



# A PERFORMANCE AUDIT OF THE DIVISION OF FAMILY HEALTH AND PREPAREDNESS

SOCIAL SERVICES APPROPRIATIONS SUBCOMMITTEE  
STAFF: RUSSELL FRANSEN

ISSUE BRIEF

## **SUMMARY**

This issue brief follows up on six of the total 21 recommendations made by the Legislative Auditor General in [A Performance Audit of the Division of Family Health and Preparedness](#). The Department of Health reports that three or 50% have been fully implemented. This brief is for informational purposes only and requires no Legislative action.

## **DISCUSSION AND ANALYSIS**

### ***Background***

The Legislative Auditor General provided 21 recommendations for the Department of Health in its [A Performance Audit of the Division of Family Health and Preparedness](#). The Department of Health originally anticipated completing six of the 21 recommendations by April 1, 2018. As of April 18, 2018 the Department of Health self-reported completing 3 or 50% of the six recommendations. The Department of Health anticipates completing all six recommendations by November 2018.

The full report from the Department of Health available at <https://le.utah.gov/interim/2018/pdf/00002782.pdf> is in response to the following intent language passed by the Legislature in H.B. 7, *Social Services Base Budget*, from the 2018 General Session:

#### **Item 3 – Health anticipated completing 6 of the 21 Recommendations by April 1, 2018**

*The Legislature intends that the Department of Health report to the Office of the Legislative Fiscal Analyst by April 8, 2018 on the status of all recommendations from Office of the Legislative Auditor General's November 2017 A Performance Audit of the Division of Family Health and Preparedness that the Department of Health had anticipated finished implementing in its agency response to the legislative audit.*

There will be additional reports on the status of implementing other recommendations as per the intent language below:

#### **Item 28**

*The Legislature intends that the Department of Health report to the Office of the Legislative Fiscal Analyst by September 1, 2018 on options to triage criminal background review based on severity of the crimes committed and/or reduce the review the time required to process information from criminal background checks.*

Health originally anticipated completing 12 of the 21 Recommendations by October 1, 2018

*The Legislature intends that the Department of Health report to the Office of the Legislative Fiscal Analyst by October 8, 2018 on the status of all recommendations from Office of the Legislative Auditor General's November 2017 A Performance Audit of the Division of Family Health and Preparedness that the Department of Health had anticipated finished implementing in its agency response to the legislative audit.*

Health originally anticipated completing 17 of the 21 Recommendations by December 31, 2018

*The Legislature intends that the Department of Health report to the Office of the Legislative Fiscal Analyst by January 7, 2019 on the status of all recommendations from Office of the*

*Legislative Auditor General's November 2017 A Performance Audit of the Division of Family Health and Preparedness that the Department of Health had anticipated finished implementing in its agency response to the legislative audit.*

The summary information in the section below includes the following information:

- 1) Self-reported status of recommendation by the Department of Health (completed or in-progress)
- 2) The quotes are the original recommendations from [A Performance Audit of the Division of Family Health and Preparedness](#).
- 3) Summary of action taken by the Department of Health.

**Status of Six Recommendations**

1. Completed “We recommend policies for sanctions and appeals be made publicly available online.” (Chapter 2, Recommendation #3)
  - a. The Department of Health indicates that the rules are available online at <https://childcarelicensing.utah.gov/rules/Interpretation/Center/Center%202018%20Section%205%20-%20Rule%20Violations%20&%20Penalties.pdf>.
2. Completed “We recommend Child Care Licensing develop clear policies regarding use of sanctions to address patterns of noncompliance.” (Chapter 2, Recommendation #1)
  - a. After receiving input on January 10<sup>th</sup> from the child care licensing committees and training staff, the Department of Health implemented its new policies effective March 1, 2018. The department has seen a decrease of 16 or 46% (35 to 19) in the number of sanctions issued and a decrease of \$2,450 (\$6,150 to \$3,700) or 40% in the amount of sanctions for March 2018 to June 2018 when comparing to the same historical period in 2017.
  - b. Please see <https://childcarelicensing.utah.gov/rules/Interpretation/Center/Center%202018%20Section%205%20-%20Rule%20Violations%20&%20Penalties.pdf> for more information.
3. In-progress “We recommend Child Care Licensing clarify policies and procedures for the appeals process after consultation with their legal counsel, including a process for increasing monitoring during appeals.” (Chapter 2, Recommendation #2)
  - a. The Department of Health has had to do monitoring inspections for 67 facilities during the new appeal process. Based on the 126 appeals in FY 2018, the Department of Health may do up to 15 days monitoring inspections for 126 facilities in FY 2019 appeal levels are similar to FY 2018.
  - b. The department originally anticipated a March 1, 2018 completion date and will implement the 15 day right to appeal process by September 30, 2018.
4. In-progress “We recommend that the staff of Baby Watch Early Intervention perform on-site monitoring of contracted providers to ensure quality of services.” (Chapter 4, Recommendation #1)
  - a. The Baby Watch Early Intervention Program (BWEIP) in the Utah Department of Health has hired a Compliance and Monitoring Specialists, developed compliance and quality assessment forms, and has completed four onsite visits of fifteen Early Intervention Programs statewide. Baby Watch anticipates conducting annual onsite compliance and monitoring visits of each program, statewide, beginning in FY 2019. Following the audit visits, BWEIP provides each Early Intervention Program with a comprehensive report

including recommendations for improvement, as well as a quality assurance plan that each program is required to complete.

- i. The assessment methodology includes the following four components:
    1. Qualitative measurements,
    2. Parent and professional interviews,
    3. Reviews for validity, reliability, and timeliness of data submitted, and
    4. Administrative practices that monitor credentialing, training, and competent coaching.
  - ii. Please see <https://le.utah.gov/interim/2018/pdf/00003236.pdf> for the Department of Health's Monitoring and Quality Assurance Report used to evaluate programs.
5. Completed "We recommend that the Legislature consider statutory changes to require background checks for Baby Watch Early Intervention providers." (Chapter 4, Recommendation #3)
- a. The Department of Health determined that it could include background check requirements via contract provisions and legislation is unnecessary. The Department of Health has included language concerning background checks as a contract requirement beginning in FY 2019.
6. In-progress "We recommend that the Division of Family Health and Preparedness implement ongoing performance evaluations of all programs to ensure outcomes are achieved." (Chapter 5, Recommendation #3)
- a. As of July 2, 2018, the Division had met with 97% of programs (30 of 31 total programs) to determine adequacy of meaningful performance measures. The Division identified that many had good performance measures are in place. For those that needing better performance measures subsequent meetings were held with program management to implement improvements in their performance measures. The goal is to have all 31 have meaningful measure in place by October 2018. An annual report is being created that will incorporate all programs and their performance measures.

The Department of Health also provided two additional resources discussing its compliance with recommendations from the legislative audit, see <https://le.utah.gov/interim/2018/pdf/00003160.pdf> and <https://le.utah.gov/interim/2018/pdf/00003162.pdf>.