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

### Strategic Information

| # | | Yes | No | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 1-14 | Introductory Information | | | | | | | | |
| 15 | Does the entity have a written strategic plan that defines agency objectives and establishes quantifiable goals that has been updated within the last 5 years? | 78% | 22% | | | | | | |
| 16 | Does management perform and document a strength, weakness, opportunity and threat (SWOT) analysis as part of its strategic planning process? | 61% | 39% | | | | | | |
| 17 | Does the department use performance-based data, or other measures to compare its actual performance, with programmatic goals and objectives at least annually? | 89% | 11% | | | | | | |

| # | | 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: | 11% | 33% | 11% | 6% | 61% | | | |

| # | | 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? | 94% | 72% | 78% | 72% | 6% | 6% | | |

### Information and Communication

| # | | Business Continuity Plan | Policies and Procedure Manual | Strategic Plan | Disaster Recovery Plan | Succession Plan | | | |
|---|---|---|---|---|---|---|---|---|---|
| 20 | Of the entity-wide plans listed below, which does the entity have a formal process for preparing, periodically updating, and disseminating? | 39% | 67% | 61% | 39% | 22% | | | |

| # | | 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? | 44% | 44% | 39% | 50% | 28% | | | |

| # | | Initial Onboarding Training | Documented Training Manuals | Periodic Reviews of Work Performed | None | Training | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |

| 22 | What methods are used to provide training to staff regarding business operations? | 78% | 72% | 89% | 11% | 6% | | | |
|---|---|---|---|---|---|---|---|---|---|
| | **Health and Safety** | | | | | | | | |
| | | **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? | 39% | 61% | | | | | | |
| 24 | Does the entity produce or transport hazardous materials or operate heavy equipment? | 28% | 72% | | | | | | |
| 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. | 100% | | | | | | | |
| 26 | Has there been one or more workplace injuries in the last year? | 33% | 67% | | | | | | |
| | **Internal Control** | | | | | | | | |
| | | **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? | 100% | 0% | | | | | | |
| 28 | Is the internal control structure supervised and reviewed by management to determine if it is operating as intended? | 94% | 6% | | | | | | |
| | | Yes | Generally, Yes | No | | | | | |
| 29 | Does the entity have adequate staffing in order to reasonably ensure all control activities are in place and operating as designed? | 83% | 17% | | | | | | |
| | | **Yes** | **No** | | | | | | |
| 31 | Is there a process in place to regularly reconcile critical accounts which is documented and signed by appropriate management staff? | 100% | 0% | | | | | | |
| | **IT Controls** | | | | | | | | |
| | | **Yes** | **No** | | | | | | |
| 32 | Are controls in place to ensure information systems and data are protected from unauthorized access, theft, or malicious acts? | 100% | 0% | | | | | | |
| 33 | Do information systems' controls effectively prevent and/or detect missing or invalid data? | 83% | 17% | | | | | | |
| 34 | Do only authorized staff have information system administrator access or override privileges? | 100% | 0% | | | | | | |
| | | **Employee Training** | **Secure Systems** | **Password Policies** | **Authorized Access Procedures** | **Other** | | | |
| 35 | How does the entity protect the security, privacy on confidentiality of information? | 83% | 89% | 89% | 72% | 6% | | | |
| | **Grants** | | | | | | | | |

| # | Question | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | **Not applicable, the entity does not receive award revenue.** | **Highly Effective** | **Effective** | | | | | |
| 36 | How effective is the entity at tracking federal award revenue, federal award expenses and meeting periodic reporting requirements? | 50% | 44% | 6% | | | | | |
| | | **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? | 0% | 56% | 44% | | | | | |
| 38 | Has the entity failed to obtain or been forced to return federal funds? | 0% | 56% | 44% | | | | | |
| | | | | *Operations* | | | | | |
| | | **Yes** | **No** | | | | | | |
| 40 | Has there been a change in the nature, size or structure, of the entity, within the last year? | 6% | 94% | | | | | | |
| | | **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. | 39% | 61% | 44% | 28% | 11% | 78% | 72% | |
| | | **Yes** | **No** | | | | | | |
| 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? | 0% | 100% | | | | | | |
| | | **Documented Periodic Reconciliation of Assets** | **Dual Signatures** | **Inventory Listing of Supplies & Goods** | **Locked or Secured Storage Areas** | **Other** | | | |
| 43 | Which of the following physical safeguards are in place over cash, inventory and fixed assets of the entity? | 67% | 44% | 33% | 67% | 6% | | | |
| | | **Yes** | **No** | | | | | | |
| 44 | Does the entity exchange personal or financial information with the public using the Internet? (i.e. processing applications, complaints, issuing licenses, etc.) | 72% | 28% | | | | | | |
| | | **Financial resources limitations** | **Not applicable** | **No** | | | | | |
| 45 | Do any of the following items hinder the agency's ability to meet its objectives? | 6% | 78% | 6% | | | | | |

| | | Human Resource Management | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | Good | Excellent | | | | | |
| 46 | Evaluate morale among senior management. | 56% | 44% | | | | | |
| 47 | Evaluate morale among employees. | 56% | 44% | | | | | |
| | | Yes | No | | | | | |
| 48 | Are personnel who perform key controls required to take vacations or are other personnel periodically required perform the key controls? | 28% | 72% | | | | | |
| 49 | Is it suspected that employees misuse, or demonstrate patterns of misuse, of sick time? | 0% | 100% | | | | | |
| 50 | Have any employees filed any workplace grievances against the agency in the last year? | 11% | 89% | | | | | |
| 51 | Do training and mentoring programs exist for employees? | 72% | 28% | | | | | |
| | | Long track record of meeting or exceeding strategic goals | Successful in meeting goals and objectives | Moderately successful in meeting goals and forecasts | Positive history of reacting to changing condition | Occasional crisis management due to changing operating conditions | Appears to be in controls of operations | |
| 52 | Evaluate management's past performance: | 72% | 11% | 17% | 72% | 17% | 11% | |
| | | 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 | | | | | |
| 53 | Evaluate management's experience and skill mix: | 89% | 11% | | | | | |
| | | Good management depth at key positions with full succession planning | Adequate management depth with all key positions covered by qualified individuals | | | | | |
| 54 | Evaluate management's depth: | 39% | 61% | | | | | |
| | | Regulatory and Compliance | | | | | | |
| | | Yes, Often | Occasionally | | | | | |
| 55 | Does the entity conduct internal self-reviews with regard to compliance with laws and regulations? | 67% | 33% | | | | | |
| | | Yes | No | Very Well | Not Applicable | | | |
| 57 | If the entity is subject to debt covenant requirements, is the entity in compliance? | 56% | 17% | 6% | 22% | | | |
| | | Governmental Service | | | | | | |
| | | Very Well | Adequately Well | Yes | | | | |
| 58 | How well is the entity meeting the needs of its constituents? | 72% | 22% | 6% | | | | |
| | | Yes | No | | | | | |
| 59 | Does the entity have a means of monitoring constituent satisfaction with its services? | 83% | 17% | | | | | |
| | | Yes | No | Other | | | | |
| 60 | Does the entity solicit feedback from customers and utilize the information to drive operational change? | 67% | 28% | 5.00% | | | | |
| 61 | Does the agency receive customer service complaints? | 61% | 39% | | | | | |

| | | Yes | No | Not Applicable | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 62 | Is the agency exceeding target wait times, processing times or response times for one or more of its customer-facing functions? | 17% | 50% | 33% | | | | | |
| | | Yes | No, this has not been an area of focus | Generally, Yes | | | | | |
| 63 | 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? | 72% | 6% | 17% | | | | | |
| | | Internet Services | Physical Improvement to Facilities | Improved Phone Services | Improved Customer Service Program | Physical Relocation | Change in hours | N/A | Online meeting when applicable or necessary |
| 64 | How is the entity working to improve government accessibility? | 72% | 56% | 56% | 61% | 11% | 33% | 17% | 6% |