

RISK MANAGEMENT AND INTERNAL CONTROL REPORTING



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<http://auditweb>

NYS Department of Health

- ✓ 3,500 employees; contractors

Offices (11)

- Office of Health Insurance Program (OHIP)
- Office of Primary Care and Health Systems Management (OPCHSM)
- Health Facilities Management
- NYS of Health (Health Benefits Exchange)
- Division of Administration
- Office of Quality and Patient Safety
- Division of Legal Affairs
- Office of Governmental and External Affairs
- Public Affairs Group
- Office of Minority Health And Health Disparities Prevention
- Office of Public Health **

**Office of Public Health (4)

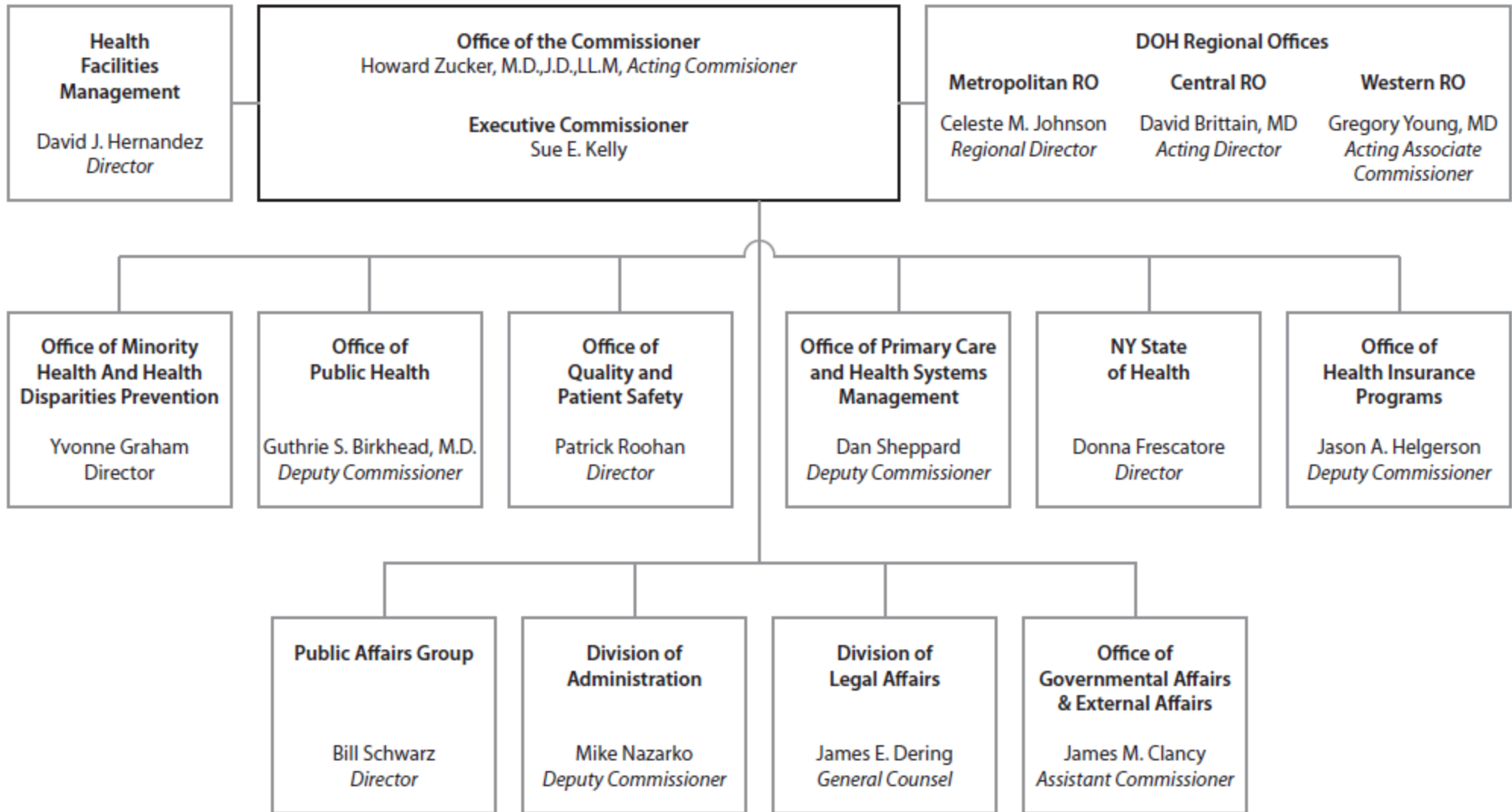
- Center for Environmental Health
- Center for Community Health
- AIDS Institute
- Wadsworth Center

Regional Offices (3)

- Western (Buffalo/Rochester)
- Central (Syracuse)
- Metropolitan Area – NYC



August 2014



History of DOH IC Program

- ✓ 2007
 - Developed new report forms
 - 10,000+ hard copies
 - ICO + three F/T staff
 - Website
- ✓ 2010
 - Quarterly Newsletter
- ✓ 2013
 - ICO + one F/T staff
 - Audit Services Group
- ✓ 2014
 - Electronic Reporting – no more hard copies!!!
 - Data Analysis/Analytics

Risk Management Program

- ✓ Administer annual reporting
- ✓ Quarterly newsletters
- ✓ Training and Education – general, focused
- ✓ Monitor Corrective Action Plans
- ✓ Annual Certification
- ✓ Website - intranet (auditweb)
 - Webinars
 - Power Point presentations
 - Internal Control Standards
 - DOB Managers Testing Guide
 - Testing Worksheet
 - Guidance document
 - APPM 4.0
 - Links to other resources



Annual B-350 Certification

- ✓ 2014 – Full compliance (timely submission)
- ✓ 2013 – Full compliance (timely submission)
- ✓ 2012 – Partial compliance (timely submission)
- ✓ 2011 – Partial compliance (late submission)



Risk Management Review Process

Five Steps:

1. Review I/C Standards
2. Identify Functions
3. Identify/Assess Risk/Vulnerability
4. Internal Control Review/Testing
5. Take Corrective Action



Electronic Reporting Systems

1. MicroSoft InfoPath
2. IBM Advanced Case Manager
3. Survey Monkey – 4 levels of license
 - ✓ Basic – free (10 Questions, 100 responses)
 - ✓ Select - \$26 per month or \$228/yr.
 - ✓ Gold - \$300/yr.
 - ✓ Platinum - \$780/yr. (HIPPA compliant)



DOH Risk Management Report



- ✓ Eliminated 10,000 + paper copies
- ✓ Staggered, monthly schedule by Office (Jan. – Dec.)
- ✓ ~400 Assessable Units – 30 days to complete review.
- ✓ Management to forward email instructions/web link.
- ✓ Accountability at all levels – certification process
- ✓ Summary Report - Deputy Commissioner



Sign In Help

Home How It Works Examples Survey Services Plans & Pricing

MOST POPULAR

BASIC Free	SELECT \$26 per month SAVE with an annual plan	GOLD \$300 per year	PLATINUM \$780 per year
Sign Up >	Sign Up >	Sign Up >	Sign Up >
10 questions	✓	Unlimited questions	✓
100 responses	1000 responses*	Unlimited responses	✓
Standard email support	✓	Priority 24/7 email support	✓
	✓	Custom logos, colors & more ?	✓
	✓	Skip logic ?	✓
	✓	Cross-tabs & filters ?	✓
	✓	Export data & reports ?	✓
		A/B testing ?	✓
		Question & answer piping ?	✓
		Randomization ?	✓
			✓ Add multiple users ?
			✓ White label surveys ?

Security

- ✓ Fortune 500 - 99%
- ✓ SSL – Secure Sockets Layer
- ✓ Protected and validated by Norton and TRUSTe
- ✓ HIPAA-compliant features



Features of Survey Monkey

1. EASY TO USE!!
2. Dynamic report – change easily/quickly
3. Several response formats
4. Easily distributed / completed
5. Ability to SAVE in-progress report
6. Data Analytics
7. Monitoring capability – in real time
8. Data output – Excel, PDF, SPSS, Advanced Statistical/Analytical Software



Create and Send Surveys with Ease

- ✓ 15+ Question Types
- ✓ Custom logo & branding
- ✓ Page, Question & Skip Logic
- ✓ Mobile app
- ✓ Surveys you can send out via mobile, web, social media

9. Other Education and Awareness Options

Now we'd like to gather your opinion on awareness raising approaches to improve road safety.

13. Road safety awareness courses inform people about driver behaviour, influences and consequences. They can cover issues relating to speeding, mobile phone use, drink/drug driving, peer pressure, etc. Some courses also cover route planning, the highway code, traffic laws, basic car maintenance, etc.

How supportive are you of more road safety awareness courses to improve younger driver safety, for:

	Very important	Important	Neutral	Unimportant	Very unimportant	Don't know
Colleagues (18-29 year olds)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Peers (30-39 year olds)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Family (40-49)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Younger drivers (17-29 year olds)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Peers (30-39)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Strangers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Older drivers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Everyone	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

14. How do you think social networking sites (i.e. Facebook, Twitter, YouTube, tagging sites, or mobile phone downloads) should be used to improve young driver safety?

15. How effective do you think the approaches outlined in Q13 would be for improving road safety amongst younger drivers?

Very effective

Effective

Neutral

Unimportant

Very unimportant

Don't know

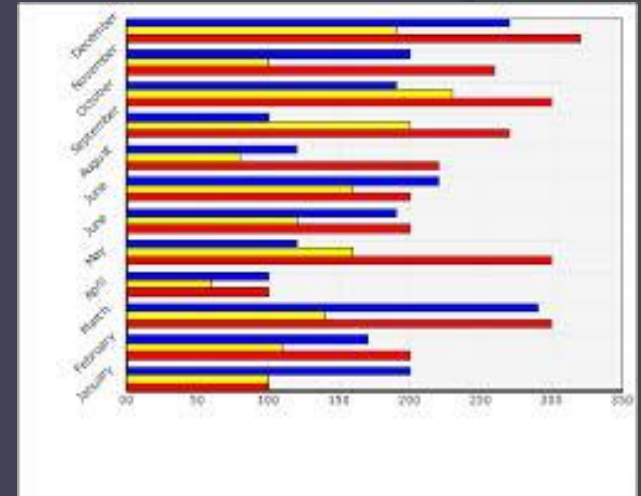
16. If you have any further comments on awareness raising approaches, please provide them here:

18. Technology Options

Now we'd like to ask you some questions about the use of technology to improve road safety.

DATA ANALYTICS

- ✓ Real-time results
- ✓ Text analysis
- ✓ SPSS integration
- ✓ Custom reporting
- ✓ Filter and cross-tabbing and much more



Distribution Methods

i.e., “Collectors”



- ✓ Weblink – DOH preferred method
- ✓ Email - allows tracking
- ✓ Website

Web Based Reporting System



- ✓ Third party cookies MUST be enabled - set to "LOW"
- ✓ Uncheck "Delete browser history on exit."
 - MicroSoft Explorer – Select "Tools" from the menu bar, then "Internet Options." Under "General" tab uncheck "delete browser history on exit".

FAILURE TO MAINTAIN THESE COMPUTER SETTINGS UNTIL YOUR REPORT IS SUBMITTED MAY RESULT IN YOUR RESPONSES BEING LOST WHEN YOU EXIT THE REPORT PRIOR TO FINAL SUBMISSION.

Navigating Risk Management Report



- ✓ MUST complete on SAME computer!!
- ✓ Do NOT need to complete report in one session
- ✓ Instructions in Report – including what is required to be completed
- ✓ SAVE responses in APPLICATION
- ✓ SAVE a PDF copy of report – cursor at top of page
- ✓ Print HARDCOPY– cursor at top

PDF Converter Software

- ✓ Needed for second level review.
- ✓ Must be installed on computer.
- ✓ Don't have it? Contact IT staff !!
- ✓ Email PDF report to superior - review/approval
- ✓ Record date email approval received



INSTRUCTIONS AND REPORT FORMAT

****IMPORTANT**** PLEASE READ THE FOLLOWING INFORMATION IN IT'S ENTIRETY BEFORE YOU BEGIN THIS REPORT AS IT REQUIRES YOU TO ENABLE THIRD PARTY COOKIES IN YOUR BROWSER. IN ADDITION, THE "REPORT CONTENT" SECTION BELOW IDENTIFIES WHICH SECTIONS OF THE REPORT ARE REQUIRED.

ENABLING THIRD PARTY COOKIES: Refer to your email for instructions on how to do this. ADDITIONALLY, your browser settings MUST NOT BE SET TO DELETE COOKIES. MAINTAIN THESE COMPUTER SETTINGS UNTIL YOUR REPORT IS SUBMITTED WILL RESULT IN YOUR REPOSSES BEING LOST WHEN YOU EXIT THE REPORT.

SAVING DATA: As you enter data, your responses can be saved by clicking on the "SAVE" button at the bottom of the report (located after Question #109). Given this ability, you can complete your report in one session. To access the report later, you must retain the weblink that was provided in your email.

Before you submit your report it is HIGHLY recommended that you print or create a PDF copy for your records. To save a PDF copy, you MUST have a PDF converter installed on your computer. If you do not have a PDF converter, contact your IT support staff. ONCE THE REPORT IS SUBMITTED, IT CANNOT BE RETRIEVED FOR REVISION.

REPORT CONTENT:

The Risk Management Report begins with the following three (3) sections which MUST be completed:

1. DEMOGRAPHIC INFORMATION – Identifies the program area performing the review.
2. INTERNAL CONTROL STANDARDS – An assessment of how well the assessable unit meets established Office of State Comptroller's (OSC) standards for risk management.
3. FUNCTION IDENTIFICATION – An inventory of all major functions performed by the assessable unit.

NEXT, sections 4-6 below must be provided for EACH major function listed in the Function Identification section:

4. RISK IDENTIFICATION – Identify two events or weaknesses that threaten the accomplishment of the function's objectives.
5. FUNCTION RISK ASSESSMENT - Evaluate 12 aspects of each function for its relative risk in terms of the likelihood and impact of something going wrong.
6. CONTROL ACTIVITIES – Identify two corresponding internal control activities in place to manage the risks that have been identified. Examples may include: documentation, segregation of duties, safeguarding assets, access authority, supervision, monitoring, approval limits, reviewing, reconciliation, edits, etc.

NEXT, functions which receive a MODERATE or HIGH risk rating must provide the following additional information:

- A. TESTING INFORMATION – Provide details regarding the plan for evaluating whether internal control activities are working as intended and are effective. Methods may include: observation of procedures, interview of staff members or a combination of these methods.
- B. RESULTS OF TESTING – Review each of the four questions and indicate whether the individual standard has been met.

LASTLY, if Testing Results indicate no deficiencies (evidenced by four YES responses), the review of this function is now complete. However, if any deficiencies (evidenced by any NO responses) are found during the testing process, a Corrective Action Plan is required for this function.

- C. CORRECTIVE ACTION PLAN – Provide details for a specific plan of correction that will be taken to remedy any deficiencies that are found during the testing process.
- D. OUTCOME OF CORRECTIVE ACTIONS TAKEN LAST YEAR - (if not already provided to the Risk Management Unit.)
- E. CERTIFICATION STATEMENTS - Verify and provide requested information.

Questions??

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