
February 1, 2021

Performance Audit
Recommendations and
Corrective Actions for Audit:
19-05

CHILD PROTECTION
REGISTRY: AGENCY OF
HUMAN SERVICES

Room for Greater Compliance in
Checking the Registry by Agency
and Selected Contractors and
Grantees

Dated: December 16, 2019

Overview

The State Auditor's Office (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 one and three years after the calendar year in which the audit report is issued. Our annual performance reports summarize whether we are meeting our recommendation implementation targets.

<http://auditor.vermont.gov/about-us/strategic-plans-and-performance-reports>

This report addresses the requirements of Act 155 (2012) 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 current contract for this work requires the contractor to provide the results of its recommendation follow-up.

Rec #	Recommendation	Follow-Up Date	Status	Review Comments
1	The Department for Children and Families (DCF) should develop rules permitting use as authorized of CPR records while preserving confidentiality, as required by 33 V.S.A. §4916(c), 16 V.S.A. §254(e), and 16 V.S.A. §255(h).	2020	Not Implemented	DCF reported that it is just starting to plan the development of rules.
		2022		The three-year recommendation follow-up for this audit will be conducted in 2022.
2	DCF should develop a process to ensure that confidentiality agreements are signed by those who receive Child Protection Registry (CPR) information. This could involve annual or periodic reviews of all or a sample of organizations.	2020	Implemented	DCF provided documentation demonstrating that in November 2020 it had implemented a monthly process for reviewing confidentiality agreements from organizations using the CPR.
		No further follow-up is required because the recommendation was implemented.		
3	DCF should complete the corrective action plan developed in response to our October 17, 2019 letter on an information system access control weakness.	2020	Implemented	DCF provided evidence that the system access control weakness was addressed in December 2020.
		No further follow-up is required because the recommendation was implemented.		
4	The Legislature should consider adopting legislation to require existing classified State employees and former employees exercising their re-employment rights under the State's collective bargaining agreement to be subject to CPR checks before appointment to positions providing care, custody, treatment, transportation, or supervision of children	2020	Not Implemented	The Legislature has not acted on this recommendation.
		2022		The three-year recommendation follow-up for this audit will be conducted in 2022.