

Status of Audit Resolution

December 2008

Department of Early Learning (DEL)

Agency: 357

Audit Report: 2007 F

Finding Number: 006

Finding: The Department of Social and Health Services and the Department of Early Learning do not have adequate internal controls over direct payments to childcare providers.

Resolution: *Refer to page 11 for the joint response from the Departments of Early Learning and Social and Health Services on this finding.*

Department of Early Learning (DEL)

Agency: 357**Audit Report:** 6749**Finding Number:** 001**Finding:** The Department of Early Learning did not have internal controls in place or perform adequate monitoring to ensure background checks are performed for childcare providers as required by state law.**Resolution:** On October 1, 2007, two new policies and procedures were implemented. The first policy directed the Department's licensing staff to record the first and last name of all childcare employee records audited during a renewal or monitoring visit.

The second policy directed the Department's licensing staff to ensure that childcare staff and volunteers who have unsupervised access to children in care have cleared criminal history background checks. The policy and procedure explained how to create employee lists in order to verify that all employees of a childcare provider have cleared criminal history background checks or that the employee has submitted the required criminal background forms. The policy further directs the Department licensing staff on what sanctions must be employed to ensure that providers not in compliance at the time of the visit reach full compliance within the following fourteen days, and it describes the licensor's responsibility for follow-up monitoring.

In April 2008, the Department issued a revised policy strengthening expectations around background check verification and documentation. A review of the policy with supervisors was done through the Department's teleconference training system, and the policy was sent to all licensors. Additionally, the Department implemented several key systemic changes to internal licensing practice that will serve to strengthen and reinforce agency expectations.

In July 2008, the Department hired five quality improvement staff for its new quality improvement team. Among other activities, the team will be developing a three-tier case review system which will include background check compliance.

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