

From: Kathy Bounous <kbounous@utah.gov>
Sent: Tuesday, August 11, 2020 10:05 AM
To: Kimberly Madsen
Cc: Dan Schuring; Shelle Allinson; Nathan Harrison; Kim Beck
Subject: Re: Accountable Base Budget Status Update

Follow Up Flag: Follow up
Flag Status: Flagged

Hi Kimberly,

Here is our status report for these additional recommendations.

* Recommendation: We recommend that all agencies promote their internal audit tip lines (phone number and email address/online form) to employees and the public, such as by: posting the tip lines prominently on the website homepage, including the tip line in employee training procedures and implementing policies about reporting to internal audit, and creating a website for the internal audit office, if one does not yet exist.

Report: An internal audit tip line was available on the DWS website during the time of the review. In order to more prominently display the tip line, a link titled "Report Fraud" was added to the footer of the department webpage "jobs.utah.gov", now no matter what page a user navigates to, the link is available at the bottom of the page. The internal audit division also has a webpage on the department's intranet which explains what and how to report fraud using the fraud hotline; it also includes a statement that "employees must report known or potentially improper behavior".

* Recommendation: We recommend that agencies add process to their annual risk assessment: information systems in development, internal fiscal issues report.

Report: On November 5, 2019 you explained that our "annual risk assessment is sufficient to meet this recommendation." The department risk assessment has historically included risks considered by DTS which have included "information systems in development". The "internal fiscal issues report" appears to be a report prepared by DHS finance for internal use identifying certain financial issues. The intent of a risk assessment is to gather the most comprehensive list of potential risks for consideration, we believe that the risk assessment conducted annually at DWS does this.

Thanks,
Kathy

From: Dan Schuring <dschuring@utah.gov>
Sent: Friday, May 15, 2020 9:29 AM
To: Kimberly Madsen <kmadsen@le.utah.gov>
Cc: Kathy Bounous <kbounous@utah.gov>; Shelle Allinson <sallinson@utah.gov>; Nathan Harrison <nharrison@utah.gov>; Kim Beck <kimbeck2@utah.gov>
Subject: Accountable Base Budget Status Update

Hi Kimberly,

We need to give a status update of recommendations passed as part of the accountable base budget review per this intent language.

From 2020 GS, SB 3, Item 98

The Legislature intends that the Department of Workforce Services provide an update on the status of all recommendations passed as part of the accountable base budget review during the 2019 Interim

by June 1, 2020 to the Social Services Appropriations Subcommittee.

Based on item 9e of these minutes, and the recommendation in the report the minutes link to, I think this is the only recommendation passed as part of the process:

We recommend DWS add the following performance measure for the Administration line item:
Percent of DWS programs/systems that have reviewed, planned for, or mitigated identified risks.

Is that correct, or is there something else I should look at to see what our update should include?

Thank you for your help,

Dan

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