
February 2015

Performance Audit
Recommendations and
Corrective Actions for Audit:
12-4

CHOICES FOR CARE

Desired Outcomes
Established, but Evaluation of
Actual Results Incomplete

Dated: April 12, 2012

Overview

The SAO makes recommendations designed to improve the operations of state government. For our work to produce benefits, auditees or the General Assembly must implement these recommendations although we cannot require them to do so. Nevertheless, a measure of the quality and persuasiveness of our performance audits is the extent to which these recommendations are accepted and acted upon. The greater the number of recommendations that are implemented, the more benefit will be derived from our audit work.

In 2010, the SAO began to follow-up on the recommendations issued in our performance audits. Experience has shown that it takes time for some recommendations to be implemented. For this reason, we perform our follow-up activities two and four years after the calendar year in which the audit report is issued (e.g., we followed up on recommendations contained in audit reports issued in calendar year 2008 in 2010 and 2012). Our annual performance reports summarize whether we are meeting our recommendation implementation targets. (http://auditor.vermont.gov/audits/recommendation_follow-up)

Act 155 (2012) required that we post on our website “a summary of significant recommendations arising out of the...audit reports... and the dates on which corrective actions were taken related to these recommendations. Recommendation follow-up shall be conducted at least biennially and for at least four years from the date of the audit report.”

This report addresses the requirements of Act 155 to post the results of our recommendation follow-up work on our website. The report does not include follow-up on recommendations issued as part of the state’s financial statement audit and the federally mandated Single Audit, which are performed by a contractor. However, our new contract for this work requires the contractor to provide the results of its recommendation follow-up in the future. Accordingly, we expect that future reports will contain this data.

Audit No., Name & Date	Rec #	Recommendation	Follow-Up Date	Status & Date	Review Comments
12-4 Choices for Care: Desired Outcomes Established, but Evaluation of Actual Results Incomplete 4/12/2012	1	<p>The Department of Disabilities, Aging, and Independent Living (DAIL) should identify a set of indicators that may be the best predictors of individuals at risk for institutional placement, as required by the Choices for Care (CFC) waiver's Special Terms and Conditions of Approval, or obtain written agreement from CMS to eliminate this requirement from the terms and conditions.</p>	12/1/2014	Not Implemented	<p>The Department of Aging and Independent Living reported that the Agency of Human Services is negotiating the consolidation of the Global Commitment and Choices for Care waivers, and that the final Special Terms and Conditions will no longer contain the requirements. However, the waiver terms are not yet finalized and this recommendation has not been implemented.</p>
					<p><i>The four-year recommendation/follow-up for this audit will be conducted in 2016.</i></p>
	2	<p>The Department of Disabilities, Aging, and Independent Living (DAIL) should identify a set of indicators to determine the effect of Choices for Care (CFC) and its policies on the array and amounts of services available in the community, as required by the CFC waiver's Special Terms and Conditions of Approval, or obtain written agreement from CMS to eliminate this requirement from the terms and conditions.</p>		Not Implemented	<p>The Department of Aging and Independent Living reported that the Agency of Human Services is negotiating the consolidation of the Global Commitment and Choices for Care waivers, and that the final Special Terms and Conditions will no longer contain the requirements. However, the waiver terms are not yet finalized and this recommendation has not been implemented.</p>
					<p><i>The four-year recommendation/follow-up for this audit will be conducted in 2016.</i></p>
	3	<p>The Department of Disabilities, Aging, and Independent Living (DAIL) should identify a set of indicators to assess the effect of Choices for Care (CFC) on the level of knowledge about long-term care resources in the general public, as required by the CFC waiver's Special Terms and Conditions of Approval, or obtain written agreement from CMS to eliminate this requirement from the terms and conditions.</p>	12/1/2014	Not Implemented	<p>The Department of Aging and Independent Living reported that the Agency of Human Services is negotiating the consolidation of the Global Commitment and Choices for Care waivers, and that the final Special Terms and Conditions will no longer contain the requirements. However, the waiver terms are not yet finalized and this recommendation has not been implemented.</p>
					<p><i>The four-year recommendation/follow-up for this audit will be conducted in 2016.</i></p>

Audit No., Name & Date	Rec #	Recommendation	Follow-Up Date	Status & Date	Review Comments
12-4 Choices for Care: Desired Outcomes Established, but Evaluation of Actual Results Incomplete 4/12/2012	4	The Department of Disabilities, Aging, and Independent Living (DAIL) should establish a mechanism to include feedback about Choices for Care (CFC) participants that reside in nursing facilities and Enhanced Residential Care (ERC) as part of the valuation of, at a minimum, the information dissemination, access, experience with care, and quality of life outcomes.	12/1/2014	Partially Implemented	The 2014 annual evaluation report includes some information about residents of nursing facilities and ERCs settings. However, this information does not isolate Choices for Care participants, so it provides limited insight into CFC's effect on these residents.
					<i>The four-year recommendation/follow-up for this audit will be conducted in 2016.</i>
	5	The Department of Disabilities, Aging, and Independent Living (DAIL) should ensure that actual results are tracked and reported for all performance indicators in the current Choices for Care (CFC) evaluation plan or revised CFC evaluation plan should DAIL decide to revisit the plan.	12/1/2014	Implemented	The 2014 evaluation report includes actuals for all but 2 of the 50 indicators in the new evaluation plan.
					<i>The four-year recommendation/follow-up for this audit will be conducted in 2016.</i>
	6	The Department of Disabilities, Aging, and Independent Living (DAIL) should develop targets against which actual results are compared for the performance indicators in the current Choices for Care (CFC) evaluation plan or revised CFC evaluation plan should DAIL decide to revisit the plan.	12/1/2014	Not Implemented	The Department of Disabilities, Aging and Independent Living reports that it has not implemented targets for its performance indicators.
					<i>The four-year recommendation/follow-up for this audit will be conducted in 2016.</i>