never closed (open on holidays, etc.)
• Excessive number of hours billed on a daily basis (e.g., billing for more than a standard shift of care)
List of Indicators, cont.

• Analysis of the distance between the provider’s and the child’s home and parent’s work (excessive travel between the two points)
• Excessive numbers of provider overrides of entries in the CCTA system
• Children’s sign-in/sign-out times are consistently the same (precise attendance)
• Same child being billed at multiple locations at the same/similar time
List of Indicators, cont.

- Multiple Family/Group Family Day Care programs operated by the same legal entity
- Checks mailed to a correctional facility (any correctional facility in the State of New York)
- Inconsistent data - names, dates of birth, addresses, social security numbers, etc.
- Parents employed by providers
- Checks mailed to providers when they were not eligible for payment
List of Indicators, cont.

- Providers and families with the same phone numbers/addresses/dates of birth
- Checks mailed to a correctional facility (any correctional facility in the State of New York)
- Total value of payments to a provider exceed a predetermined threshold (based on a licensed capacity x dollar amount formula)
- Payments that are sent to Post Office boxes or commercial mailboxes (e.g., UPS store)
List of Indicators, cont.

• Disproportionate caseworker authorizations (higher than average referrals to one program by worker or higher than average volume identifying eligible children)
• Payment amounts exceed adjustable threshold
• Children moving between providers over adjustable threshold
• Care provided in second/third shift over first shift over adjustable threshold
• Children have attendance outside of provider business hours
Strategy with Indicators

• Indicators are evaluated individually
• Scores from indicators are combined and aggregated
• System is capable of “learning”
• Over time, some indicators lose significance and others gain significance
• System is flexible and new indicators can be added in the future to contribute to scoring
The CCPI Dashboard

• Login by local district fraud investigators
• Filters cases by district
• Provides actionable information on cases to investigate
• Organizes case record output by score
• Provides background information through drill-down capabilities
• Manages cases as they progress
CCPI Search Screen

Indicator Type: Select
Status: Select
Model: Select
Flags: Select
Outcome: Select
Record ID: 
Entity Name: 
Entity ID: 
Region: Select
District: Select

From: (Record Creation)
To: 
From: (Last Updated)
To: 
Operator: Select
Score: or higher
Potential Fraud Amount: or higher
Fraud Amount Identified: or higher
Reclaimed Amount: or higher
### CCPI Search Results Screen

**Search Results:** 103 items found

<table>
<thead>
<tr>
<th>ID</th>
<th>Score</th>
<th>Feedback</th>
<th>Indicator Type</th>
<th>Record Created</th>
<th>Last Updated</th>
<th>District</th>
<th>Model</th>
<th>Entity Name</th>
<th>Status</th>
<th>Outcome</th>
<th>Flags</th>
<th>Fraud Amount Identified</th>
<th>Reclaimed Fraud Amount</th>
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<tbody>
<tr>
<td>1</td>
<td>12</td>
<td>No Fraud</td>
<td>Children Moving (3) Matched Demographics (2) Inconsistent Demographics (1)</td>
<td>02/17/2014</td>
<td>05/16/2014</td>
<td>Albany</td>
<td>Family</td>
<td>SAMPLE</td>
<td>Investigating</td>
<td>Action Taken</td>
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<td>$5.00</td>
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<td>02/17/2014</td>
<td>03/19/2014</td>
<td>Essex</td>
<td>Family</td>
<td>Frederickson</td>
<td>New</td>
<td>TestFlag GW</td>
<td></td>
<td>$0.00</td>
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<td>Children Moving (3) Matched Demographics (2) Inconsistent Demographics (1)</td>
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<td>02/17/2014</td>
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<td>James</td>
<td>New</td>
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</table>
CCPI Case Details Screen

Record ID: 1
Generation: 1 (2/19/2014)
Aggregate Score: 12
Potential Fraud Amount: $10.00

Indicators:

<table>
<thead>
<tr>
<th>S</th>
<th>Indicator</th>
<th>Description</th>
<th>Score</th>
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<td>11</td>
<td>Inconsistent Demographics</td>
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<tr>
<td></td>
<td>14</td>
<td>Matched Demographics</td>
<td>2</td>
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<tr>
<td></td>
<td>20</td>
<td>Children Moving</td>
<td>3</td>
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</table>

Change Reason: 

*Status: Investigating
Operator: G Investigator
Feedback: High Chance Of Fraud
Outcome: On Watchlist
Fraud Amount Identified: $500.00
Reclaimed Amount: $400.00
<table>
<thead>
<tr>
<th>Operator</th>
<th>Date</th>
<th>Note</th>
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<tr>
<td>Haupt, Norbert</td>
<td>5/24/2014 11:52:17 AM</td>
<td>Many independent case notes can be added, each is tracked with time and date, and and the operator that adds it.</td>
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<tr>
<td>Williams, Glenda</td>
<td>3/19/2014 1:46:08 PM</td>
<td>Adding some detail to Russ’s record, and adding this note.</td>
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CCPI Drill-Down Screen

### Family:

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<tr>
<th>Family ID</th>
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<th>Aggregate Score</th>
<th>Source</th>
<th>Case Number</th>
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<tbody>
<tr>
<td>2711</td>
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<td>12</td>
<td>CCTA</td>
<td></td>
<td>Bruce, Cathi</td>
<td>201 Main St., Essex NY</td>
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<th>First Name</th>
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### Children:

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<th>Child ID</th>
<th>District</th>
<th>Source</th>
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<th>CIN</th>
<th>Last Name</th>
<th>First Name</th>
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<th>Date Of Birth</th>
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<td>6340</td>
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<td></td>
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</table>
CCPI will evaluate and analyze large amounts of data from different sources and provide actionable information to fraud investigators in New York state.
Questions?

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http://ocfs.ny.gov/main/childcare