



# FAMILY INDEPENDENCE ADMINISTRATION


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## POLICY BULLETIN #14-08-OPE

### IMAGING MANUALLY PREPARED DATA-ENTRY DOCUMENT AUDIT TOOL

<b>Date:</b> January 27, 2014	<b>Subtopic(s):</b> Forms, Audit
<p> This procedure can now be accessed on the FIAweb.</p> <p>New form <b>FIA-1110</b>.</p> <p>Refer to <a href="#">PB #13-78-OPE</a>.</p>	<p>The purpose of this policy bulletin is to inform Job Center and Non Cash Assistance (NCA) Supplemental Nutrition Assistance Program (SNAP) Center staff that a new tool has been created to audit the imaging of manually prepared data-entry documents that are entered directly into the Welfare Management System (WMS). This policy bulletin is informational for all other staff.</p> <p>The Imaging Manually Prepared Data-Entry Document Audit Tool (<b>FIA-1110</b>) will be used by Job and SNAP Center Directors, or Center Director Designees, and Regional Office staff to assess adherence to Policy Bulletin #13-78-OPE.</p> <p>The Center Director, or Center Director Designee, will complete a random audit of the lesser of twenty (20) paper transactions or 10% of all paper transactions for the audit month using an <b>FIA-1110</b>.</p> <p>The auditor must record the following information in the top portion of the <b>FIA-1110</b> matrix:</p> <ul style="list-style-type: none"> <li>• Job Center/SNAP Center;</li> <li>• Audit Month/Year (MM/YY); and</li> <li>• Total Local Paper Transactions for Audit Month.</li> </ul> <p>In <b>Part A</b> of the <b>FIA-1110</b>, the auditor is required to verify and record the following information:</p> <ul style="list-style-type: none"> <li>• Case Number;</li> <li>• Document Type;</li> <li>• Transaction Date;</li> <li>• Was Document in HRA OneViewer;</li> <li>• If Yes, Was Document in The Correct Folder;</li> </ul>

HAVE QUESTIONS ABOUT THIS PROCEDURE?  
Call 718-557-1313 then press 3 at the prompt followed by 1 or  
send an e-mail to *FIA Call Center Fax* or fax to: (917) 639-0298

Refer to [PD #13-14-ELI](#) for levels of approval needed for Cash Assistance.

- Enter Grant Issuance Code;
- Enter Amount of Grant Issued;
- Does Document Have All Required Signatures; and
- If Missing All Required Signatures, Enter Code(s) From Legend Below.

The **Legend**, located at the bottom of the **FIA-1110**, lists the following three codes to use when an audit reveals that a document is missing all of the required signatures:

1. No Second Signature;
2. Levels of Approval Not Met; and/or
3. Second Signature Not Correct Level.

In **Part B** of the **FIA-1110**, the auditor is required to indicate whether a document that was initially indexed incorrectly was re-indexed in the correct folder.

In the **Audit Information** section of the **FIA-1110**, the following information must be completed by the person conducting the audit:

- Auditor Name;
- Auditor Title; and
- Date of Audit.

Submission guidelines for **CA** Centers.

The completed **FIA-1110** from Job Centers must be emailed to the CA Center's respective Executive Regional Manager by the second Monday of each month.

Submission guidelines for **SNAP** Centers.

The completed **FIA-1110** from SNAP Centers must be emailed to the Executive Regional Manager and the SNAP Center's respective Regional Manager by the second Monday of each month.


The Office of Research and Program Monitoring will conduct an independent monthly audit of paper transactions for each Job Center and SNAP Center using the **FIA-1110**.

A sample of the form is attached.

*Effective Immediately*

**Related Items:**

[PD #13-14-ELI](#)  
[PB #13-78-OPE](#)

 Please use Print on Demand to obtain copies of forms.

**Attachment:**

**FIA-1110 (E)**

Imaging Manually Prepared Data-Entry Document  
Audit Tool

## IMAGING MANUALLY PREPARED DATA-ENTRY DOCUMENT AUDIT TOOL

JOB CENTER/SNAP CENTER:													
AUDIT MONTH/YEAR (MM/YY):				TOTAL LOCAL PAPER TRANSACTIONS FOR AUDIT MONTH:									
PART A										PART B			
Case Number	Document Type (LDSS-3517, LDSS-3574, LDSS-3575)	Transaction Date	Was Document In HRA OneViewer?		If Yes, Was Document In The Correct Folder?		Enter Grant Issuance Code	Enter Amount of Grant Issued	Does Document Have All Required Signatures?		If Missing All Required Signatures, Enter Code(s) From Legend Below	If Indexed Incorrectly, Was Document Re-Indexed In The Correct Folder?	
			YES	NO	YES	NO			YES	NO		YES	NO
1													
2													
3													
4													
5													
6													
7													
8													
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20													
LEGEND						AUDIT INFORMATION							
1	No Second Signature					AUDITOR NAME:							
2	Levels of Approval Not Met					AUDITOR TITLE:							
3	Second Signature Not Correct Level					DATE OF AUDIT:		/ /					

SAMPLE

Each JOB CENTER/SNAP CENTER must audit the lesser of 20 paper transactions or 10% of all paper transactions for the given audit month.