

Agenda Item: 7.15

**Prepared by: Mark Majek, Kathy Thomas, Deborah Bell, Tami Cowen and Jaye Stepp
Meeting Date: July 2015**

Summary of Request:

The Texas Internal Audit Act requires a state agency that receives more than \$10 million or more in revenue and has more than 100 employees must comply with the Texas Government Code, Section 2102.005.

The attached report is to provide the Texas Board of Nursing a status update on prior audit recommendations.

Historical Perspective:

This is an annual report as required by internal audit standards.

Pros: The Board of Nursing will be in compliance with accepted internal audit standards and will be updated on past audit recommendations.

Cons: None.

Staff Recommendation:

This report is for informational purposes and no action by the board is required.

Rpt #	High-Level Objective(s)	Observations	Rec #	Findings / Recommendations	Management Updates - May 2015		
2013-1 Enforcement Procedures Audit - Report Date 2/28/13							
Obj	A	Compliance: Are enforcement activities for conducting investigations of complaints against nurses and adjudicating complaints in compliance with Agency Rules and Regulations?		Enforcement activities for conducting investigations of complaints against nurses and adjudicating complaints are in compliance with Agency Rules and Regulations. Existing systems have facilitated the process and are capable of facilitating the process and tracking the information.	2013-1-01	Employ additional monitoring methods such as spot audits of files, random or judgmental sampling audits, and system reconciliations that are documented and evaluated.	Implemented. (A) System reconciliation audit reports for enforcement case information in the NURSE system have been developed. Although originally planned to generate automatically on a periodic basis, the IT report server cannot automatically generate the reports and the reports must be generated manually. Currently, these audit reports are generated at least once each fiscal year, and more often as time permits. (B) Members of the management team who train and review staff work product routinely review relevant portions of case files for completeness and accuracy and verify file contents when warranted. (C) Case resolution data is verified and corrected as necessary on a quarterly basis as disciplinary action information is prepared for being published in the agency's newsletter. (D) Performance measures for individuals, teams and the department have been fully implemented and are distributed on at least a quarterly basis and often on a monthly basis. The performance measures include review and assignment of complaints and other correspondence, as well as initiating and completing investigations by priority and resolving all categories of cases.
					2013-1-03	Additional documentation and training on the existing NURSE system should be obtained as soon as possible to implement the changes identified in #2013-1-02.	Implemented. Reports showing all NURSE Case Audit dates are functional for all supervisors from the IT Report Server; however, since the IT Report Server is not able to automatically generate the reports they are being run manually.
					2013-1-04	Evaluate processes around the transfer of cases to Legal. Consider if Legal should take more responsibility for cases once the decision to go to court has been made. Enforcement remains an integral player, ensuring that orders are followed and cases are properly closed.	Implemented. Process evaluation has been ongoing and existing processes are necessary to ensure continued timely, appropriate case resolution.
					2013-1-05	Succession planning should include ensuring that adequate written procedures exist, including relevant control steps. Back-up positions should be trained. A mentor-protégé program could be established.	Ongoing. Cross training of staff in key positions has been completed. In addition, processes used for special case types, e.g., imposter cases, that had historically been conducted by one supervising investigator have been documented and added to the department's training manual and imposter cases are now also being conducted by other investigators.
2013-2 Education Program Approvals - 11/15/13							
Obj	B	Effectiveness and efficiency of processes and controls: Are the processes and controls over compiling and reporting on nurse education programs sufficient to produce reliable information for reporting to management and the Board?		The processes and controls over education program approvals and monitoring activities are sufficient to achieve objectives. Staff is actively engaged in refining processes to succeed in making the most efficient and effective tools and procedures available for performing their responsibilities	2013-2-01	Processes should be standardized to ensure consistent performance and documentation standards for all program evaluations and reviews.	Implemented: We updated many of our regular documents and improved our logs. We have developed a process schemata describing all of the approval processes used. The program approval process at BON has become clearer with this work. (JH_4/29/15)