

NYS Office of Children and Family Services

Technical Solution Initiative Child Care Program Integrity (CCPI)

Jim Hart, Director of Regional Operations, OCFS
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?**

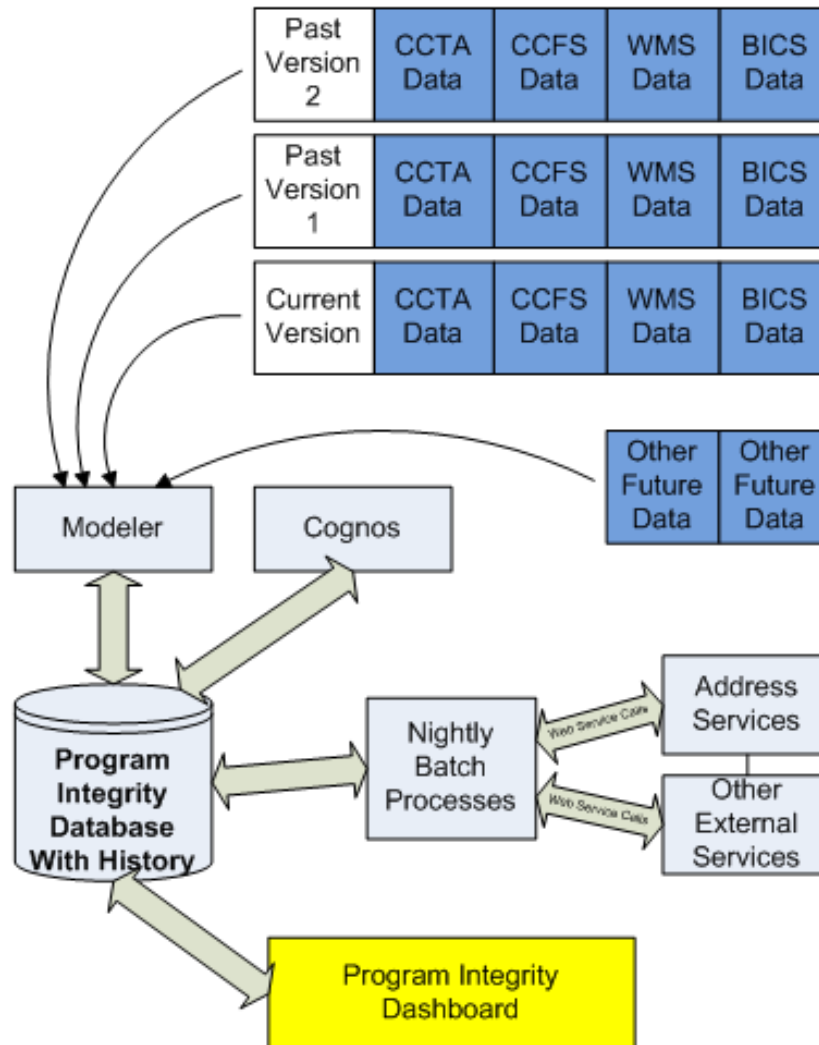


Child Care Program Integrity (CCPI)

- 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



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: 1 - Licensed Capacity... 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

Options

<input type="checkbox"/>	ID	Score	Feedback	Indicator Type (Score)	Record Created	Last Updated	District	Model	Entity Name	Status	Outcome	Flags	Fraud Amount Identified	Reclaimed Fraud Amount
<input type="checkbox"/>	1	12	No Fraud	Children Moving (3) Matched Demographics (2) Inconsistent Demographics (1)	02/17/2014	05/16/2014	Albany	Family	SAMPLE	Investigating	Action Taken		\$500.00	\$5.00
<input type="checkbox"/>	2	12	No Fraud	Children Moving (3) Matched Demographics (2) Inconsistent Demographics (1)	02/17/2014	03/19/2014	Essex	Family	Frederickson	New		TestFlag GW	\$0.00	
<input type="checkbox"/>	3	12		Children Moving (3) Matched Demographics (2) Inconsistent Demographics (1)	02/17/2014	02/17/2014	Albany	Family	James	New				



CCPI Case Details Screen

Search Results: << < > >> Remove (1) - Record 1 of 1

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

Model: Family
Entity Name: SAMPLE
District: Albany

Indicators:

S	Indicator	Description	Score
<input type="radio"/>	11	Inconsistent Demographics	1
<input type="radio"/>	14	Matched Demographics	2
<input type="radio"/>	20	Children Moving	3

1

Change Reason:

*Status: Investigating

Operator: G Investigator

Flags:

Outcome: On Watchlist

Fraud Amount Identified:

Reclaimed Amount:

Feedback: High Chance Of Fraud



CCPI Notes Screen

Notes:

New Options

Operator	Date	Note		
Haupt, Norbert	5/24/2014 11:52:27 AM	More notes.	Edit	Delete
Haupt, Norbert	5/24/2014 11:52:17 AM	Many independent case notes can be added, each is tracked with time and date, and and the operator that adds it.	Edit	Delete
Haupt, Norbert	5/24/2014 11:51:35 AM	Testing notes.	Edit	Delete
Haupt, Norbert	5/24/2014 11:51:23 AM	Another sample case note.	Edit	Delete
Williams, Glenda	3/19/2014 1:46:08 PM	Adding some detail to Russ's record, and adding this note.	Edit	Delete
1				



CCPI Drill-Down Screen

Family:

Options

<u>Family ID</u>	<u>District</u>	<u>Aggregate Score</u>	<u>Source</u>	<u>Case Number</u>	<u>Worker</u>	<u>Address</u>	<u>Phone</u>
2711	Essex	12	CCTA		Bruce, Cathi	201 Main St., Essex NY	
1							

Parents:

Options

<u>Parent ID</u>	<u>District</u>	<u>Source</u>	<u>Case Number</u>	<u>CIN</u>	<u>Last Name</u>	<u>First Name</u>	<u>Relationship</u>	<u>Date Of Birth</u>
2938	Essex	CCTA			Frederickson	Peter	Parent	01/01/0001
1								

Children:

Options

<u>Child ID</u>	<u>District</u>	<u>Source</u>	<u>Case Number</u>	<u>CIN</u>	<u>Last Name</u>	<u>First Name</u>	<u>Relationship</u>	<u>Date Of Birth</u>
6317	Essex	CCTA			Frederickson	Betty		04/08/2009
6340	Essex	CCTA			Frederickson	Lance		12/22/1992
1								



CCPI will evaluate and analyze large amounts of data from different sources and provide actionable information to fraud investigators in New York state.





Questions?

NYS Office of Children and Family Services

52 Washington Street

Rensselaer, New York 12144

Phone: 518-474-9454

Fax: 518-474-9617



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