

Fiscal Year 2022 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.
- Prior to COVID-19 and during this timeframe, FAPT & CPMT have allowed parents, providers and case managers to participate virtually. Our Board of Supervisors approved an Ordinance that allowed this platform to be used by these teams. The Ordinance expired June 30, 2021 and CPMT & FAPT will be held in person at our August meetings. Social distancing and community safety will be adhered to per local and state policy. There was no lapse in these meetings or services for our youth and families.
  - CPMT & FAPT have an annual Retreat/Training and it was held virtually for ICC & FSP services and engagement. Anna Antell/OCS Program Specialist & Brandi Tinsley/System of Care/SOC Sr. Project Manager were the presenters. We have collaborated with our UMFS/SOC/DBHDS, CPMT/FAPT and CSA entities for 4 years to educate, engage and implement intensive care coordination & family support partner services in the communities of Dinwiddie, Prince George, Petersburg, Hopewell, Surry and our District 19 CSB. The SOC partnership will cease on September 30, 2021 but this group will transform back to our Community Connections for Children/CCC group. It was reported that Dinwiddie's FAPT & CPMT invest in our children by using prevention services and intervening early on in children's lifespan until they age out. We have supposedly been known to advocate for our youth and families. Team members report that it is very refreshing to work with our CPMT & FAPT. We will follow through with what we need to do with families. The CSA Coordinator, CSA Management Specialist and case managers participate in our youth's treatment team meetings for our children in out of home placements as well as other programs. Prior to COVID-19, our CSA Management Specialist would complete on site visits to do Continuous Quality Improvement/UM/UR reviews of our kids' records, reports, evaluations and conduct observations of our children as well as staff and meeting with them as needed. It was noted that Dinwiddie invests in their community, youth and families and aims to put appropriate services in place as well as oversight to ensure the services are administered properly.
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. No