Surviving a Regulatory Review: ABAT’s Experience
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About the Presenter

• Executive Director (NOT a Professional Presenter)
• Arizona Board of Athletic Training ("ABAT")
• Arizona Board of Occupational Therapy ("ABOTE")
• ABAT Sunrise – 2000
• ABAT Sunset/Sunrise – 2010
• Separated from ABOTE
• ABAT Sunset – 2020
• ABOTE Sunset/Continuation - 2018

ABAT’s Experience

1. Sunset Factors Report
2. Performance Audit by the Auditor General’s Office
3. Six-Month Follow-Up
4. Additional Questions Added to Sunset Factors Report
5. Committee of Reference
6. Legislation for Continuation
7. 18-Month Follow-Up
Sunset Factors Report

• 12 Questions for Performance Audit
  • 7 related to how we’re performing
  • 3 compare us to other states
  • 1 asks what statutes should be changed
  • 1 asks what the effect would be if the agency terminated

1. The objective and purpose in establishing the Board and the extent to which the objective and purpose are met by private enterprises in other states.
2. The extent to which the Board has met its statutory objective and purpose and the efficiency with which it has operated.
3. The extent to which the Board serves the entire State rather than specific interests.
4. The extent to which rules adopted by the Board are consistent with the legislative mandate.
5. The extent to which the Board has encouraged input from the public before adopting its rules and the extent to which it has informed the public as to its actions and their expected impact on the public.
6. The extent to which the Board has been able to investigate and resolve complaints that are within its jurisdiction.
7. The extent to which the Attorney General or any other applicable agency of state government has the authority to prosecute actions under the enabling legislation.

8. The extent to which the Board has addressed deficiencies in its enabling statutes that prevent it from fulfilling its statutory mandate.
9. The extent to which changes are necessary in the laws of the Board to adequately comply with the factors listed in this sunset law.
10. The extent to which the termination of the Board would significantly affect the public health, safety, or welfare.
11. The extent to which the level of regulation exercised by the Board compares to other states and is appropriate and whether less or more stringent levels of regulation would be appropriate.
12. The extent to which the Board has used private contractors in the performance of its duties as compared to other states and how more effective use of private contractors could be accomplished.
Performance Audit

- Performance Audit
  - Audited license
  - Audited complaint files
  - Reviewed policies and procedures
  - Anonymously called staff to verify correct information was given
  - Compared Arizona to other states
  - Resulted in 11 findings/recommendations

Audit Six-Month Follow-Up

- Follow-Up
  - ABAT reported implementation status for each recommendation
  - AG’s office verified our report
  - Anonymously called staff
  - Published report

Additional Questions

- Five additional questions required for the Committees of Reference
  - Justify the need for the agency
Additional Questions

1. An identification of the problem or the needs that the agency is intended to address.
2. A statement, to the extent practicable, in quantitative and qualitative terms, of the objectives of such agency and its anticipated accomplishments.
3. An identification of any other agencies having similar, conflicting or duplicate objectives, and an explanation of the manner in which the agency avoids duplication or conflict with other such agencies.
4. An assessment of the consequences of eliminating the agency or of consolidating it with another agency.
5. The extent to which the agency potentially creates unexpected negative consequences that might require additional review by the committee of reference, including increasing the price of goods, affecting the availability of services, limiting the abilities of individuals and businesses to operate efficiently and increasing the cost of government.

Committee of Reference

- October/November 2019
- Ask questions about status of recommendations
- Association and public attend
- Goal: Recommend continuation

Legislation

- Sponsor
- Attend committee meetings
- Continuation!!!
IN SUMMARY...

• Involve your association
• Start preparing early
• Be forthright and honest with auditors
• Look for opportunities to improve your processes
• After the initial report, get to work on those recommendations

Thank you!
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