

# United States Department of the Interior

BUREAU OF INDIAN AFFAIRS  
Great Plains Regional Office  
115 Fourth Avenue SE, Suite 400  
Aberdeen, South Dakota 57401

NOV 22 2011



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## MEMORANDUM:

TO: Superintendent, Fort Totten Agency

FROM: <sup>ACTING</sup> Supervisory Social Worker, Great Plains Region

THROUGH: <sup>ACTING</sup> Deputy Regional Director – Indian Services, Great Plains Region

SUBJECT: Fiscal Year (FY) 2011 Human Services Program Review, Spirit Lake Tribe

Date of Review: August 11-12, 2011

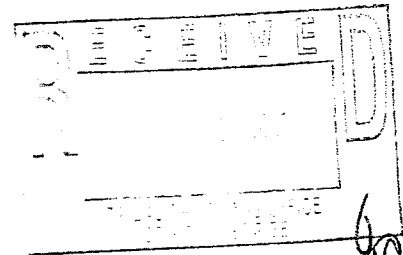
Place of Travel: Spirit Lake Tribe, Fort Totten Agency, Fort Totten, North Dakota

Purpose: To conduct the annual program review.

Contacts: Roderick Cavanaugh, Superintendent, Fort Totten Agency; Kevin Dauphinais, Director, Spirit Lake Tribal Social Services; Dennis Meier, GA Coordinator, Spirit Lake Tribal Social Services.

In accordance with Title 25 CFR, Part 20, 25 CFR, Part 115, and Public Law 93-638, Randeem Fitzpatrick, Great Plains Regional Supervisory Social Worker, conducted a program review of the Spirit Lake Tribal Social Services on August 11-12, 2011, for the Tribally contracted Social Services Program. This final report of the program review is to document the need for corrective action and to encourage ongoing improvement. Please forward this report to the Spirit Lake Tribal Social Services.

The General Assistance, Child Assistance, and Supervised Individual Indian Money (SIIM) Accounts program components were reviewed. The attached tables provide a summary of the areas of most concern. Also attached are the original individual case review instruments that need to be filed in the case records.



**General Assistance (GA)**

Four case files were reviewed. Of the four reviewed, three or more had the following findings:

| <b>FINDING:</b>  | <b>CORRECTIVE ACTION:</b>   |
|--|---|
| Missing signature of Caseworker  | Caseworker needs to sign forms, documents, etc.   |
| Missing statement of Fraud   | Need fraud statement on file and indicate when given to client.                                       |
| Missing documentation of application for other public assistance or resources  | Need to collect verification that the client is pursuing other resources.                             |
| Missing documentation if there is a concurrent application with other resource | Needs to collect information if there is a concurrent application for other programs, resources, etc. |
| GA budget computation incorrect  | Needs to properly document the GA computation.  |
| Retroactive GA application does not show correct budget computation            | Needs to properly document the Retroactive GA computation.  |
| Verifying documents are lacking  | Needs to collect verifying documents and file in case file.   |
| Home visits are not made with redetermination                                  | Home visits need to be made.  |
| Lacking documentation verifying redetermination of continued eligibility       | Needs to collect documents to verify eligibility at redetermination showing continued eligibility.    |

**Individual Indian Money (IIM)**

Two IIM account records were reviewed. Of the two reviewed, two or one had the following findings:

| <b>FINDING:</b>  | <b>CORRECTIVE ACTION:</b>  |
|--|--|
| Account file lacks CIB or official government identification.  | Need to file a copy of CIB or official government identification.                                      |
| File lacks detailed statement of need supporting Distribution Plan.  | Need to acquire the itemized list and make sure it corresponds with expenditure and distribution plan. |
| Caseworker did not identify other available resources that could meet the identified need.                 | Document all other available resources that could be accessed prior to use of IIM funds.               |
| Social Services assessments do not specify responsible person for receipts and when they receipts are due. | Need to document in the assessment that the receipts are due from an identified responsible person.    |
| No documentation of the 6-month case review in the case record.  | Need to review IIM account records within 6 months to ensure service delivery, compliance, etc.        |
| Previous corrective action items were not addressed or completed.  | Review the findings from reviews, develop a corrective action plan, and make corrections.              |

### **Child Assistance**

Six case files reviewed. Of the six reviewed, three or more had the following findings:

| <b>FINDING:</b>  | <b>CORRECTIVE ACTION:</b>  |
|--|--|
| Un-enrolled child, no documentation in case record.  | File verification (CIB) that the child is eligible for services. Non-enrolled members are not eligible for services.           |
| Child and family may have sufficient resources to meet the essential need.   | No documentation to verify available resources or need for resources.  |
| Residence is shown as outside of the designated service area for services.   | Nonresidents of the designated service area are not eligible for services.   |
| Incomplete application for assistance.   | Application for assistance needs to be completed for services must be on file.   |
| The assessment does not include whether or not the parents or guardian is able to care for the child.                                  | The assessment needs to include the ability of the parents or guardian to provide care.  |
| Income of the family is not documented.  | The income and other resources of the family needs to be documented.   |
| The case lacks a case plan that is established within 30 days of placement including a permanency plan with lengths of placements.     | The case must contain a case plan and for placements, one must be developed within 30 days of placement and a permanency plan. |
| Lacking health, educational, and immunization information about the child to properly complete an assessment.                          | Information on the child's health should be in the case file should there be any emergency and educational needs/progress.     |
| Files lack consents for emergency medical care, school, and transportation.  | Parental/guardian consents for emergency medical care needs to be on file also for school and transportation.                  |
| The case files do not document if the child has a handicap, SSI, SSI application (or SS Disability).                                   | The physical and medical condition of the child should be document to possibly secure additional resources for the child.      |
| The case files do not document if there may be a need for application for other resources, if application (i.e. SS Survival benefits). | The consideration of other possible resources should be documented.  |
| There is no documentation of application for Medicaid or Title IV-E services.  | There needs to be documentation of other possible resources should be documented.  |
| There is no documentation if the child is an IIM account holder or not.  | A complete assessment should include whether the child has IIM account or not.   |
| There are no copies of state or tribal foster home licenses.   | Foster care or foster home licenses need to be on file.  |
| No current photographs are on file of the child.   | There should be a photo of the child on file.  |
| The files lack copies of social security cards, birth certificate, Medicaid cards, and current court orders.                           | The verifying documents of identity and for eligibility determination need to be in the case file.                             |
| Court orders are missing for placements beyond 30 days.  | Court orders need to be on file for placements over 30 days.   |

**Child Assistance continued**

| <b>FINDING:</b>  | <b>CORRECTIVE ACTION:</b>  |
|--|--|
| Lacking Social Services assessment for involuntary placements within 30 days.  | Social Services Worker(s) need to complete assessment for involuntary placements within 30 days of placement.  |
| No documentation of at least one visit by Social Services Worker per a month in the placement setting for each child.  | There needs to be a visit by the Social Services Worker to the placement of the child at least once a month and it needs to be documented.   |
| There are no lists of prior list of placements including names of foster parents with dates of placement.  | The case file should include a list of prior placements along with the dates and names of the foster care providers.   |
| The special needs/disabilities, if any, are not discussed with the foster parents.   | The information about the child's special needs and disabilities needs to be discussed with the foster parents and documented.   |
| There are lacking signed foster care agreements to specify roles, responsibilities of the parents, foster parents, and the placing agency. The agreement should include terms of payment for care, and adherence to the case plan. | Develop and have on file current signed foster care agreements to specify roles, responsibilities of the parents, foster parents, and the placing agency. The agreement should include terms of payment for care, and adherence to the case plan.                            |
| It was found that the Worker may not be knowledgeable about the requirements to report suspected child abuse/neglect in foster/residential care to law enforcement and protective services.  | The Worker needs to become familiar with the public laws with respect to children, families, and elderly, as well as, the agencies to which to report.   |
| It was found that the Worker may not be conducting the yearly assessment of foster homes (state/tribal) and to ensure appropriateness for the child's needs.   | The Social Services Worker needs to conduct yearly assessment of foster homes and ensure it meets the needs of the child.  |
| The files lack court documents showing voluntary/involuntary proceeding, care & supervision to placing agency, 6-month review by the court, and case plan review. If applicable, a permanency hearing held within 12 months.       | The Social Services Worker must have court documents and documentation with regard to: voluntary/involuntary proceeding, care & supervision to placing agency, 6-month review by the court, and case plan review. If applicable, a permanency hearing held within 12 months. |
| The Social Services Worker does not incorporate permanency option after 6 months in case plan.   | The Social Services Worker should incorporate permanency option after 6 months in case plan when applicable.   |
| Case Narratives are minimal or lacking essential documentation of interaction; contact with the family, child, and foster parents and their circumstances, etc. The narratives do not indicate a case plan review every 90 days.   | The case narratives need to document all interaction; contact with the family, child, and foster parents and their circumstances, etc. The narratives should indicate a case plan review every 90 days.  |

**Child Assistance continued**

| <b>FINDING:</b>   | <b>CORRECTIVE ACTION:</b>   |
|---|---|
| No corrections made to previous quality assurance review. | Need to review previous corrective action and make those corrections. |

Name of Consultant: Randeem Fitzpatrick, MSW.

ACTING TASHEE HAQT  
Supervisory Social Worker

11/22/2011  
Date

Concurred:

ACTING Tim Lafontaine  
Regional Director

11-22-11  
Date

Attachments: MSW Annual Review Instrument  
Spreadsheet for IIM accounts reviewed  
Child Assistance Case Review Instrument  
General Assistance Case Review Instrument

cc: Chairman, Spirit Lake Tribe  
Kevin Dauphinais, Director, Spirit Lake Tribal Social Services