

Departmental Response and Corrective Action Response Best Practices

There are two opportunities for a reviewed department to provide feedback on the results of their report: the Departmental Response and the Corrective Action Response (CAR).

Departmental Response

All departments are provided the opportunity to submit a written Departmental Response as part of the compliance review process. This response will be attached to the finalized compliance review report and posted on the SPB website at the conclusion of the review.

The Departmental Response is the department's opportunity to explain the cause of the findings identified in the report. While some departments may include specific actions they have taken to correct a finding in the departmental response, the Corrective Action Response is the best place to fully outline corrections and provide documentation to support corrective actions.

Below is a sample department response for a finding relating to Personal Services Contracts.

Finding: *Unions Were Not Notified of Personal Services Contracts*

Departmental Response:

Cause: *The (DEPT)'s Contracts Unit went through a complete staff turnover within the last two years and procedures were not fully developed and documented to ensure this critical step was adhered to for each applicable contract.*

Corrective Action Response

The CAR is required for departments who have had out-of-compliance findings in their report. The CAR demonstrates the steps which the department has undertaken to correct the non-compliant findings (deficiencies) found as a result of the Compliance Review.

When reviewing the CAR, Compliance Review Division (CRD) staff will be evaluating whether the reviewed department has taken meaningful steps to remediate the deficiencies. It is expected that the department provide copies of relevant documentation demonstrating that the Corrective Action has been, or is in the process of, being corrected. Examples include, but are not limited to, updated internal policies or procedures, a training log for mandated training, and/or any new or updated forms, plans, or documents that have been implemented. For repeat findings, the CRD will be evaluating the department's CAR to ensure that the department has increased its efforts to remediate the deficiency.

The CRD has developed an easy-to-use CAR template for departmental use. It is located on the Compliance Review Tools and Best Practices webpage on SPB's website. All departmental CARs will be posted on SPB's website as part of the report.