

Fiscal Year 2021 Children's Services Act (CSA) Local Agency –  
Annual Risk Assessment Survey

**1. The following risk factors may hinder achievement of objectives, if mitigating actions are not taken. Please rate the degree in which your local CSA program has experienced or have been affected by the situations described below. (Note: A high rating is indicative that the risk exposure described exists and has significantly affected the local program. A low rating is indicative that the risk exposure is not present, or where it exist that there has been little or no effect to the local program.)**

A. **CHANGES IN OPERATIONS:** Extent to which changes in funding, staffing, operating practices/procedures over the last 24 months have affected your local program as the changes are absorbed.

Low    Slightly Moderate    Moderate    Slightly High    High

B. **PRESSURE TO MEET OBJECTIVES:** Extent to which the local program has been vulnerable to reductions in the quality of service provided, increased operating cost, or lessening of controls/ procedures to achieve federal, state, and local objectives.

Low    Slightly Moderate    Moderate    Slightly High    High

C. **ADVERSE PUBLICITY:** Extent to which unfavorable exposures (industry and/or public media) over the last 24 months have affected your local program's ability to secure and maintain public trust and confidence

Low    Slightly Moderate    Moderate    Slightly High    High

D. **SERVICE DELAYS:** Over the last 24 months, the extent to which failure to meet stated service levels has seriously affected relations with stakeholders, created serious internal problems, and/or affected the program's reputation.

Low    Slightly Moderate    Moderate    Slightly High    High

E. **CONFIDENTIALITY OF DATA:** Extent of loss or embarrassment over the last 24 months that was due to unauthorized or premature disclosure of protected information.

Low    Slightly Moderate    Moderate    Slightly High    High

F. **INACCURATE DATA:** Extent that incorrect data generated over the last 24 months has affected the integrity and reliability of data reported by the local program, and consequently shared by other state and local stakeholders.

Low    Slightly Moderate    Moderate    Slightly High    High

G. **PROCESSING SOPHISTICATION:** Extent to which the reliability of manual and/or automated technology processes used in the local program's process flow over the last 24 months has impacted performance of daily operating activities.

Low    Slightly Moderate    Moderate    Slightly High    High

H. **HISTORY OF FRAUD:** Extent to which actual or alleged incidences fraud occurring within the past 24 months has impacted the local program.

Low    Slightly Moderate    Moderate    Slightly High    High

**2. The following factors that are established to mitigate risks could potentially lose their effectiveness over time, and thus no longer function as intended. Please rate the degree in which your local CSA program has experienced or has been affected by the situations described below. (Note: A low rating is indicative that the risk control described exists and is functioning as intended. A high rating is indicative that the risk control described does not exist, or where it does exist that the control is not working as intended).**

A. **EXPERIENCE LEVEL OF THE MANAGEMENT TEAM:** Collectively, the extent of management's understanding of state and local CSA operations and understanding of management principles (planning, directing, and monitoring). Consider length of CSA experience.

Low      Slightly Moderate      Moderate      Slightly High      High

B. **INFORMATION TECHNOLOGY SECURITY:** Extent that appropriate actions have been taken to protect sensitive/confidential data from unauthorized access, such as the use of restricted areas, passwords, and encryption devices.

Low      Slightly Moderate      Moderate      Slightly High      High

C. **AUDIT COVERAGE:** Extent that internal and/or external reviews are of a quality and frequency of which to provide comprehensive evaluations of the local program.

Low      Slightly Moderate      Moderate      Slightly High      High

D. **ABILITY TO OVERRIDE POLICY:** Extent of the ease to which management takes actions that supersede the state and local policies/procedures adopted that govern the local program.

Low      Slightly Moderate      Moderate      Slightly High      High

E. **CONTINGENCY PLANNING:** Existence of a documented plan to ensure continuation of services in the event of an emergency (e.g. natural disaster) or other short/long-term service disruptions (e.g. extended absence of CSA Coordinator).

Low      Slightly Moderate      Moderate      Slightly High      High

F. **ADEQUACY OF POLICIES AND PROCEDURES:** Extent to which local program policies and procedures are written, comprehensive, clear, accessible, aligned w/federal and state laws and policies where applicable, periodically reviewed and updated.

Low      Slightly Moderate      Moderate      Slightly High      High

G. **MEASURABLE GOAL/OBJECTIVES/PERFORMANCE TARGETS:** Extent to which the management team has established benchmarks to gauge achievement; that are documented, reviewed/updated periodically, and disseminated.

Low      Slightly Moderate      Moderate      Slightly High      High

H. **MANAGEMENT REVIEW/QUALITY ASSURANCE:** Extent to which the management team regularly receives and effectively acts upon formal reports detailing major aspects of the local program to ensure compliance with state and local requirements

Low      Slightly Moderate      Moderate      Slightly High      High

- I. **TRAINING:** Extent to which a conscious effort is made to regularly provide training to local program stakeholders; that there is evidence that training needs of key stakeholders are met.

Low      Slightly Moderate      Moderate      Slightly High      High

- J. **SEGREGATION OF DUTIES:** Extent to which duties in the local program's processing stream (i.e., service planning recommendations by FAPT and funding authorizations by CPMT) are optimally separate.

Low      Slightly Moderate      Moderate      Slightly High      High

- K. **CONFLICTS OF INTEREST:** Extent to which local representatives adhere to state and local disclosure requirements (i.e. timely notification; completed disclosure forms; abstain from voting where applicable).

Low      Slightly Moderate      Moderate      Slightly High      High

All local programs are scheduled to be audited during the current three year audit cycle. Audit selections are based on the evaluation of many factors, including but not limited to risk/severity concerns, availability of resources, and input from OCS management and other state/local CSA stakeholders. Please note that a response to Questions 3 and 4 would NOT automatically result in the local CSA program receiving a higher risk ranking in the scheduling of audit priorities.

- 3. Please list and briefly describe any best practices, major achievements, and/ or concerns that you have regarding your local CSA program.**

- 4. Are there any particular areas of your program that you would like a callback from an auditor to discuss considerations for a more focused review? If yes, please provide a brief description.**