



MFCU

Onsite Review Process

What to Expect

January 2013

Scheduling the Onsite

- Your OIG MFCU analyst will contact you informally about the proposed dates for the onsite review.
- This contact will occur approximately 3-4 months before the onsite review.
- Dates for the onsite review and entrance conference will be confirmed.

Official Start Notice

- OIG will issue an official start notice to the Unit about 6 weeks after informal notification.
- The start notice will:
 - Confirm the onsite and entrance conference dates;
 - Identify OIG staff who will participate on the review; and
 - Request data and documents.
- Requested data will be due to OIG 4-5 weeks later.

Data Request

- Specifically, what kind of data does OIG request in the start notice?
 - Data collection instrument—Unit data on opened and closed cases for 3 year period, and case results;
 - Completion of an internal control questionnaire;
 - Case file list for a 3 year period;
 - Unit staff listing;
 - Organizational charts;
 - Policy and procedures manuals; and
 - Financial related documentation.

Entrance Conference

- Entrance conference will be scheduled approximately 4-5 weeks after the start notice.
- OIG will provide Unit with the onsite review “design” 1 week prior to the entrance conference.
- Entrance conference will generally be conducted by phone.
- Topics at entrance conference: the design and how the onsite will proceed, onsite logistics, Unit stakeholders, and your questions.

Staff Survey

- OIG will conduct an electronic, web-based survey of the non-management staff of the Unit.
- This staff survey replaces the former practice of interviewing all staff in-person. (Unit managers will be interviewed in person, however.)
- Generally, the survey will be launched soon after the entrance conference. Staff will receive an email with a link to the survey.
- The survey is anonymous and confidential—respondents would never be identified by name.

Case File Sample

- OIG will draw a random sample of 100 open and closed cases from the 3 year review period.
- OIG will share this list with the Unit in the weeks before the onsite review.
- The sampled cases will need to be made available to the OIG team during the onsite review.
 - The files may be provided in paper files, electronic format, or a combination of both, depending on how your Unit operates.

Onsite Logistics

- OIG staff will work with designated Unit staff to:
 - Secure room(s) for OIG use;
 - Set the onsite interview schedule; and
 - Coordinate issues such as building access, parking, etc.

Onsite Review: Getting Started

- Depending on travel distance, OIG generally travels on Monday morning and begins the onsite on Monday afternoon.
- OIG receives a walk through of the Unit.
- In preparation for our case file reviews, OIG will request that a staff person(s) walk us through the organization of the case files and case file tracking system, if appropriate.

Onsite Review: Interviews

- OIG starts with interviews with management, usually the Director first.
- Throughout the week, OIG will interview the Chief Investigator, Chief Attorney, and Chief Auditor, if applicable. Depending on the size and organization of the Unit, there may be more interviews with management.
- OIG may conduct some stakeholder interviews while onsite, such as the Medicaid program integrity director.

Onsite Review: Case File Review

- An OIG investigator and OEI staff will conduct the case file reviews of the case sample.
- OIG will ask that you designate a staff member(s) who can be on call to answer questions, if necessary, about specific cases or the case files in general.

Onsite Review: Financial Management Review

- OIG auditors or OEI staff will conduct the audit portion of the review.
- Generally, OIG works directly with the financial/budget staff of the Unit's parent agency.

Onsite Review: The Close

- At the close of the week, OIG staff meets with the Unit Director (and sometimes others) to discuss preliminary observations and tie up any loose ends.

What to Expect After the Onsite Review: Overview

- Possible follow up questions from OIG staff.
- Exit conference 3-4 months after the onsite.
- Official draft report issued.
- Unit officially comments on draft report.
- Final Report issued.
- Final Report posted on the OIG website.

Exit Conference

- 3-5 months following the onsite, OIG will provide a working draft report to the Unit.
- About 1 week later, OIG will hold an exit conference with the Unit, usually by phone.
- At the exit, Unit verbally provides comments, both technical and substantive, that may improve the quality of the report. Following the exit, the Unit will have a few days to provide any informal written comments, if desired.

Draft Report

- OIG will issue an official draft report to the Unit's parent agency (e.g., the Attorney General).
- Unit will have 30 calendar days to provide its official comments and its concurrence or non-concurrence with the report recommendations.
- Unit comments will be appended to the final report.

Final Report

- Once Unit comments are received, OIG prepares the final report.
- Final report will be issued approximately 1-2 months after receiving Unit comments.
- One business day after issuance, the final report will be posted on the OIG website.

After the Final Report

- Six months following the final report, the Unit reports to OIG its final actions on implementing the report recommendations. Specifically, the Unit provides:
 - a clear and concise explanation of the action taken;
 - the date the action was taken; and
 - documentation of the action, such as copies of or links to correspondence, transmittals or revised rules.