



DEBRA K. DAVENPORT, CPA
AUDITOR GENERAL

STATE OF ARIZONA
OFFICE OF THE
AUDITOR GENERAL

WILLIAM THOMSON
DEPUTY AUDITOR GENERAL

August 8, 2002

The Honorable Roberta L. Voss, Chair
Joint Legislative Audit Committee

The Honorable Ken Bennett, Vice Chair
Joint Legislative Audit Committee

Dear Representative Voss and Senator Bennett:

Our Office has recently completed an 18-month followup with the Department of Economic Security—Division of Developmental Disabilities regarding the implementation status of the 15 audit recommendations (including sub-parts to the recommendations) presented in the performance audit report released in November 2000 (Auditor General Report No. 00-19). As the attached grid indicates:

- 14 of the 15 recommendations have been implemented; and
- 1 of the 15 recommendations is in the process of being implemented.

Our Office will continue to follow up at 6-month intervals with the Department of Economic Security—Division of Developmental Disabilities on the implementation status of those recommendations that have not yet been fully implemented.

Sincerely,

Debbie Davenport
Auditor General

Attachment

cc: Mr. John L. Clayton, Director
Department of Economic Security

JLAC Committee Members

Senate Family Services Members

House Human Services Members

Ms. Barbara Guenther
Senate Committee Analyst

Ms. Marianne Hardy
House Committee Analyst

Ms. Nadine Sapien
Senate Research Analyst

Ms. Tami Stowe
House Research Analyst

DEPARTMENT OF ECONOMIC SECURITY
Division of Developmental Disabilities
18-Month Follow-Up Report To
Auditor General Report No. 00-19

FINDING I: Coordination Between the Division and CPS Can Be Improved

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. DES should continue its efforts to develop a transfer policy that will help ensure CPS-involved children who are eligible for Division services receive appropriate and timely service.	Implemented at 6 months	
2. Once the policy is developed, DES should train all CPS caseworkers and Division support coordinators on implementing the policy.	Implemented at 12 months	
3. DES should provide more cross training for CPS caseworkers regarding developmental disabilities and obtaining assistance from the Division, and should expand its cross training for Division support coordinators to include training on court procedures relating to foster care children.	Implemented at 12 months	

DEPARTMENT OF ECONOMIC SECURITY
Division of Developmental Disabilities
18-Month Follow-Up Report To
Auditor General Report No. 00-19

FINDING I: Coordination Between the Division and CPS Can Be Improved (Concl'd)

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
<p>4. Once the above recommendations are implemented, DES should examine the need to enhance the Division's existing foster care unit in Maricopa County for children involved with CPS who have developmental delays. If enhancement is necessary, DES should:</p> <ul style="list-style-type: none"> a. Staff the unit with case managers drawn from CPS in addition to its current complement of Division support coordinators. b. Provide appropriate cross training for all unit case managers. c. Provide access to necessary computer resources, including CHILDS and ASSISTS. 	<p>Implemented at 18 months</p>	

DEPARTMENT OF ECONOMIC SECURITY
Division of Developmental Disabilities
18-Month Follow-Up Report To
Auditor General Report No. 00-19

FINDING II: Inadequate Information Systems Hamper Efforts To Meet Clients' Needs and Manage Business Operations

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Division should work with GITA to determine its information system needs, identify alternative funding sources, and complete GITA's Project and Investment Justification document to help provide the Legislature with adequate information to evaluate whether to fund a new information system.	Implemented at 6 months	
2. The Division should provide staff with adequate access to information. To do so, the Division, in its next budget request to DES, should make obtaining more computer equipment for its district offices a high priority. The Division should do this whether or not a new information system is obtained.	Implemented at 18 months	

DEPARTMENT OF ECONOMIC SECURITY
Division of Developmental Disabilities
18-Month Follow-Up Report To
Auditor General Report No. 00-19

FINDING III: The Division Does Not Adequately Maintain and Manage Its Waiting List

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Division should instruct support coordinators to promptly enter all authorized but unmet service needs into the waiting list, including those for ALTCS clients whose service needs should be met within 30 days.	Implemented at 6 months	
2. The Division should meet with the Joint Legislative Developmental Disabilities Oversight Committee, JLBC staff, and stakeholders to help them determine how waiting list priorities should be defined.	Implemented at 18 months	
3. The Division should update its policies to reflect definitions of waiting list priorities and its procedures for updating and maintaining the list.	Implementation in Process	
4. Until a more accurate and accessible information system is in place, the Division should have its districts manually compile waiting list information, in addition to the waiting list, to ensure that all clients' needs are captured.	Implemented at 6 months	

DEPARTMENT OF ECONOMIC SECURITY
Division of Developmental Disabilities
18-Month Follow-Up Report To
Auditor General Report No. 00-19

FINDING IV: The Division Needs to Further Improve Its Management of Unusual Incident Reports

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Division should continue to monitor the implementation of its pilot project to better monitor reports of client abuse and neglect, with particular attention to District 1 in Maricopa County.	Implemented at 6 months	
2. The Division should eliminate the current backlog of UIRs.	Implemented at 6 months	
3. The Division should continually reassess and adjust performance measures as necessary during statewide implementation.	Implemented at 6 months	
4. The Division should ensure that district staff responsible for UIRs are adequately trained using Access.	Implemented at 18 months	

DEPARTMENT OF ECONOMIC SECURITY
Division of Developmental Disabilities
18-Month Follow-Up Report To
Auditor General Report No. 00-19

FINDING V: The Division Has Improved Its Contract Management Practices

Recommendation	Status of Implementing Recommendation	Explanation for Recommendations That Have Not Been Implemented
1. The Division should continue with its plans to obtain the services of a consultant with contract negotiation skills and expertise in writing clear, concise RFPs to review its contracting practices.	Implemented at 6 months	