	*	Summar	y of Reports from Quas	Agencies as of 12/	31/2021	,	e	·M
			Strategio	Information				
,	#							
,	1-8	These were open-ended questions related to pandemic response which will be considered by the OIA during development of the annual audit plan.						
			yes	no	other			
*	9	Does the entity have a written strategic plan that guides employees on what the entity is working to achieve?	66.67%	5.56%	27.78%			
×			within the last year	within the last 3 years	within the last 5 years	within the last 10 years	N/A	
	10	If the entity has a written strategic plan, when was it last updated?	16.67%	27.78%	22.22%	5.56%	27.78%	
			quarterly or annual entity-wide meetings	written communication	email	posted on agency website or internal	no formal communication	N/A
	11	How is the strategic plan communicated within the organization? Select all that apply.	38.89%	38.89%	33.33%	55.56%	0.00%	27.78%
			yes	no	N/A			
	12	Does the department's strategic plan have quantifiable goals to determine success?	61.11%	5.56%	33.33%			
			yes	yes for more than half of programs	yes for less than half of programs	no		
	13	Does the department have performance measures for programs it administers?	38.89%	22.22%	0.00%	38.89%		
3 0			more than once a month	every 1-3 months	every 3-6 months	every 6-12 months	less than once per year	N/A
	14	Does the department use performance-based data, or other measures to compare it's actual performance, with programmatic goals and objectives? If yes, how often is this done?	11.11%	22.22%	22.22%	5.56%	0.00%	38.89%
, ,			yes	no				
3 1	15	Is the entity responsible for meeting the immediate needs of the public or its constituents in an emergency situation such as a security threat or natural disaster?	33.33%	66.67%				

	*	Summar	y of Reports from Quas	i Agencies as of 12/3	81/2021	,	e	м
3 8	16	Does the entity have an emergency preparedness plan in the event of catastrophe (e.g. fire, flood, hurricane, blizzard, pandemic illness)?	50.00%	50.00%				
3 2			within the last year	within the last 2 years	within the last 5 years	longer than 5 years ago	we have never used the plan	we do not have a plan
3 4	17	If the entity has an emergency preparedness plan, when was the last time this plan was used in exercise or actual emergency?	38.89%	5.56%	5.56%	0.00%	0.00%	50.00%
			within the last year	within the last 3 years	within the last 5 years	within the last 10 years	N/A	
3 1	18	If the entity has an emergency preparedness plan, when was it last updated?	22.22%	16.67%	5.56%	0.00%	55.56%	
			quarterly or annual	written		posted on		entity does not have an
1 1			entity-wide meetings	communication	email	agency website or internal intranet	no formal communication	emergency preparedness plan
	19	If the entity has an emergency preparedness plan, how is it communicated within the organization? Select all that apply.	-		<i>email</i> 27.78%	or internal		preparedness
	19		meetings 5.56%	communication 27.78%		or internal intranet	communication	preparedness plan
	19		meetings	communication		or internal intranet	communication	preparedness plan
		communicated within the organization? Select all that apply.  Does the department actively monitor staff who perform vital	meetings 5.56%  yes	communication 27.78% no		or internal intranet	communication	preparedness plan
	20	communicated within the organization? Select all that apply.  Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could Has inadequate/outdated technology affected the entity's progress	meetings 5.56%  yes 77.78%	27.78%  no 22.22%		or internal intranet	communication	preparedness plan
	20	communicated within the organization? Select all that apply.  Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could Has inadequate/outdated technology affected the entity's progress toward meeting its objectives?  Has inadequate/outdated equipment (other than technology)	meetings 5.56%  yes 77.78% 5.56% 5.56%	27.78%  no 22.22% 94.44%		or internal intranet	communication	preparedness plan
	20	communicated within the organization? Select all that apply.  Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could Has inadequate/outdated technology affected the entity's progress toward meeting its objectives?  Has inadequate/outdated equipment (other than technology)	meetings 5.56%  yes 77.78% 5.56% 5.56%	27.78%  no 22.22% 94.44% 94.44%		or internal intranet	communication	preparedness plan
	20	communicated within the organization? Select all that apply.  Does the department actively monitor staff who perform vital functions, especially in those areas where non-performance could Has inadequate/outdated technology affected the entity's progress toward meeting its objectives?  Has inadequate/outdated equipment (other than technology)	meetings 5.56%  yes 77.78% 5.56% 5.56%	27.78%  no 22.22% 94.44%		or internal intranet	communication	preparedness plan

	¥	Summar	of Reports from Quas	Agencies as of 12/	31/2021	•	•	*
			within the last year	within the last 3 years	within the last 5 years	within the last 10 years	never updated	the entity does not have policies and procedures manuals
4 4	26	If the entity has policies and procedures manuals, when were they last updated?	55.56%	27.78%	5.56%	0.00%	0.00%	11.11%
			at time of hire	annually	as needed due to changes or additions	the entity does not provide training on the policies and procedure	the entity does not have policies and procedures manuals	
	27	If the entity has policies and procedures manuals, how often does the entity provide training on the policies and procedures to the staff?	72.22%	16.67%	72.22%	0.00%	11.11%	
			1/00	no	not sure			
1 3	28	Are policies and procedures (written or un-written) designed to provide adequate segregation of duties or independent checks?	<i>yes</i> 94.44%	0.00%	5.56%			
								A1 / A
	29	Is the internal control structure supervised and reviewed by	<i>yes</i> 72.22%	generally yes  16.67%	o.00%	0.00%	0.00%	<i>N/A</i> 11.11%
		management to determine if it is operating as intended?	12.227	20.01 //	0.0070	0.00%	0.0070	11.11/0
4 3			yes	generally yes	no	not sure		
	30	Are there adequate systems of authorization and approval of transactions?	83.33%	16.67%	0.00%	0.00%		
	31	Does the entity have adequate staffing in order to reasonably ensure all control activities are in place and operating as designed?	72.22%	16.67%	11.11%	0.00%		
			less than 100	100 to 1,000	1,001 to 10,000	10,001 to 100,000	100,001 to 250,000	greater than 250,000
	32	Estimate the number of financial transactions the entity processes on a monthly basis.	38.89%	16.67%	11.11%	22.22%	0.00%	11.11%
				daman=11		m a 4		
	33	Is there timely (2-3 business days) and appropriate documentation and recording of financial transactions?	<i>yes</i> 77.78%	generally yes 22.22%	0.00%	0.00%		
		-						
			yes	no				

	*	Summary	of Reports from Quas	i Agencies as of 12/	31/2021	X	e	*
	34	Does management identify and analyze risks relating to change, such as new technology, new regulations, restructuring and rapid growth?	88.89%	11.11%				
	35	Does the department have a process in place to identify new (or changed) laws, or statutory requirements that could affect its operations?	83.33%	16.67%				
3 1			yes	no				
3 9	36	Are there new (within the last year) and significant legal, regulatory, or professional requirements of the entity that the	5.56%	94.44%				
3 9	<i>37</i>	Is the entity responsible for overseeing multiple year and varied federal award programs?	22.22%	77.78%				
			yes	no	the entity is not responsible for the administration of federal award			
3 4	38	Does the entity have written policies and procedures related to the administration of federal awards?	33.33%	11.11%	55.56%			
				. "				
3 #	39	Is there adequate management understanding of information technology?	<i>yes</i> 94.44%	generally yes 5.56%	o.00%	0.00%	0.00%	
			yes	no				
f 3	40	Are controls in place to ensure information systems and data are protected from unauthorized access, theft, or malicious acts?	94.44%	5.56%				
	41	Does the entity interact with the public using the Internet? (i.e. accept payments, take applications, complaints)	72.22%	27.78%				
	42	Other than services provided by the Division of Information Technology (DoIT), are any information technology elated functions outsourced?	77.78%	22.22%				
	44	Do information systems' controls effectively prevent and/or detect missing, or invalid data?	83.33%	16.67%				
	45	Do only authorized staff have information system override privileges?	88.89%	11.11%				
			1/00		not come			
$\vdash\vdash\vdash$		Have deficiencies been detected in internal controls, by	yes	no	not sure			
	46	management, internal audit, the Office of the Auditor General, or other regulatory authorities, within the last year?	11.11%	88.89%	0.00%			

	,	Summar	of Reports from Quas	i Agencies as of 12/	81/2021	à.	е	*
			yes	generally yes	sometimes	no	not sure	
# 5	47	Does management promote the identification and discussion of potential and known problems with auditors and other evaluators?	94.44%	0.00%	0.00%	0.00%	5.56%	
. ,			Financia	l Information				
			yes	no	not sure			
	48	Did you request a supplemental budget this year?	94.44%	0.00%	5.56%			
# 3			highly effective	effective	somewhat effective	not effective	not sure	
	49	Evaluate the budget process as an effective control mechanism.	50.00%	44.44%	0.00%	0.00%	5.56%	
			yes often	sometimes	occasionally	no		
		Are there disagreements between the Controller's/Budget Offices	700 011011	Joineanios	Coodsionally	110		
	50	and the entity with regard to accounting, auditing and reporting matters?	88.89%	11.11%	0.00%	0.00%		
, , ,								
			yes	no	not sure			
	51	Have formal or informal restrictions been applied to the internal or external auditor to limit access to people and information?	5.56%	88.89%	5.56%			
			audit findings are corrected within 6 months	audit findings are prioritized by management and corrected when possible	audit findings are generally not corrected	the entity has not had audit findings		
	52	Which answer best describes how the entity handles audit findings?	27.78%	5.56%	0.00%	66.67%		
			has met all reporting requirements	generally meets all reporting requirements	has been unable to meet some reporting requirements	generally unable to meet its reporting requirements		
	53	Considering the past two years, please select the answer that best describes the entities ability to meet its periodic reporting requirements.	94.44%	5.56%	0.00%	0.00%		
			yes	no	no sub-awards issued using federal funds			

	¥	Summa	ry of Reports from Quas	Agencies as of 12/	81/2021	,	ø	н
	54	Did the entity complete the required Federal Funding Accountability and Transparency Act (FFATA) reporting within one month of issuing the sub-awards using federal funds?	5.56%	11.11%	83.33%			
			yes	generally yes	not really	no		
1 1 4	56	Is the entity's organizational structure appropriate for its size and responsibilities?	83.33%	11.11%	0.00%	5.56%		
			yes	по				
	<i>57</i>	Has the entity failed to obtain or been forced to return federal funds due to staffing issues or any other reason?	0.00%	100.00%				
			highly effective	effective	somewhat effective	not effective	N/A	
1 2 2	58	How effective is the entity at tracking federal award revenue and federal award expenses?	38.89%	5.56%	0.00%	0.00%	55.56%	
			grant management system	excel spreadsheets	other	agency does not systematically track federal revenue and expenditures		
1 3 4	59	What tools does the agency use to track federal award revenue and federal award expenditures? Check all that apply.	16.67%	44.44%	50.00%	27.78%		
			yes	occasionally	generally no	no		
	60	Does the department document its review of federal funds sub-recipients?	27.78%	0.00%	0.00%	72.22%		
-								
			high risk	moderate risk	low risk	little or no risk		
1 2 1	61	Evaluate the risk of theft or misappropriation of assets by management or employees due to their access to cash or other assets.	0.00%	5.56%	16.67%	77.78%		
			yes	no				
	62	Are you aware of or do you suspect any theft, misappropriation or fraud that is currently occurring or occurred during the last year within your entity?	0.00%	100.00%				

	,	Summar	of Reports from Qua	si Agencies as of 12/3	31/2021	Α.	e	*
			yes	generally yes	not in all instances	no		
1 1 3	63	Are there adequate physical safeguards over cash, investments, inventory and fixed assets, of the entity?	88.89%	11.11%	0.00%	0.00%		
			cash	personal/business check	certified/bank check/money order	credit/debit card	ach/direct deposit/wire transfer	entity does not accept payment from the public
	64	If the entity accepts payments from the public, please indicate which forms of payment are accepted. Select all that apply.	33.33%	66.67%	61.11%	50.00%	72.22%	16.67%
			highly effective	effective	adequate	less than adequate	poor	
	65	Evaluate the entity's physical location in terms of safety and security. If the entity has multiple facilities, consider the safety and security of the facility in conjunction with its purpose.	72.22%	27.78%	0.00%	0.00%	0.00%	
			highly effective	effective	adequate	less than adequate	poor	not sure
	66	Evaluate the physical access controls for information systems. (i.e. locked closets and service rooms, public access to employee work areas)	66.67%	27.78%	0.00%	0.00%	0.00%	5.56%
	67	Evaluate the logical access controls for information systems. (i.e. password policies, authorized access procedures)	66.67%	27.78%	0.00%	0.00%	0.00%	5.56%
			highly effective	effective	adequate	less than adequate	poor	
	68	Evaluate oversight of employee expenditures, such as travel and expense reimbursement.	83.33%	16.67%	0.00%	0.00%	0.00%	
	69	Evaluate oversight of senior management's expenditures, such as travel and expense reimbursement.	83.33%	16.67%	0.00%	0.00%	0.00%	
	70	Evaluate the entity's internal accounting and administrative controls.	77.78%	22.22%	0.00%	0.00%	0.00%	
			Human Resol	urce Management				
			yes	no				

	,	Summar	y of Reports from Quas	i Agencies as of 12/	31/2021	h	đ	м
	71	Have there been any significant changes in senior management or directors, within the last year?	50.00%	50.00%				
f V 3	72	Has management established a code or other policies communicating appropriate ethical and moral behavioral standards for its employees?	88.89%	11.11%				
	73	Does management monitor employees, for compliance, with any code or other policies regarding appropriate ethical and moral behavioral standards?	77.78%	22.22%				
	74	Is there an employee handbook that is readily accessible?	88.89%	11.11%				
			within the last year	within the last 3 years	within the last 5 years	within the last 10 years	N/A	
	75	When was the employee handbook last updated?	38.89%	11.11%	38.89%	0.00%	11.11%	
	76	When were job descriptions last updated?	55.56%	16.67%	11.11%	0.00%	16.67%	
		Are there standardined hiring presedures and are they consistently	yes	generally yes	no			
	77	Are there standardized hiring procedures and are they consistently applied?	83.33%	5.56%	11.11%			
			yes	no				
1 1 0	78	Are background checks conducted on potential hires?	16.67%	83.33%				
1 2 1	79	Are credentials and references verified, for potential hires?	11.11%	88.89%				
1 2 5			yes, sufficient	yes, but barely sufficient	no, not sufficient			
	80	Does the entity have sufficient numbers of people with the requisite skills to achieve its organizational objectives?	88.89%	5.56%	5.56%			
1 1 1								
		Describes and the second secon	yes	no				
1 3 4	81	Does the agency have a succession plan in place for senior management and other key employees?	66.67%	33.33%				
		Describes and the base and analysis and a state of the base and a state of the stat	yes	no	not sure			
1 2 4	82	Does the entity have operations or individuals that have evidenced significant ethical shortfalls and the appropriate personnel actions have not been taken?	0.00%	100.00%	0.00%			
					£= 5=	<b>1</b>		
, x ,	02	Evaluate marale among conjer management	excellent	good	fair	<i>low</i>		
	<i>83</i> <i>84</i>	Evaluate morale among senior management.	38.89%	55.56%	5.56%	0.00%		
	<i>6</i> 4	Evaluate morale among employees.	38.89%	55.56%	5.56%	0.00%		
			yes	no				
1 X Y	85	Are there mandatory vacations for employees performing key control functions?	5.56%	94.44%				

	*	Summar	of Reports from Quas	i Agencies as of 12/3	81/2021	,	e	
1 1 2	86	Do training and mentoring programs exist for employees?	83.33%	16.67%				
	87	Does management utilize methods such as cross-training, strategic hiring practices, detailed procedure documentation, enhanced supervision, etc. to help mitigate the risk associated, with sudden,or significant changes in key personnel?	83.33%	16.67%				
	88	Is there a risk that the Finance function of the entity will fail to function as a control in the event that senior management seeks to override established controls or take overly aggressive financial reporting positions?	5.56%	94.44%				
	89	Is there any indication that unreliable or inaccurate estimates have been provided, or that management has been less than forthright?	0.00%	100.00%				
$\vdash$								
			management has a long track record of meeting or exceeding strategic goals, as well as a positive history of reacting to changing conditions	management has been successful in meeting goals and objectives, appears to be in control of operations	moderately successful in meeting goals and forecasts, occasional crisis management due to changing operating conditions	often unable to meet goals, operational changes often create crisis situations for management	rarely able to meet goals, constant management by crisis	
	90	Evaluate management's past performance:	66.67%	33.33%	0.00%	0.00%	0.00%	
			experienced management team that has successfully managed through one or more business cycles	management team of average experience that has successfully managed through one or more business cycles	senior management team lacks experience in a key area	senior management team lacks experience with common industry problems		
	91	Evaluate management's experience and skill mix:	94.44%	5.56%	0.00%	0.00%		
1 + 3								

	4	Summar	of Reports from Quas	Agencies as of 12/	31/2021		q	*
			good management depth at key positions with full succession planning	adequate management depth with all key positions covered by qualified individuals	insufficient management depth with an active recruiting effort to fill positions	insufficient management depth in key positions representing serious exposures		
	92	Evaluate management's depth:	22.22%	77.78%	0.00%	0.00%		
3 0 0								
			Regulatory	/ Compliance				
			yes	no				
3 0 1	93	Is there an oversight authority or board of directors to whom management is responsible?	100.00%	0.00%				
2 0 1			1/02	<b>*</b> •	A//A			
		If the entity does have an oversight authority or board of directors	yes	no	N/A			
3 0 T	94	to whom management is responsible, is there evidence of ineffective monitoring of management?	5.56%	88.89%	5.56%			
3 0 X	95	Have there been any changes in the entity's legal counsel during the past year?	5.56%	94.44%	0.00%			
			yes	no				
3 1 0	96	Is the entity currently under a regulatory or other supervisory order?	11.11%	88.89%				
2 1 1	97	Are there any actual or pending inquiries, investigations, or actions by a regulatory agency, that would affect the entity's ability to operate?	0.00%	100.00%				
3 1 3	98	Does the entity have any specific anti-fraud policies?	55.56%	44.44%				
2 1 2	99	Does the entity have an internal audit function, other than the Bureau of Audits?	16.67%	83.33%				
3 1 4	100	Does the entity work with client information, requiring security, privacy, and confidentiality?	77.78%	22.22%				
3 1 4	101	Does the entity have a documented privacy and confidentiality policy?	77.78%	22.22%				
3 1 4	102	Is the entity subject to debt covenant requirements?	55.56%	44.44%				
3 1 K								
		If the entity is subject to debt severant requirements is the subject to	yes	no	N/A			
2 1 +	103	If the entity is subject to debt covenant requirements, is the entity in compliance?	50.00%	5.56%	44.44%			
3 3 0	104	Does the entity have policies/procedures for maintaining compliance with environmental laws?	50.00%	0.00%	50.00%			
, , ,								
			yes	no				

	· ·		of Reports from Quas	0 ,	, ,	A .	a a	н
			or Reports Horri Quas	n Agentices as of 12/	71/2021			
1 1 1		Is the entity involved in the production or handling of hazardous substances (besides the office related items such as ink and toner cartridges)?	27.78%	72.22%				
3 3 1								
3 3 1			yes, often	occasionally	no			
3 3 4	106	Does the entity conduct internal self-reviews with regard to compliance with laws and regulations?	55.56%	38.89%	5.56%			
3 3 3								
3 3 X			Governn	nent Service				
3 3 4			very well	adequately well	adequately well in most areas, though some need improvement.	not very well		
3 3 0	107	How well is the entity meeting the needs of its constituents?	38.89%	61.11%	0.00%	0.00%		
3 7 1		-						
1 1 1			yes	no				
3 7 7	108	Does the entity have a means of monitoring constituent satisfaction with its services?	88.89%	11.11%				
, , ,					no, this has not			
3 2 1			<i>yes</i>	generally yes	been an area of focus			
3 F S		Does the entity focus on improving accountability and transparency to the general public through the use of internet portals (ri.gov) or another means of information disbursement?	88.89%	5.56%	5.56%			
3 7 8			physical relocation	physical improvement to facilities	change in hours	improved phone service	internet services	improved customer service program
2 2 +		How is the entity working to improve government accessibility? Please check all that apply.	5.56%	50.00%	27.78%	44.44%	83.33%	61.11%