

State of Rhode Island Office of Internal Audit
Financial Integrity and Accountability Reports
Summary of Responses for State Agencies as of 12/31/2022

<i>Strategic Information</i>									
1-14	Introductory Information								
		Yes	No						
15	Does the entity have a written strategic plan that defines agency objectives and establishes quantifiable goals which has been updated within the last 5 years?	93%	7%						
16	Does management perform and document a Strength, Weakness, Opportunity and Threat (SWOT) analysis as part of its strategic planning process?	48%	52%						
17	Does the department use performance-based data, or other measures to compare its actual performance, with programmatic goals and objectives at least annually?	87%	13%						
		Director	Senior Management	Legal Counsel	Other Key Personnel	Not Applicable			
18	Please select all areas in which key personnel have changed within the last year	32%	52%	17%	22%	25%			
		Cross-training	Strategic hiring practices	Detailed procedural documentation	Enhanced supervision of new staff	Documented succession plan	None		
19	What method(s), if any, does management utilize to help mitigate the risk associated with sudden or significant changes in key personnel?	83%	80%	60%	62%	23%	3%		
<i>Information and Communication</i>									
		Business continuity plan	Policies and procedure manual	Strategic plan	Disaster Recovery plan	Succession plan	None		
20	Of the entity-wide plans listed below, which does the entity have a formal process for preparing, periodically updating, and disseminating?	43%	82%	80%	52%	23%	3%		
		E-mail	Posted on agency's web site or Intranet	Quarterly or annual wide meetings	Written communication	No formal communication			
21	How are entity-wide plans communicated within the organization?	87%	63%	53%	62%	2%			
		Initial onboarding training	Documented training manuals	Periodic reviews of work performed	None				
22	What methods are used to provide training to staff regarding business operations?	93%	68%	80%	2%				
<i>Health and Safety</i>									
		Yes	No						
23	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?	62%	38%						
24	Does the entity produce or transport hazardous materials or operate heavy equipment?	20%	80%						
		Location(s) are safe and secure	Location(s) are generally safe and secure	Safety and security is less than adequate	Safety and security need improvement				
25	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.	60%	28%	3%	8%				
		Yes	No						
26	Has there been one or more workplace injuries in the last year?	32%	68%						
<i>Internal Control</i>									
		Yes	No						
27	Are policies and procedures in place and designed to provide adequate segregation of duties, independent checks, and oversight of actions taken by employees?	98%	2%						
		Yes	No	Sometimes					
28	Is the internal control structure supervised and reviewed by management to determine if it is operating as intended?	92%	2%	7%					
		Yes	No	Generally, Yes					
29	Does the entity have adequate staffing in order to reasonably ensure all control activities are in place and operating as designed?	28%	20%	52%					
30	Are instances of management override of internal controls documented and approved by an appropriate third party?	73%	27%						
31	Is there a process in place to regularly reconcile critical accounts which is documented and signed by appropriate management staff?	93%	7%						
<i>IT Controls</i>									
		Yes	No						
32	Are controls in place to ensure information systems and data are protected from unauthorized access, theft, or malicious acts?	95%	5%						
33	Do information systems' controls effectively prevent and/or detect missing or invalid data?	82%	18%						
34	Do only authorized staff have information system administrator access or override privileges?	93%	7%						
		Employee Training	Secure Systems	Password Policies	Authorized Access Procedures	Other			
35	How does the entity protect the security, privacy or confidentiality of information?	87%	92%	92%	83%	3%			
<i>Grants</i>									
		Not applicable, the entity does not receive award revenue	Somewhat effective	Highly effective	Effective				
36	How effective is the entity at tracking federal award revenue, federal award expenses and meeting periodic reporting requirements?	25%	7%	45%	23%				

		Yes	No	Not applicable, the entity does not receive award revenue						
37	Are there any current or pending inquiries, investigations, or actions by a regulatory agency?	5%	77%	18%						
38	Has the entity failed to obtain or been forced to return federal funds?	12%	65%	23%						
Operations										
40	Has there been a change in the nature, size or structure, of the entity, within the last year?	22%	78%							
		Cash	Certified/Bank Check/Money Order	Credit and Debit card	Web-based payment	Entity does not accept payment from the public	Personal business check	Ach/Direct deposit/wire transfer		
41	If they entity accepts payments from the public, please indicate which forms of payment are accepted.	25%	53%	30%	23%	40%	52%	32%		
42	Are you aware of or do you suspect any theft, misappropriation, fraud or other unethical act to be currently occurring or have occurred during the last year within your entity?	2%	98%							
		Documented periodic reconciliation of assets	Dual signatures	Inventory listing of supplies & goods	Locked or secured storage areas					
43	Which of the following physical safeguards are in place over cash, inventory and fixed assets of the entity?	68%	38%	62%	83%					
44	Does the entity exchange personal or financial information with the public using the Internet? (i.e. processing applications, complaints, issuing licenses, etc.)	47%	53%							
		Inadequate Staffing	Financial resource limitation	Outdated Technology	Obsolete Equipment	Poor Employee Performance	Not Applicable	Legal & Regulatory Restriction	Difficulty recruiting due to lack of trained planners in RI	Sufficient non-federal funding for non-transportation task
45	Do any of the following items hinder the agency's ability to meet its objectives?	52%	35%	40%	28%	10%	32%	15%	2%	2%
Human Resource Management										
46	Evaluate morale among senior management.	Good	Excellent	Fair						
		60%	37%	3%						
47	Evaluate morale among employees.	Good	Excellent	Fair	Low					
		50%	27%	20%	3%					
48	Are personnel who perform key controls required to take vacations or are other personnel periodically required perform the the key controls?	Yes	No							
		62%	38%							
49	Is it suspected that employees misuse, or demonstrate patterns of misuse, of sick time?	15%	85%							
50	Have any employees filed any workplace grievances against the agency in the last year?	40%	60%							
51	Do training and mentoring programs exist for employees?	92%	8%							
		Long track record of meeting or exceeding strategic goals, as well as a positive history of reacting to changing conditions	Successful in meeting goals and objectives, appears to be in controls of operations	Moderately successful in meeting goals and forecasts, occasional crisis management due to changing operating conditions						
52	Evaluate management's past performance:	52%	33%	15%						
		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	Management team lacks experience in a key area						
53	Evaluate management's experience and skill mix:	80%	15%	5%						
		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					
54	Evaluate management's depth:	38%	47%	13%	2%					
Regulatory and Compliance										
55	Does the entity conduct internal self-reviews with regard to compliance with laws and regulations?	Yes, Often	Occasionally	No						
		67%	30%	3%						
Governmental Service										
56	How well is the entity meeting the needs of its constituents?	Very Well	Adequately Well	Needs Improvement.						
		58%	37%	5%						
57	Does the entity have a means of monitoring constituent satisfaction with its services?	Yes	No							
		78%	22%							
58	Does the entity solicit feedback from customers and utilize the information to drive operational change?	85%	15%							

59	Does the agency receive customer service complaints?	65%	35%							
		Yes	No	Not applicable						
60	Is the agency exceeding target wait times, processing times or response times for one or more of its customer-facing functions?	23%	38%	38%						
		Yes	No, this has not been an area of focus	Generally, Yes						
61	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?	60%	15%	25%						
		Internet Services	Physical Improvement to Facilities	Improved Phone Services	Improved Customer Services Program	Physical Relocation	Change In Hours	Other	Not Applicable	
62	How is the entity working to improve government accessibility?	65%	42%	22%	33%	22%	10%	2%	20%	