

Report on the

# Sickle Cell Oversight and Regulatory Commission

## State of Alabama

Montgomery, Alabama

October 1, 2017 through September 30, 2019

Filed: June 26, 2020



## Department of Examiners of Public Accounts

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*Rachel Laurie Riddle, Chief Examiner*



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**State of Alabama**  
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Honorable Rachel Laurie Riddle  
Chief Examiner of Public Accounts  
Montgomery, Alabama 36130

Dear Madam:

An examination was conducted on the Sickle Cell Oversight and Regulatory Commission, Montgomery, Alabama, for the period October 1, 2017 through September 30, 2019. Under the authority of the *Code of Alabama 1975*, Section 41-5A-19, I hereby swear to and submit this report to you on the results and finding of the examination.

Respectfully submitted,

Gerald Dedon  
Examiner of Public Accounts

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Department of  
**Examiners of Public Accounts**

**SUMMARY**

**Sickle Cell Oversight and Regulatory Commission  
October 1, 2017 through September 30, 2019**

The Sickle Cell Oversight and Regulatory Commission (the “Commission”) operates under the authority of the *Code of Alabama 1975*, Sections 22-10B-1 through 22-10B-7. The Commission is tasked with ensuring the delivery of sickle cell services to affected persons in Alabama and establishing geographical service delivery boundaries.

This report presents the results of an examination of the Commission and a review of compliance by the Commission with applicable laws and regulations of the State of Alabama. This examination was conducted in accordance with the requirements of the Department of Examiners of Public Accounts under the authority of the *Code of Alabama 1975*, Section 41-5A-12. Our examination was performed for the purpose of determining whether the public officers, agents, and employees of the Commission properly and lawfully accounted for all money and other public assets or resources received, disbursed, or in the custody of the Commission. Our examination included determining compliance by the Commission with state laws and regulations that pertain to financial transactions; personnel; safeguarding of state-owned assets, property, and resources; information dissemination, processing, and retention; and official actions, rulemaking procedures, and meetings. As a part of our examination, we also reviewed internal control policies and procedures relating to the areas listed above. Our examination did not encompass managerial and operational matters, such as whether the Commission accomplished its mission or its regulatory, enforcement, investigative, or other oversight activities in an efficient, fair, timely, or legal manner.

Findings are numbered and reported by the examination period in which the finding originally occurred.

The following instance of noncompliance with State laws and regulations and other matters was found during the examination as shown on the Schedule of State Legal Compliance and Other Findings and it is summarized below.

**UNRESOLVED PRIOR FINDING**

- 2012-01 Relates to the Commission not notifying the Secretary of State within forty-five days of the expiration of commissioners' terms.

Commission members and the Executive Director were invited to an exit conference held on June 9, 2020. Individuals in attendance were: Keith Warren, Executive Director, Renee Reames, Executive Secretary, along with Robin Hutcheson and Troy A. Eastman from the Department of Examiners of Public Accounts. Janet K. Martin and Katherine Long, Commission members, participated via telephone.



Department of  
**Examiners of Public Accounts**

**COMMENTS**

**Sickle Cell Oversight and Regulatory Commission  
October 1, 2017 through September 30, 2019**

The Sickle Cell Oversight and Regulatory Commission (the “Commission”) operates under the authority of the *Code of Alabama 1975*, Sections 22-10B-1 through 22-10B-7. The Commission is designated as the agency to ensure the delivery of sickle cell services to affected persons in Alabama and to assist in establishing geographical service delivery boundaries.

The Commission consists of twelve members. Two members are appointed by the Governor; one member is appointed by the University of South Alabama Comprehensive Cell Center; one member is appointed by the University of Alabama-Birmingham; one member is appointed by the Children’s Hospital of Birmingham; and one member is appointed from each of the seven chapters of the Sickle Cell Disease Association of America-Alabama Chapter. Each member shall be a resident of the State and shall be subject to confirmation by the Senate. Upon confirmation, members serve for a term of four years.

The Commission contracts with Warren & Company, Inc. for clerical services, administrative facilities, and office space. Keith Warren, President of Warren & Company serves as the Commission’s executive director.

The Commission receives an annual appropriation from the Education Trust Fund. The Commission is subject to the State’s normal budgetary procedures and unobligated funds at year-end revert to the Education Trust Fund.

The Commission owns no nonconsumable personal property valued at \$500 or more in its custody as of September 30, 2019.

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*Schedule of State Legal  
Compliance and Other Findings*

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***Schedule of State Legal Compliance and Other Findings***  
***For the Examination Period Ended September 30, 2019***

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Ref. No.	Prior Finding/Noncompliance
2012-01	<p><b><u>Finding:</u></b></p> <p>In the four previous examinations, we disclosed information on Commission members required by law to be posted to the Secretary of State’s website was not accurate, complete, or current. The site included the names of three commissioners whose terms had expired and whose successors had been appointed. The names of two deceased commissioners remained on the website. The expiration dates for the terms of reappointed Commission members were not shown. One commissioner’s term expired October 31, 2012. The vacancy was not reported to the Secretary of State, as required by law.</p> <p>The <i>Code of Alabama 1975</i>, Section 36-14-17(b) provides that, “By December 4, 2006, the chair of an existing board or the appointing authority for the members of a newly created board, shall provide the Secretary of State, in electronic format prepared and distributed by the Secretary of State, the following data pertaining to the board:</p> <ol style="list-style-type: none"><li>1. The name of the board, its mailing address, telephone number, and E-mail address.</li><li>2. The name of each appointee to the board.</li><li>3. The date of appointment, term of appointment, and expiration date of the term of appointment of each appointee.</li><li>4. The name and position of the appointing authority of each appointee.</li></ol> <p><b><u>Current Status:</u></b></p> <p>The Commission did not notify the Secretary of State within forty-five days of the expiration of seven members’ terms that expired March 2018, two members’ terms that expired January 2018, and for one member’s term that expired April 2019.</p> <p><b><u>Recommendation:</u></b></p> <p>It is again recommended that the Commission should post upcoming vacancies at least 45 days before the expiration of the members’ term.</p>



***Schedule of Cash Receipts, Disbursements and Balances  
For the Period October 1, 2017 through September 30, 2019***

	<b>2018-2019</b>	<b>2017-2018</b>
<b><u>Receipts</u></b>		
Education Trust Fund Appropriation	\$ 1,454,701.00	\$ 1,354,701.00
<b><u>Disbursements</u></b>		
Professional Services	24,999.77	26,433.66
Grants and Benefits	1,416,667.86	1,328,729.00
Education Trust Fund Reversion	109.81	1,424.30
Total Disbursements	<u>1,441,777.44</u>	<u>1,356,586.96</u>
Excess (Deficiency) of Receipts Over Disbursements	12,923.56	(1,885.96)
Cash Balances at Beginning of Year	<u>36.44</u>	<u>1,922.40</u>
Cash Balances at End of Year	12,960.00	36.44
Reserved for Unpaid Obligations	<u>(12,960.00)</u>	<u>(36.44)</u>
Available Cash Balances at Year-End	<u>\$</u>	<u>\$</u>

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***Commission Members and Official***  
***October 1, 2017 through September 30, 2019***

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<b>Commission Members</b>		<b>Term Expires</b>
Hon. Eleanor L. Barnes	Chairman	2022
Hon. Felicia L. Wilson, M.D.	Member	2022
Hon. Johnson Haynes, Jr., M.D.	Member	2022
Hon. Thomas Howard, M.D.	Member	2022
Hon. Katherine Long	Member	2022
Hon. Tim Townes, M.D.	Member	2022
Hon. Larry Moore, Esq.	Member	2022
Hon. Linda Garrett	Member	2022
Hon. James Belton	Member	2019
Hon. Janet K. Martin	Member	2022
Hon. Jacqueline C. Williams, DNP	Member	2022

**Official**

Mr. Keith Warren	Executive Director 2777 Zelda Road Montgomery, AL 36106 Phone: (334) 420-7238 Fax: (334) 263-6115
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