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AUDITOR GENERAL

STATE OF ARIZONA
OFFICE OF THE
AUDITOR GENERAL

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DEPUTY AUDITOR GENERAL

March 22, 2018

The Honorable Anthony Kern, Chair
Joint Legislative Audit Committee

The Honorable Bob Worsley, Vice Chair
Joint Legislative Audit Committee

Dear Representative Kern and Senator Worsley:

Our Office has recently completed an initial followup of the Arizona Department of Economic Security—Sunset Factors regarding the implementation status of the 4 audit recommendations (including sub-parts of the recommendations) presented in the performance audit report released in September 2017 (Auditor General Report 17-110). As the attached grid indicates:

- All 4 recommendations are in the process of being implemented.

Our Office will conduct an 18-month followup with the Department on the status of those recommendations that have not yet been fully implemented.

Sincerely,

Dale Chapman, Director
Performance Audit Division

DC:ka
Attachment

cc: Michael Traylor, Director
Arizona Department of Economic Security

Arizona Department of Economic Security—Sunset Factors

Auditor General Report 17-110

Initial Follow-Up Report

Recommendation	Status/Additional Explanation
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Sunset Factor #4: The extent to which rules adopted by the Department are consistent with the legislative mandate

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| <p>1.1 Because of the existing moratorium on state agencies' rulemaking, the Department should:</p> <ul style="list-style-type: none"> a. Continue with its efforts to determine whether and when it can proceed with rulemaking to establish rules for the ABLE program; and b. Continue with its efforts to determine whether and when it can proceed with rulemaking to establish rules for the long-term care ombudsman program. | <p>Implementation in process
The Department received an exemption from the rule-making moratorium in November 2017. As of March 2018, the Department is working to develop rules for the ABLE program and anticipates completing a final draft in April 2018.</p> <p>Implementation in process
The Department received an exemption from the rule-making moratorium in November 2017. As of March 2018, the Department is working to develop rules for the long-term care ombudsman program and anticipates completing a preliminary scope of rules in May 2018.</p> |
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Sunset Factor #5: The extent to which the Department has encouraged input from the public before adopting its rules and the extent to which it has informed the public as to its actions and their expected impact on the public

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| <p>2.1 To help ensure that the councils, boards, and committees the Department staffs consistently comply with the State's open meeting law requirements, the Department should:</p> <ul style="list-style-type: none"> a. Develop and implement policies and procedures regarding staff responsibilities for helping to ensure that the councils, boards, and committees comply with the open meeting law, including how it will oversee staff's adherence to these policies and procedures. These policies and procedures should reflect staff responsibilities such as posting a statement on the website where councils', boards', and committees' meeting notices will be posted and providing meeting minutes within 3 working days of the meeting. | <p>Implementation in process
The Department has developed a policy that outlines the expectations for department councils, boards, and committees regarding compliance with the State's open meeting law, including providing meeting notifications at least 24 hours ahead of the scheduled meeting and making meeting minutes available within 3 working days of the meeting, as well as how the Department will oversee compliance with its policy. However, the Department has not developed procedures specifying staff responsibilities for helping to ensure that the councils, boards, and committees comply with open meeting law.</p> |
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Recommendation

- b. Develop and implement training for all department staff who provide support to the councils, boards, and committees based on its open meeting law policies and procedures. This training should cover policies and procedures for complying with all open meeting law requirements as outlined in statute, explain the staff's responsibilities for helping the councils, boards, and committees meet these requirements, and be provided to appropriate department staff on a regular basis.

Status/Additional Explanation

Implementation in process

Some of the staff who support councils, boards, and committees received open meeting law training provided by the Arizona Ombudsman-Citizens' Aide Office. In addition, the Department indicated that it is currently working to develop a computer-based training that will cover the Department's policy described in the explanation for Recommendation 2.1a. The Department anticipates that this training will be completed in April 2018.