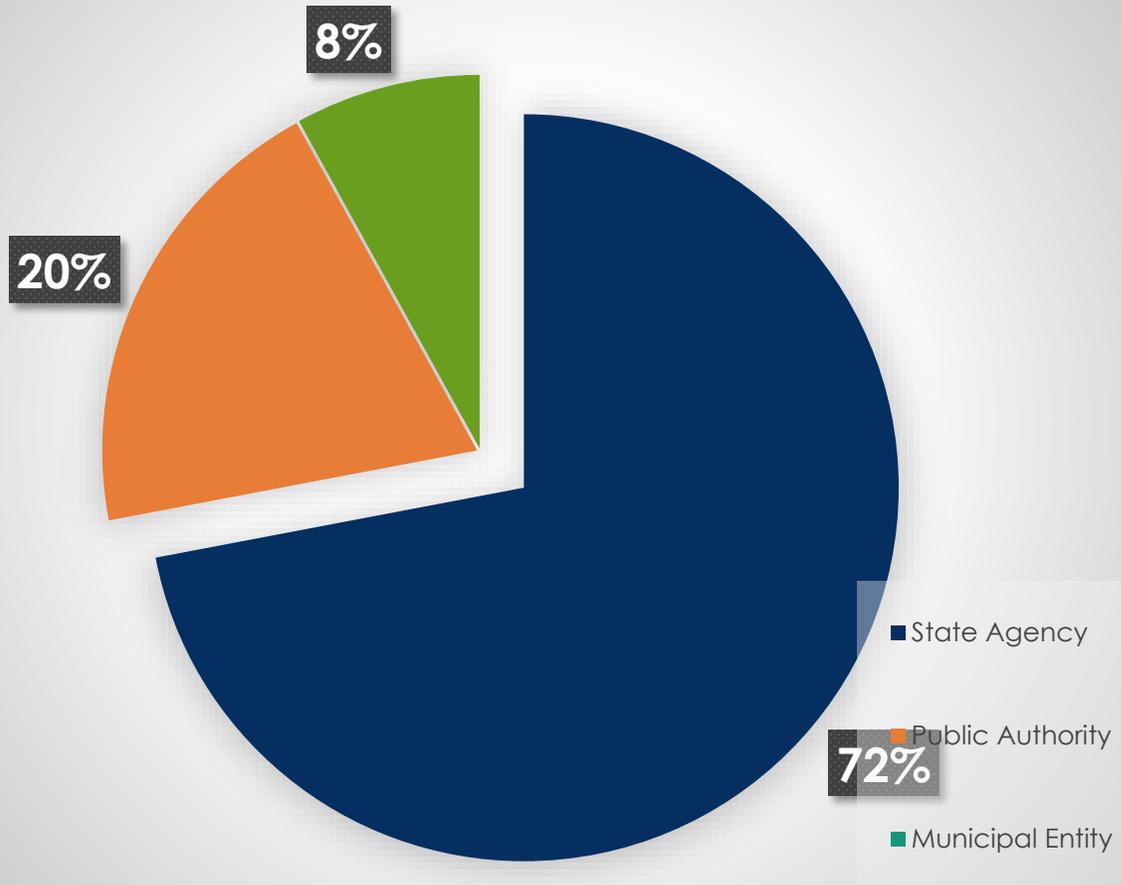


NYSICA 2016 MEMBERSHIP SURVEY

April 28, 2016

A series of several parallel white lines of varying thicknesses, slanted diagonally from the bottom-left towards the top-right, located in the lower right quadrant of the slide.

2016 Response Types



2016 Survey

25 responses from organizations

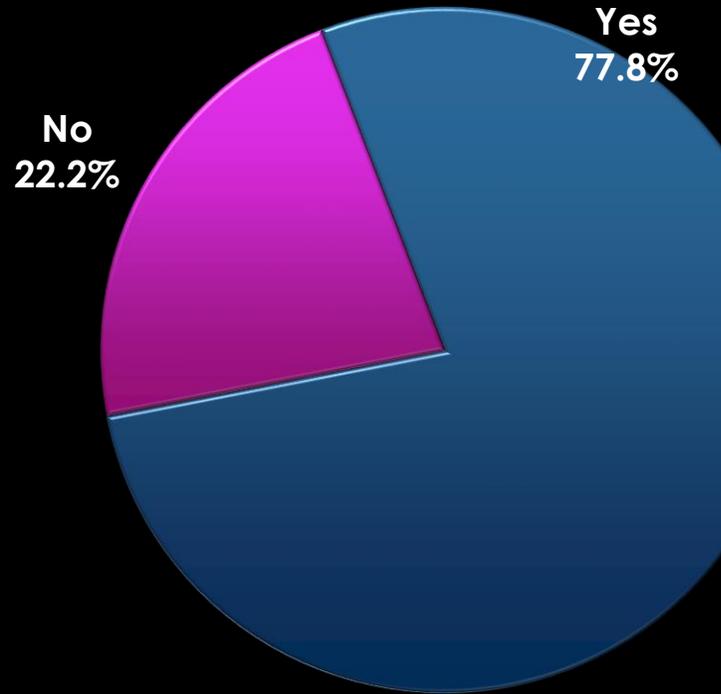
18 State Agencies

5 Public Authorities

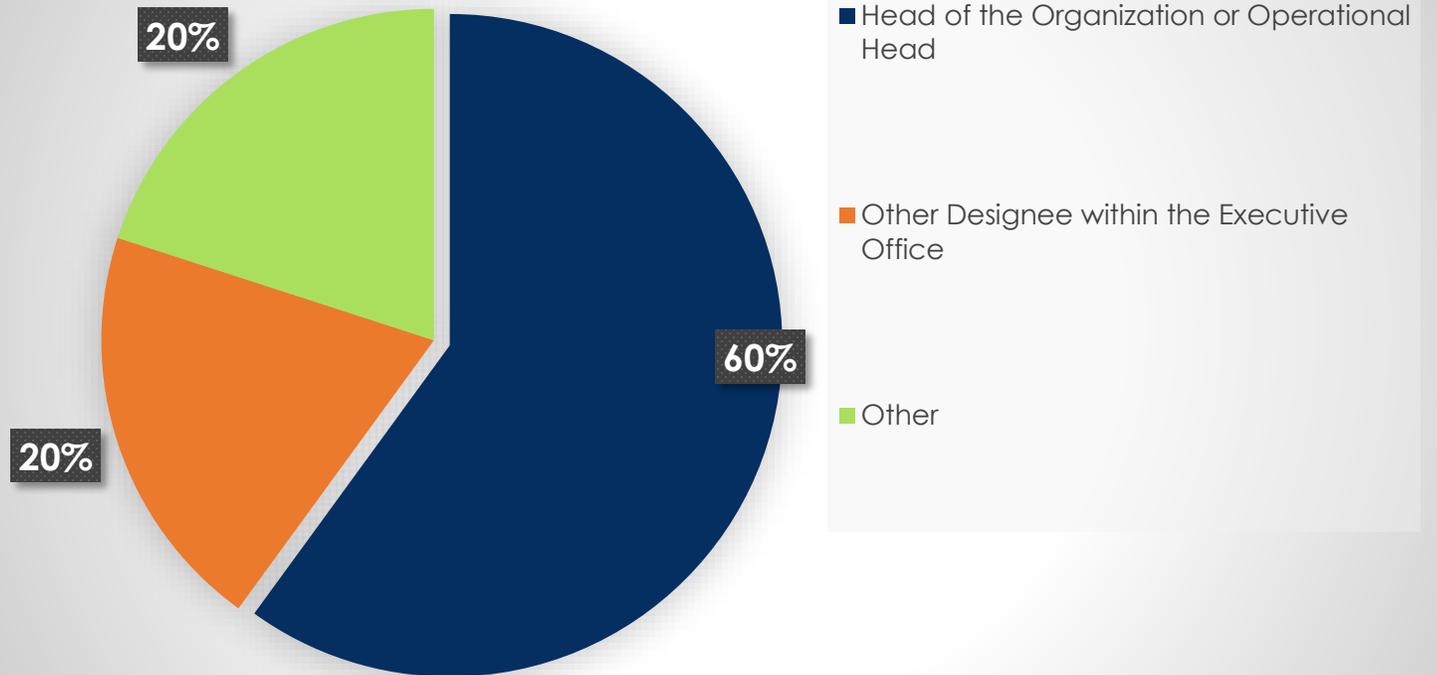
2 other (consulting firm and commission)

19 questions

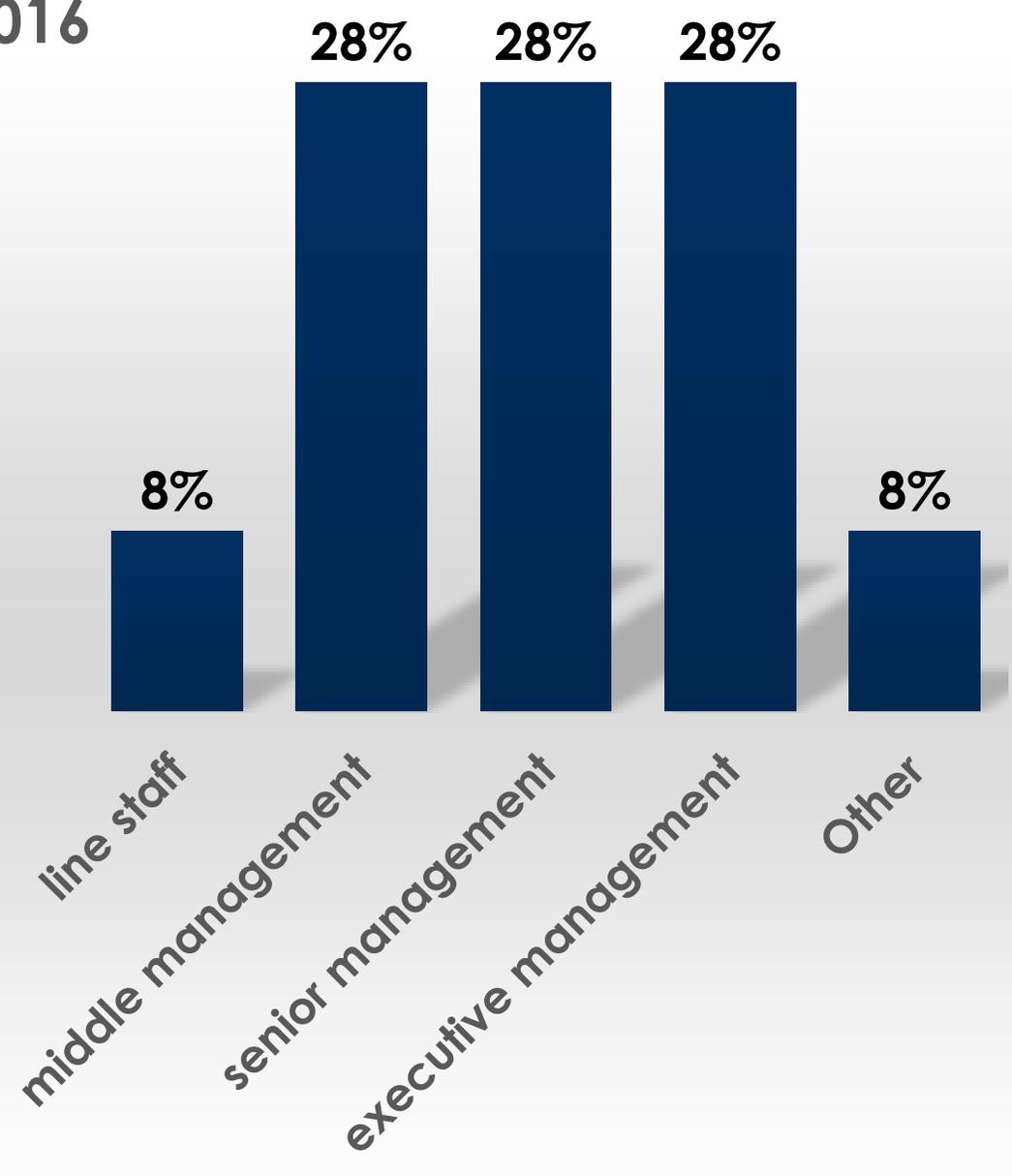
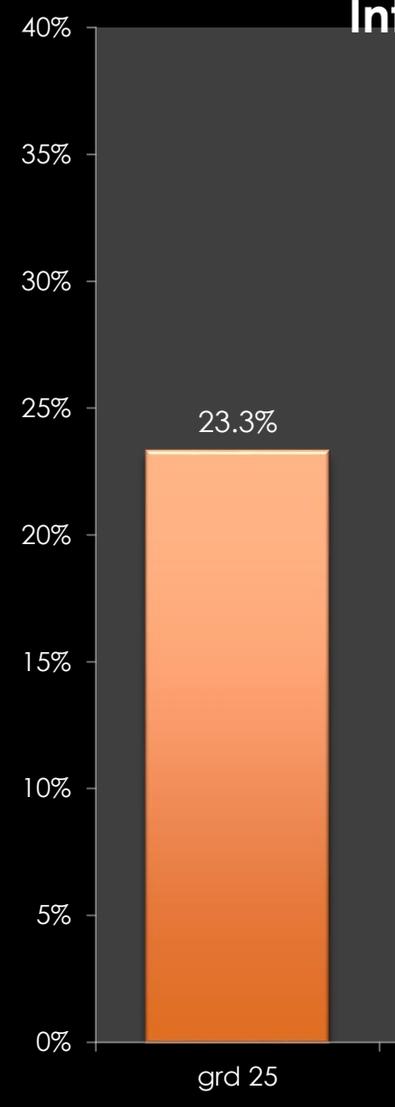
Does the Internal Control Officer Report to the Head of the Organization (or Executive Deputy, Executive Director or First Deputy)?



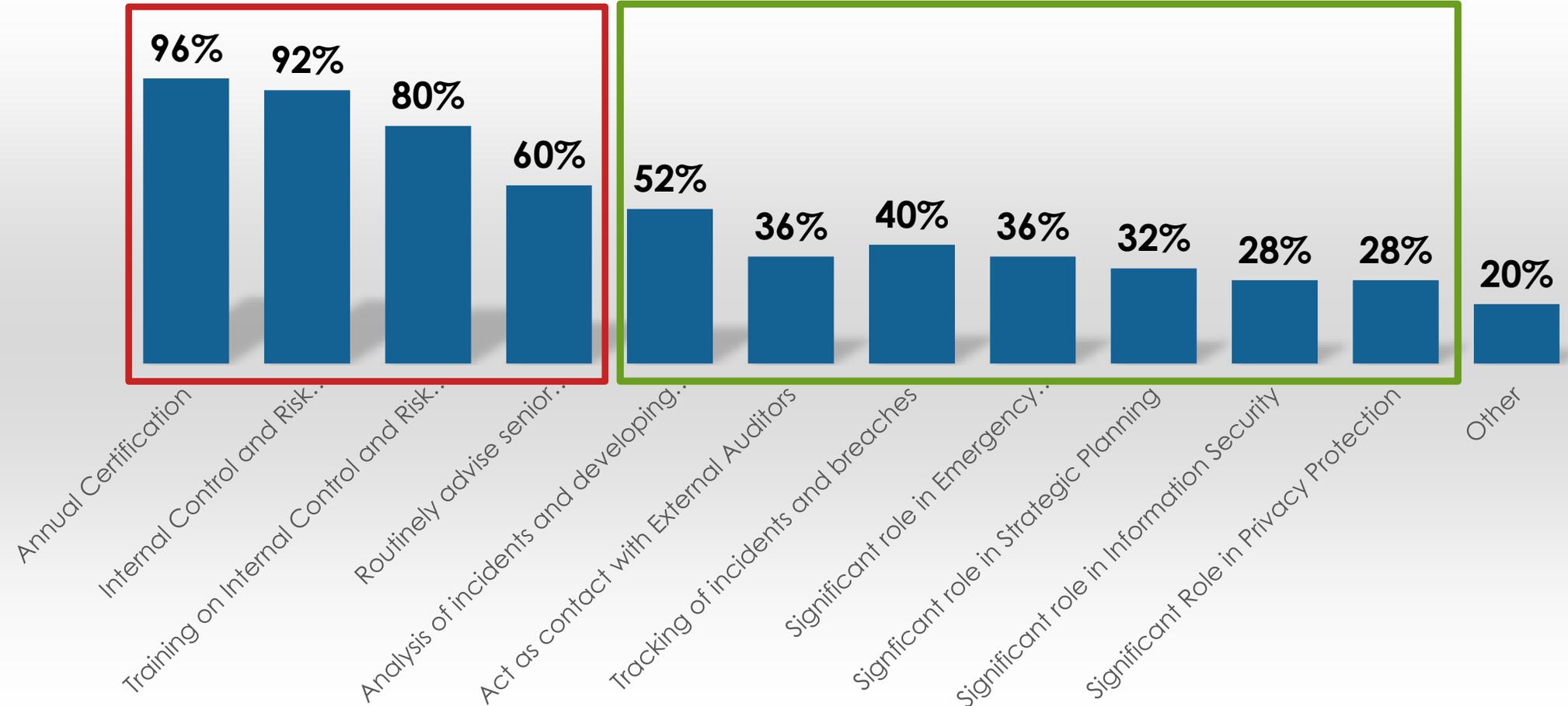
ICO Reporting



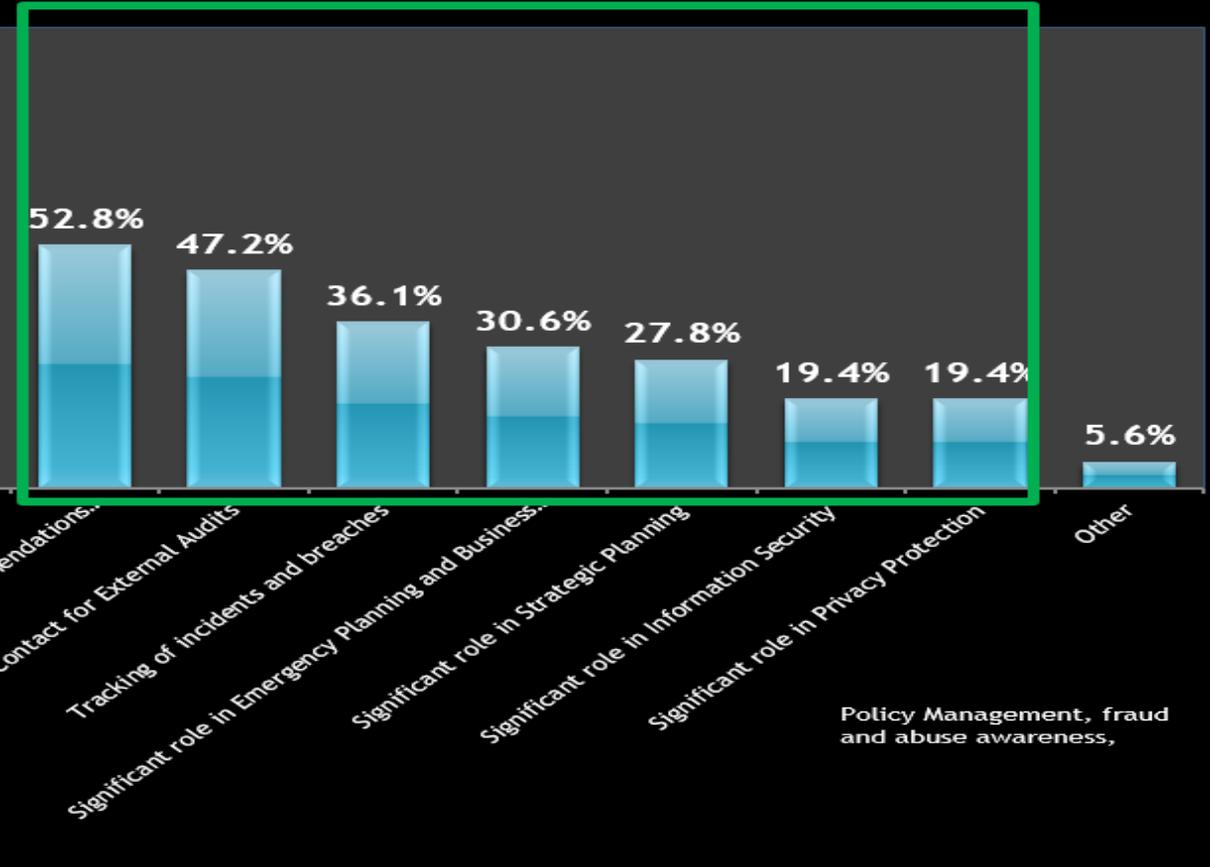
ICO Level 2016



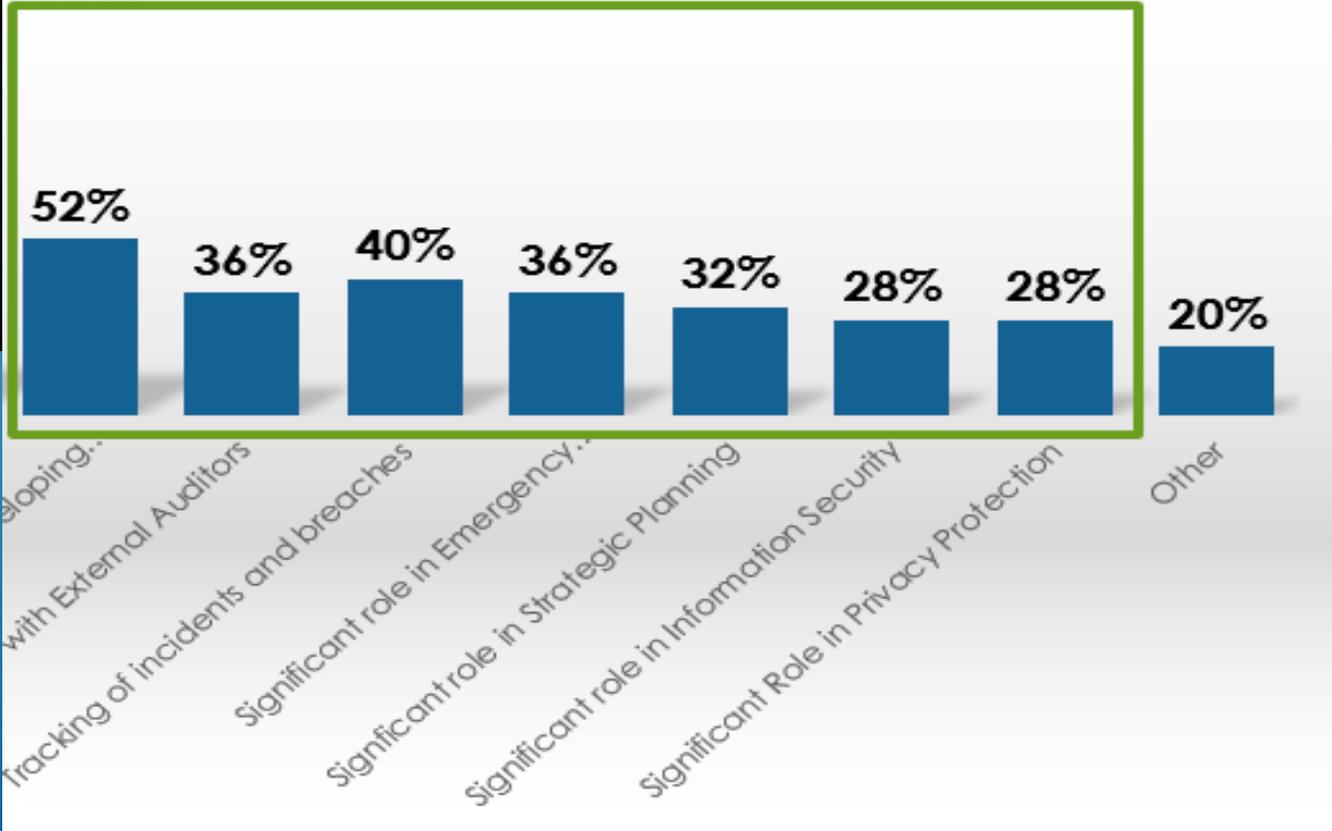
Internal Control Duties



2013

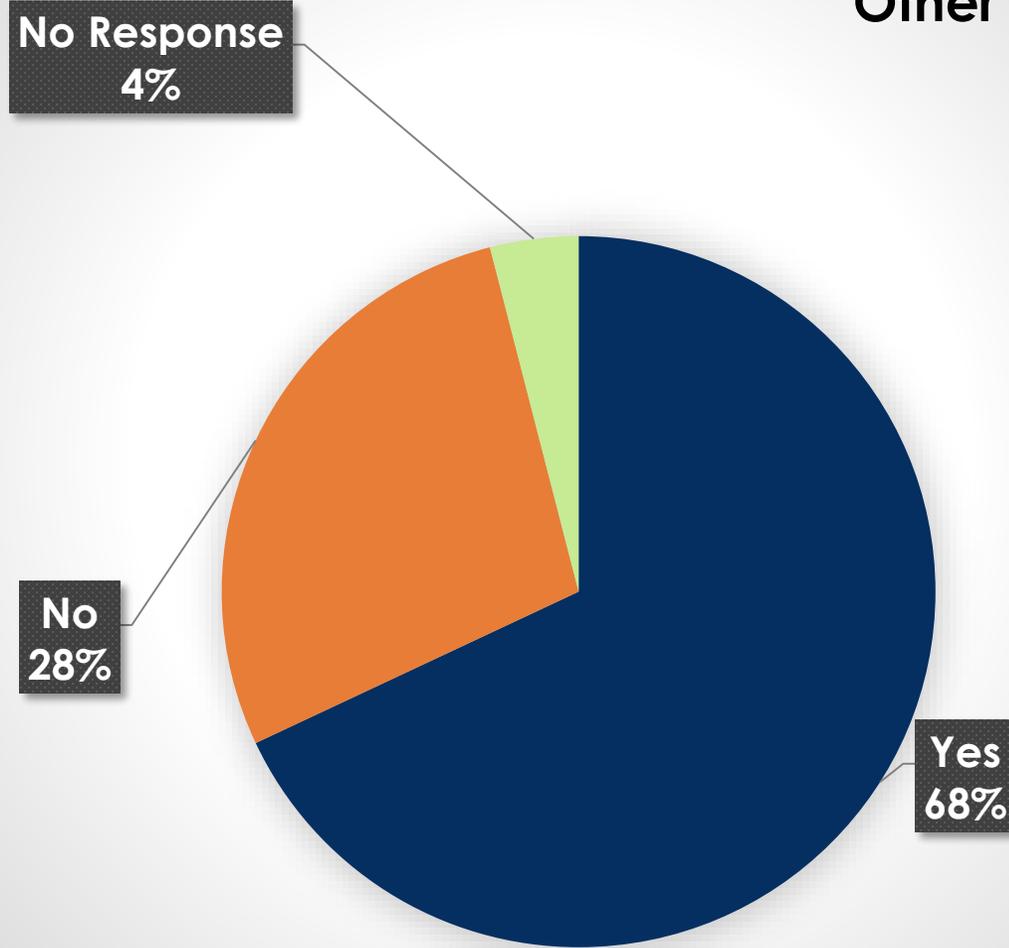


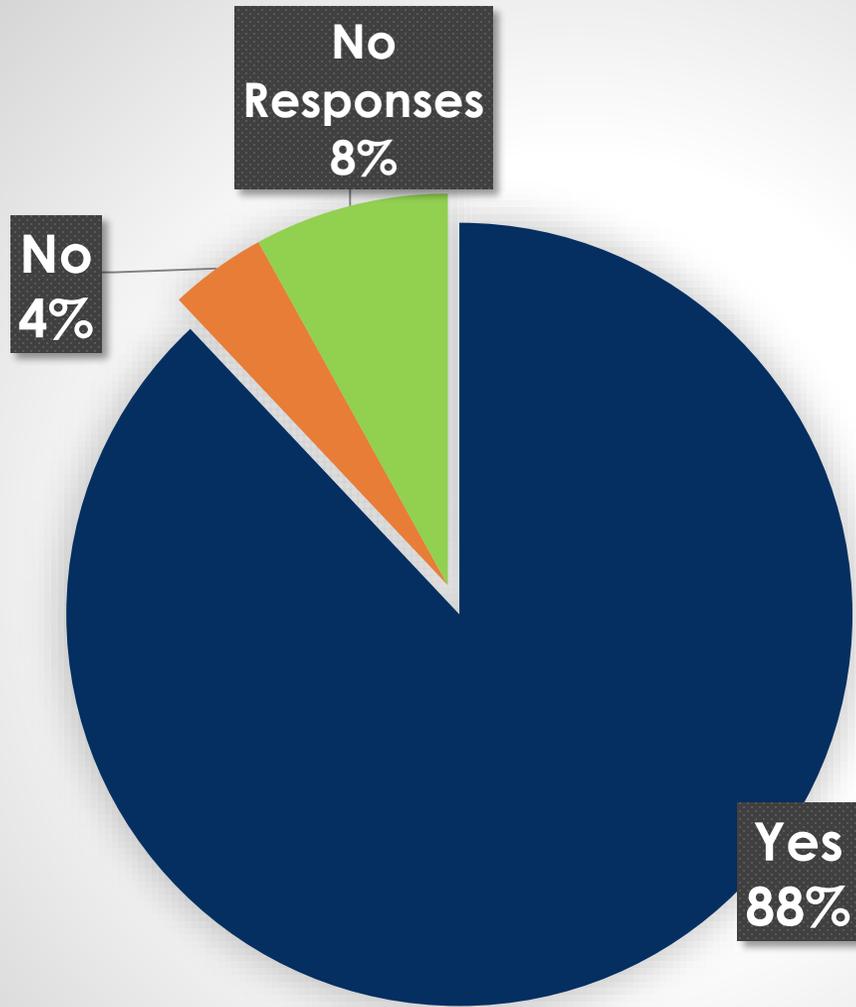
Duties



2016

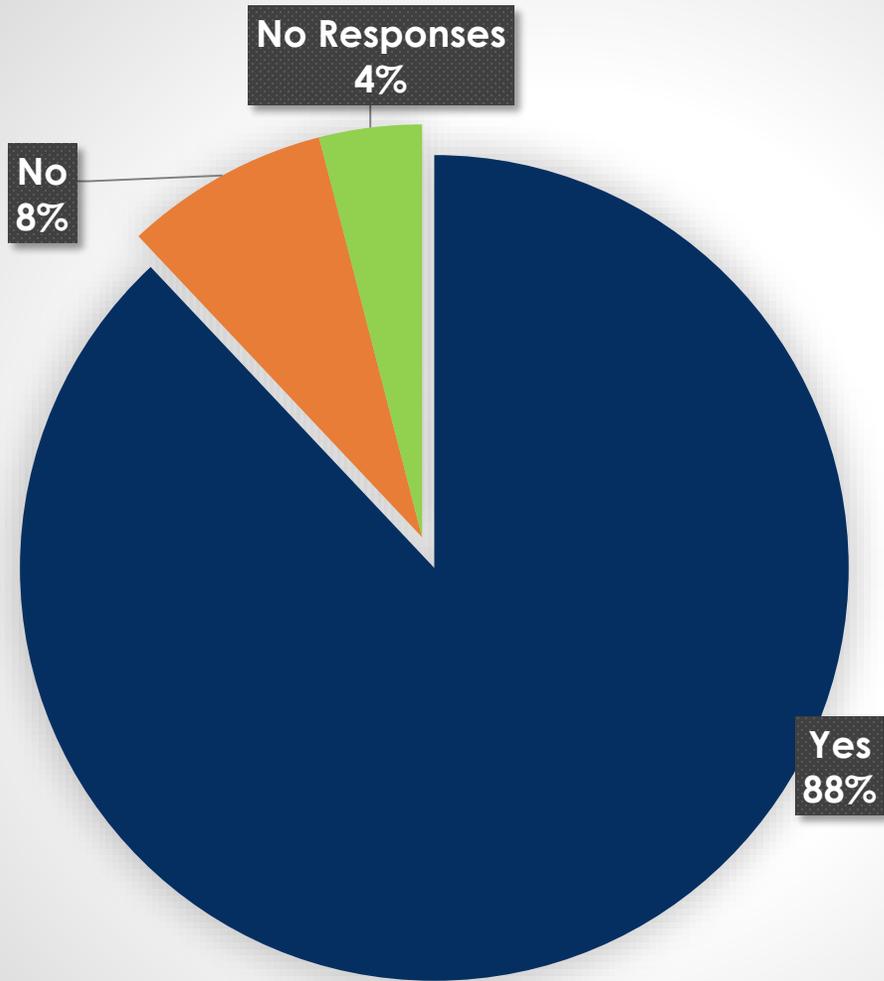
Other Duties



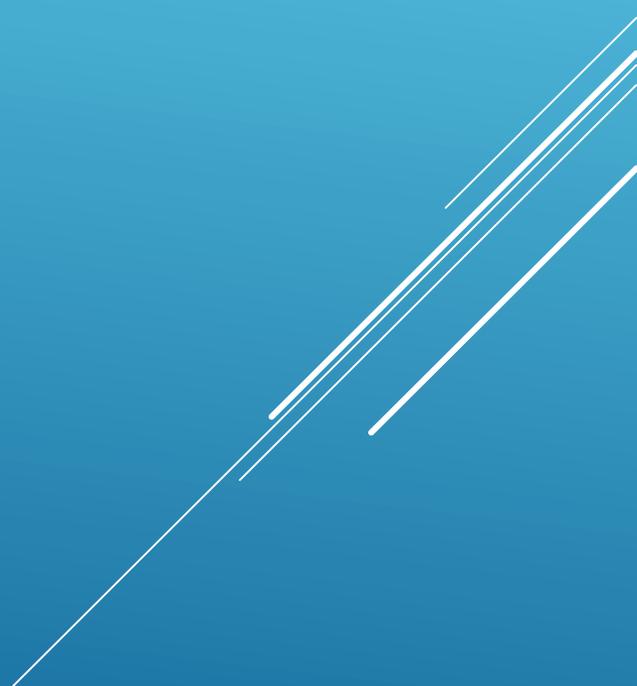


**Internal Control and
Internal Audit
Separate**

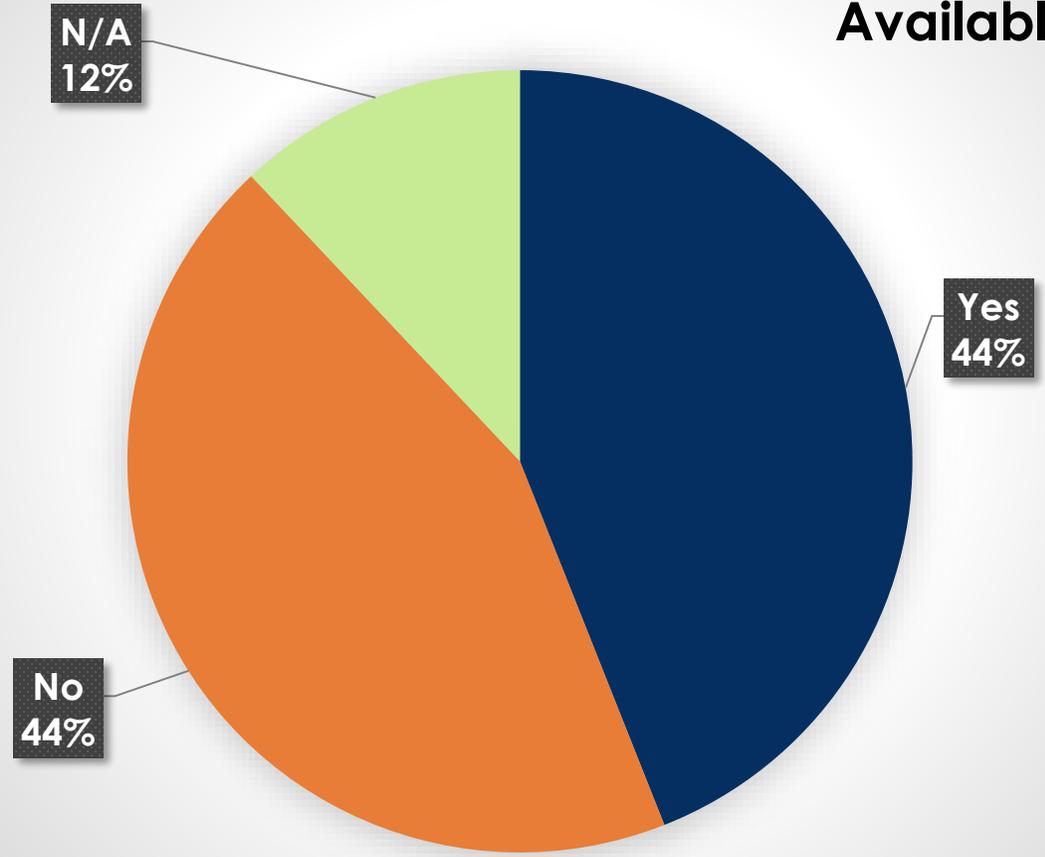




**Internal Control and
Information Security
Separate**

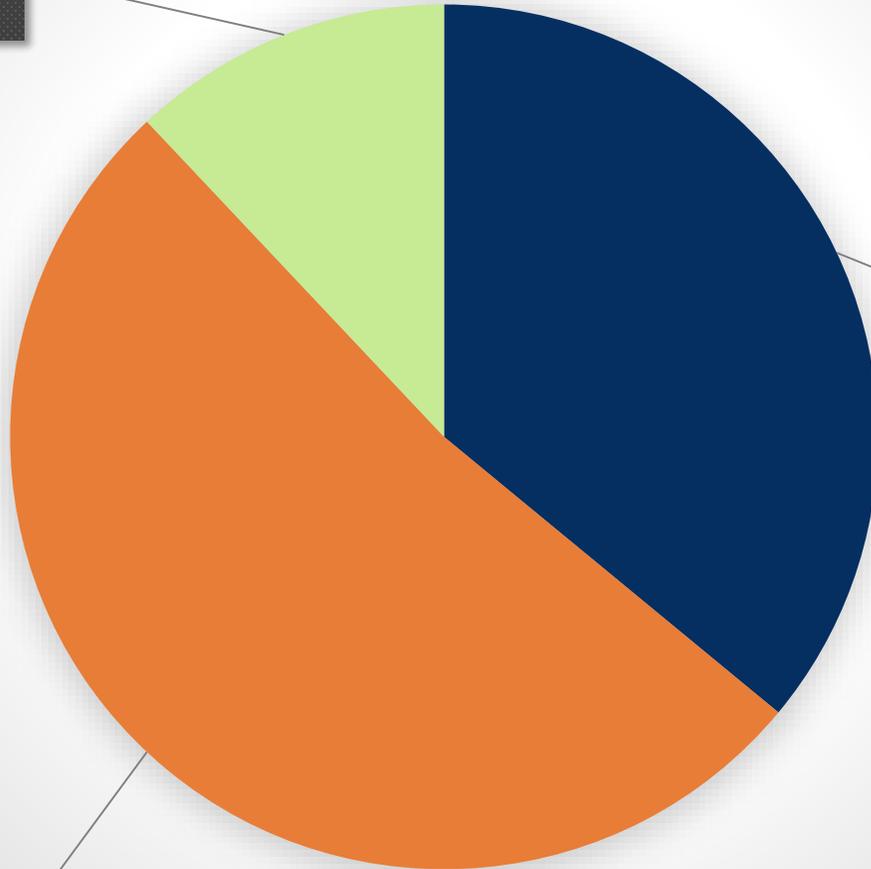


Additional Staff Available



Does the Organization Define a Risk

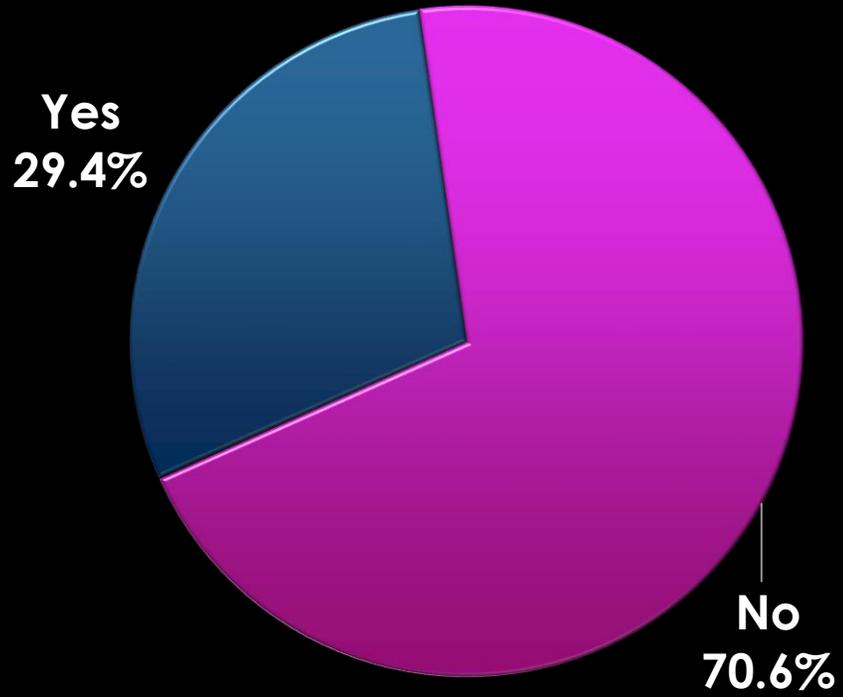
Don't know
12%



Yes
36%

No
52%

Has Your Organization Defined its Risk Appetite? 2013

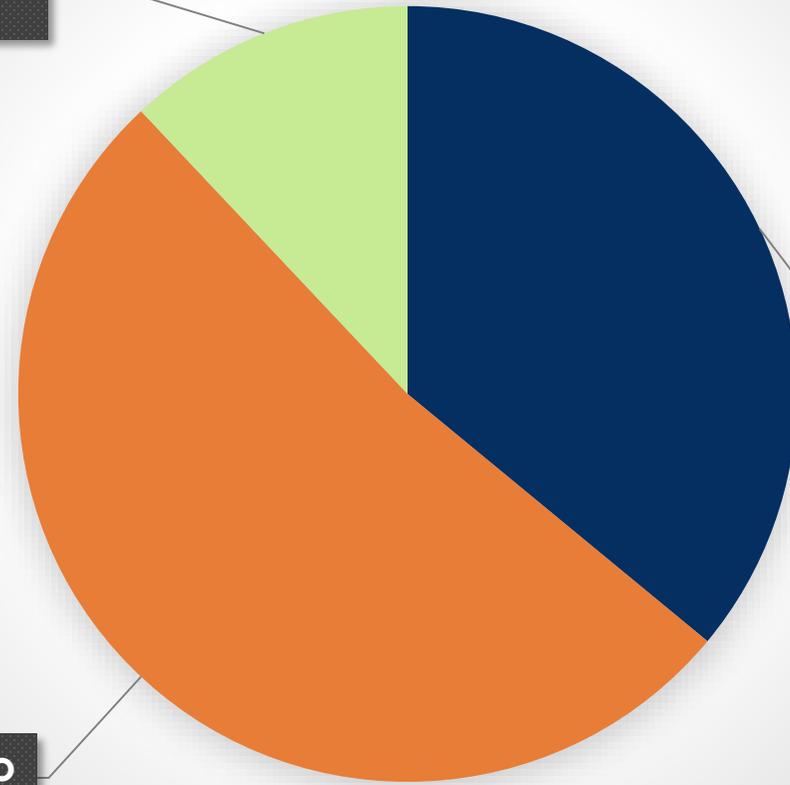


Don't know
12%

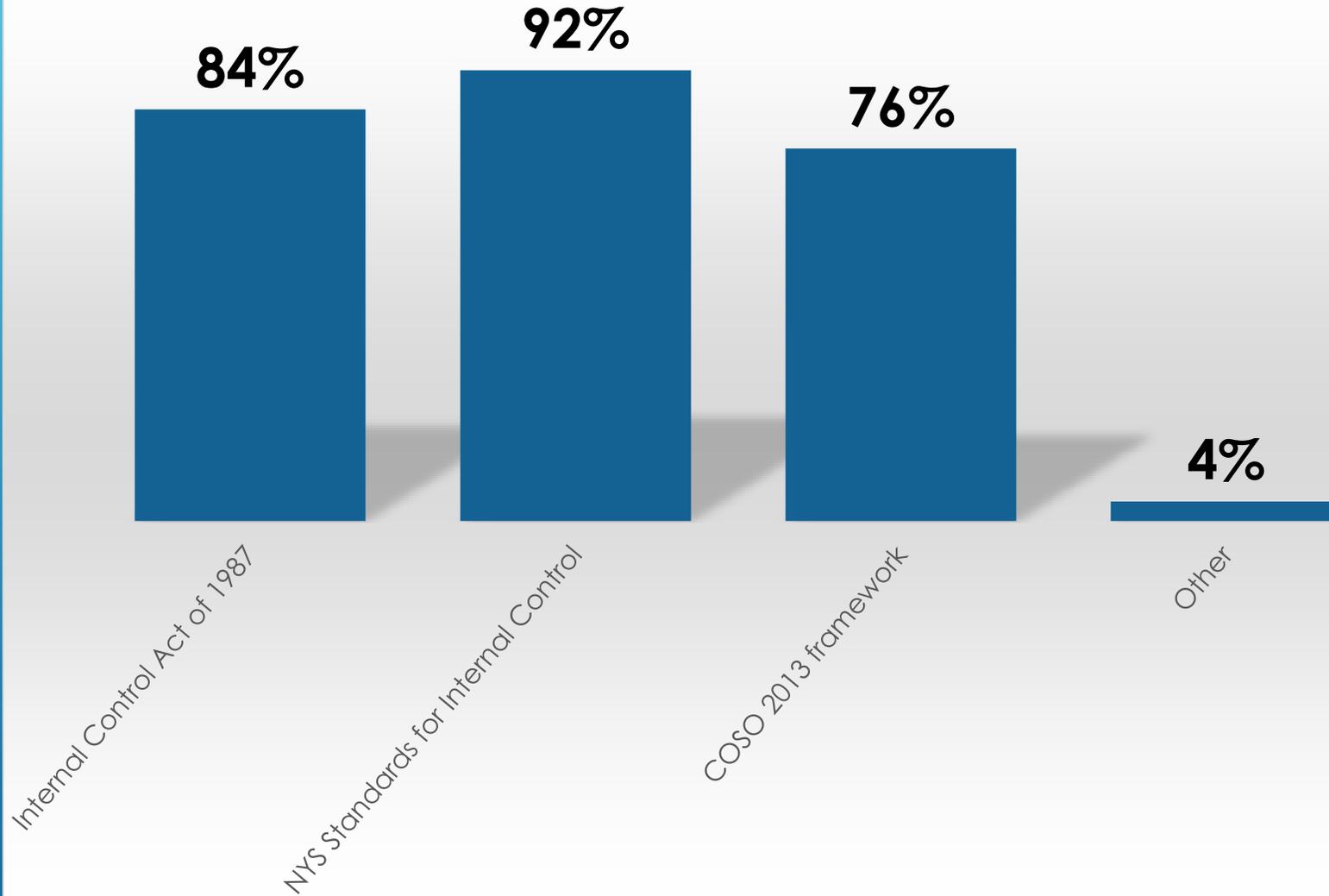
No
52%

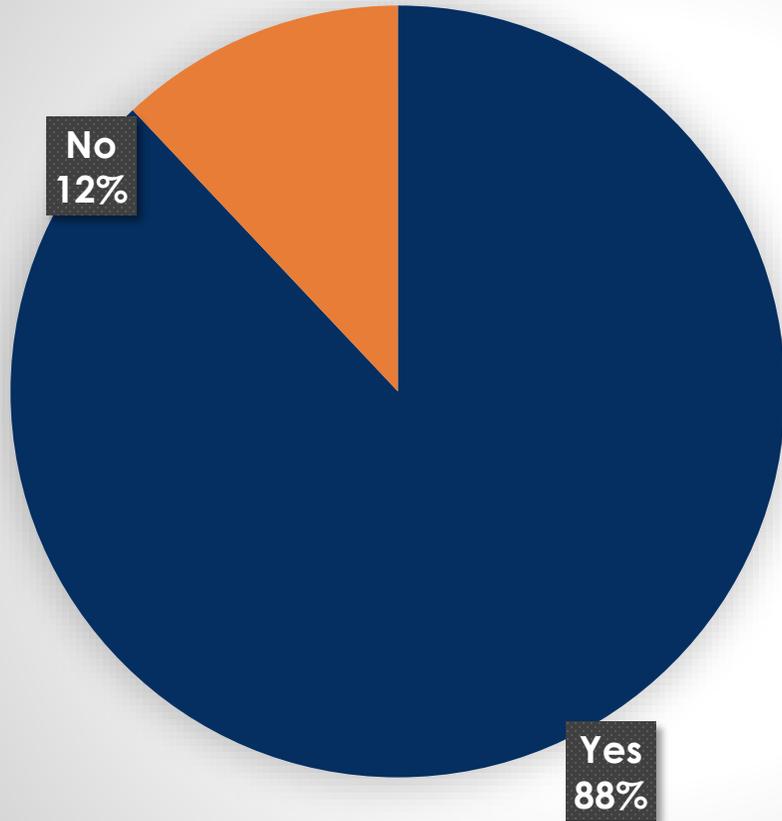
Does the
Organization
Define a Risk
Appetite

Yes
36%

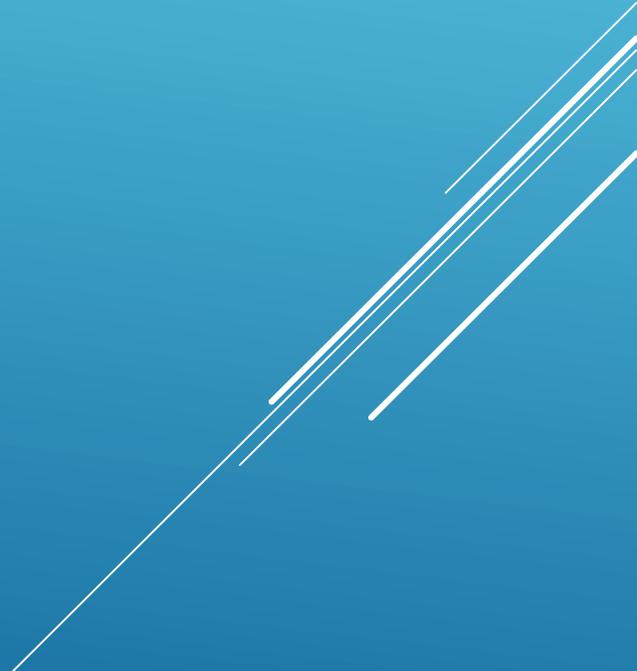


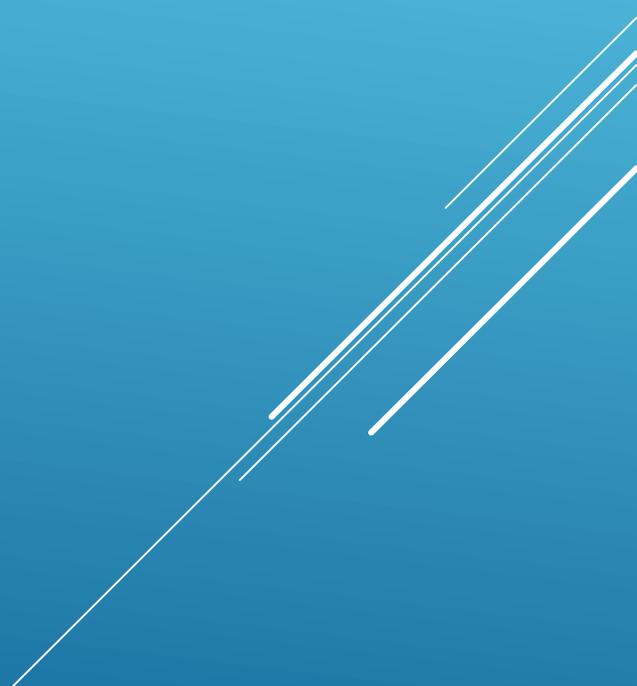
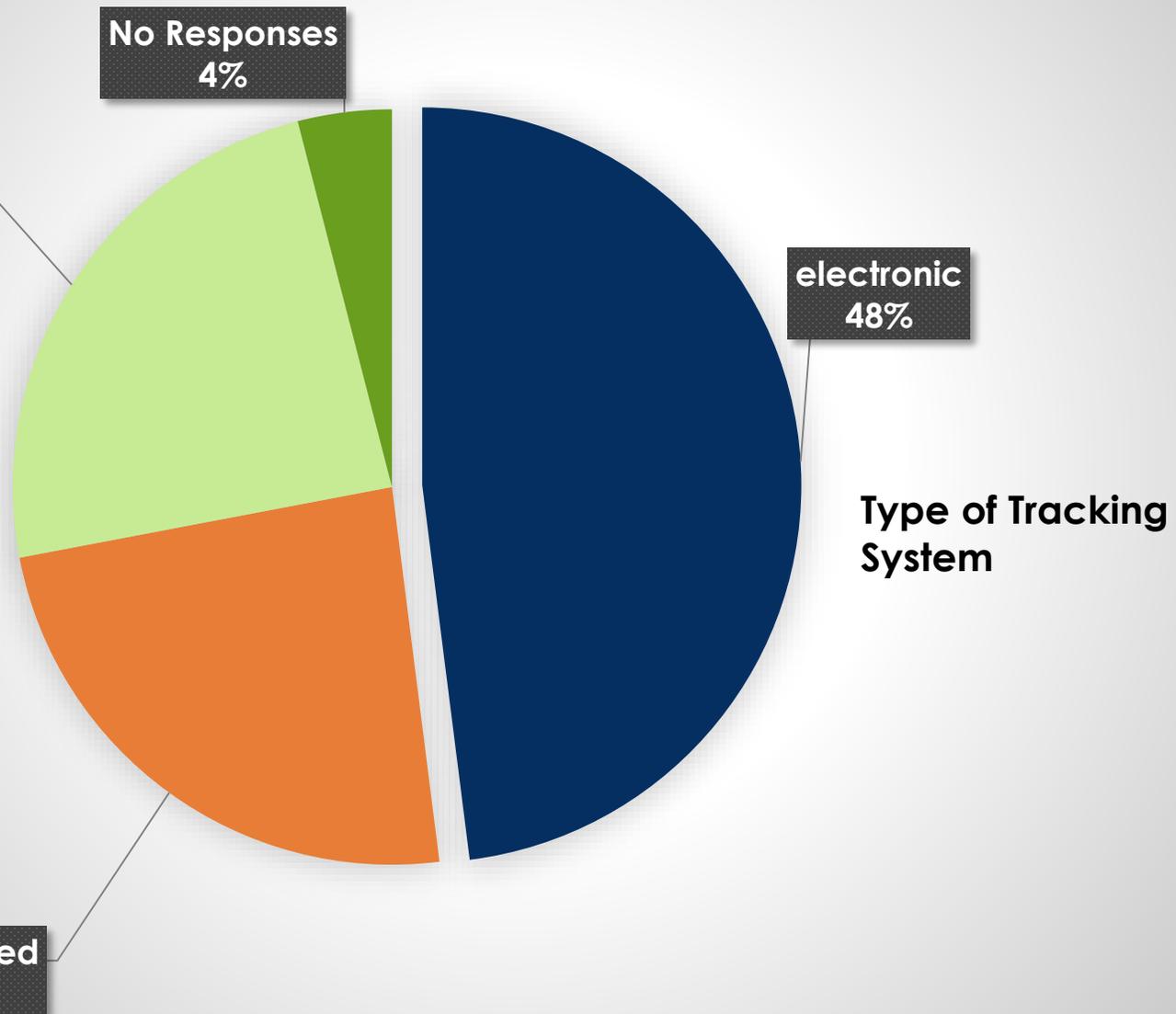
Criteria for Assessing Internal Control



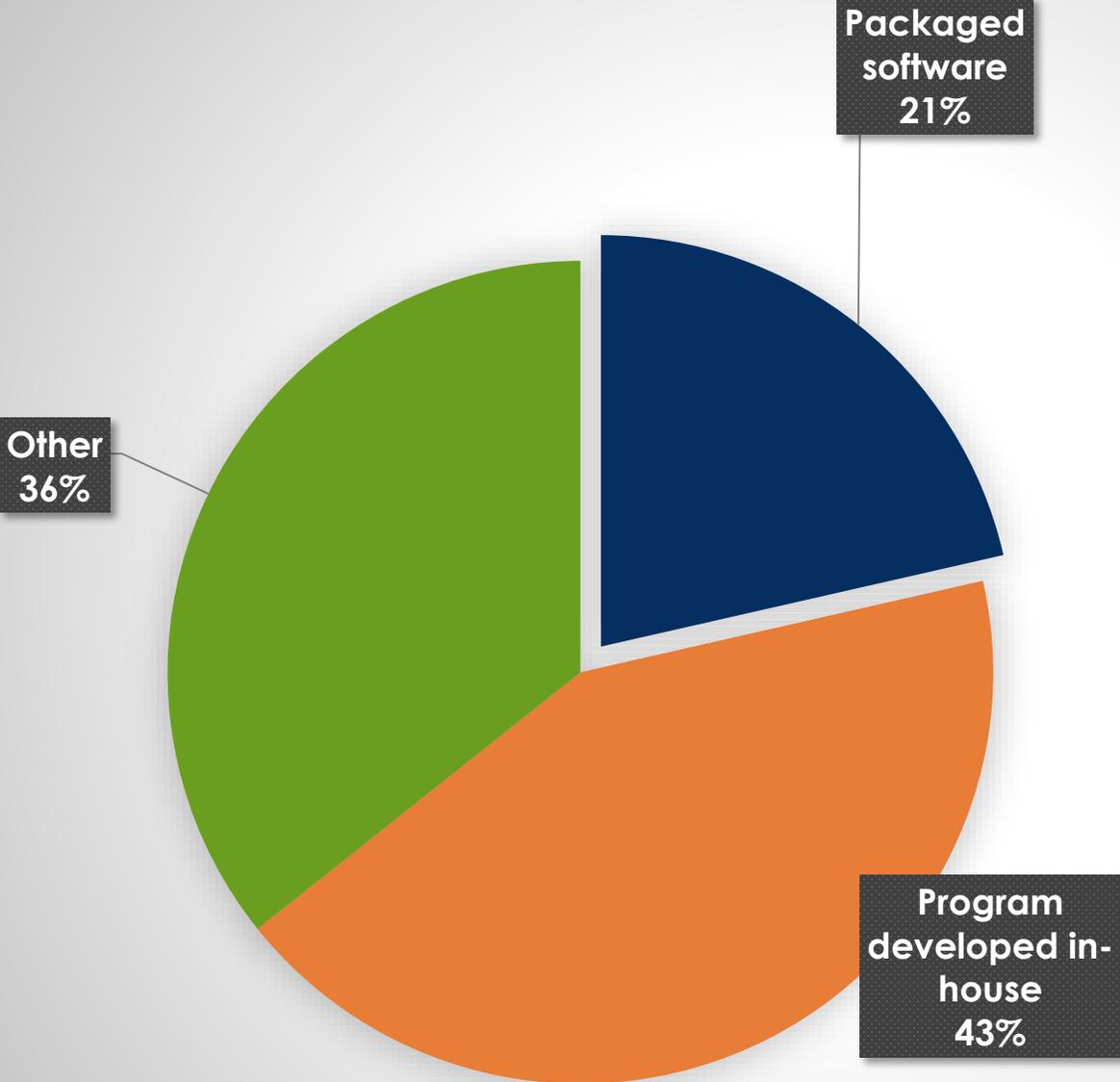


Tracking System for Risks, Weaknesses and Deficiencies

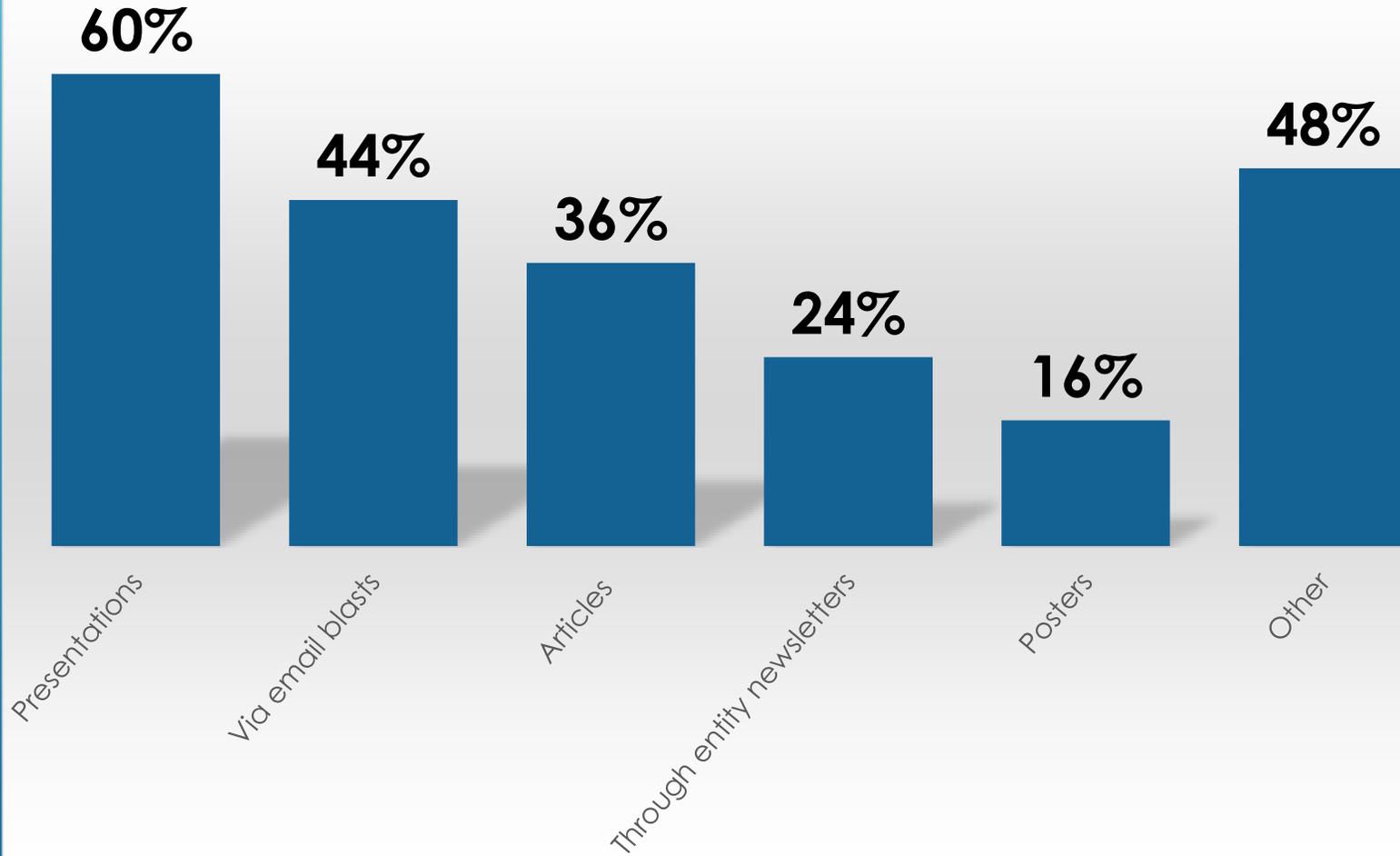




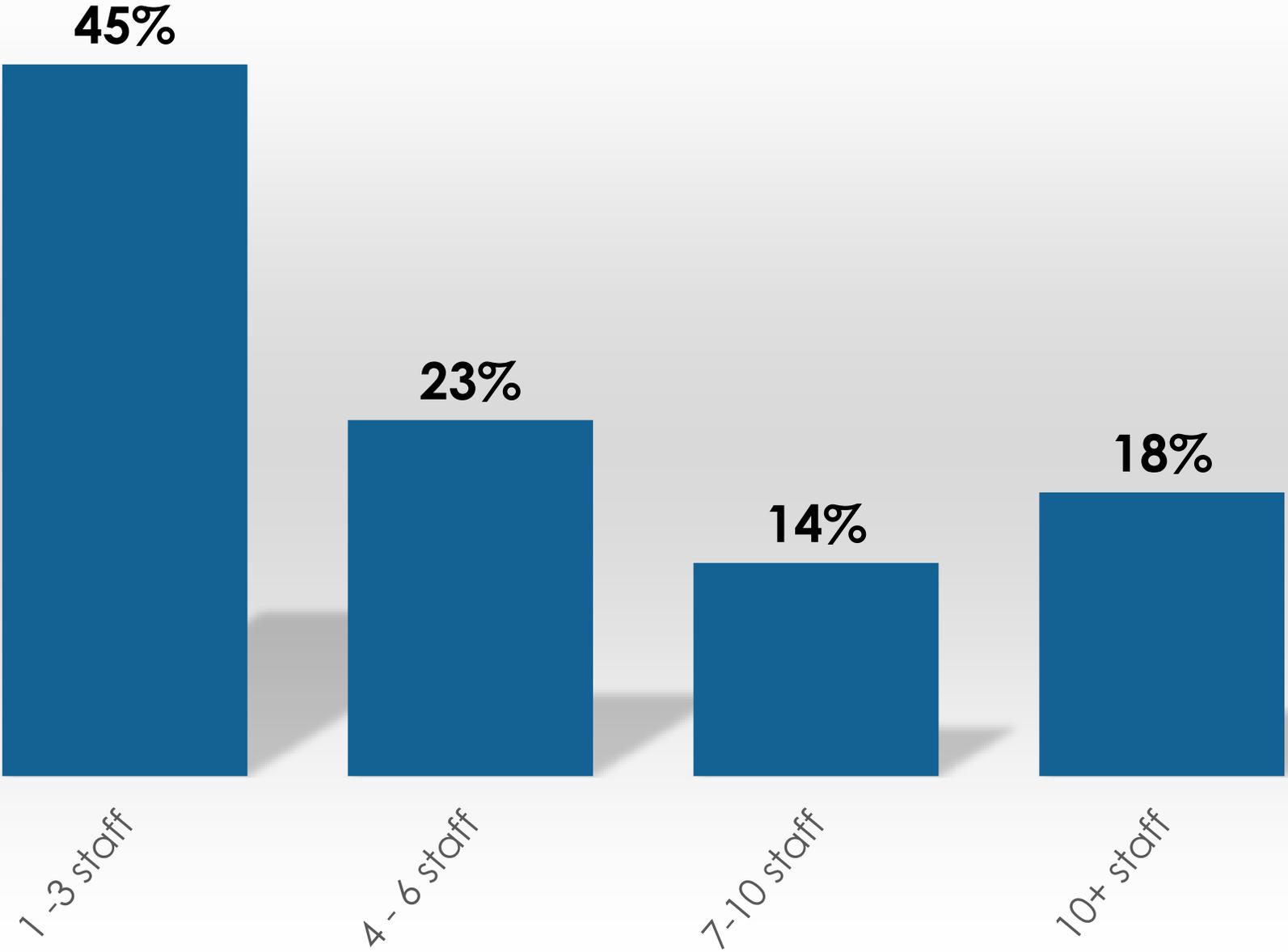
Type of Electronic System



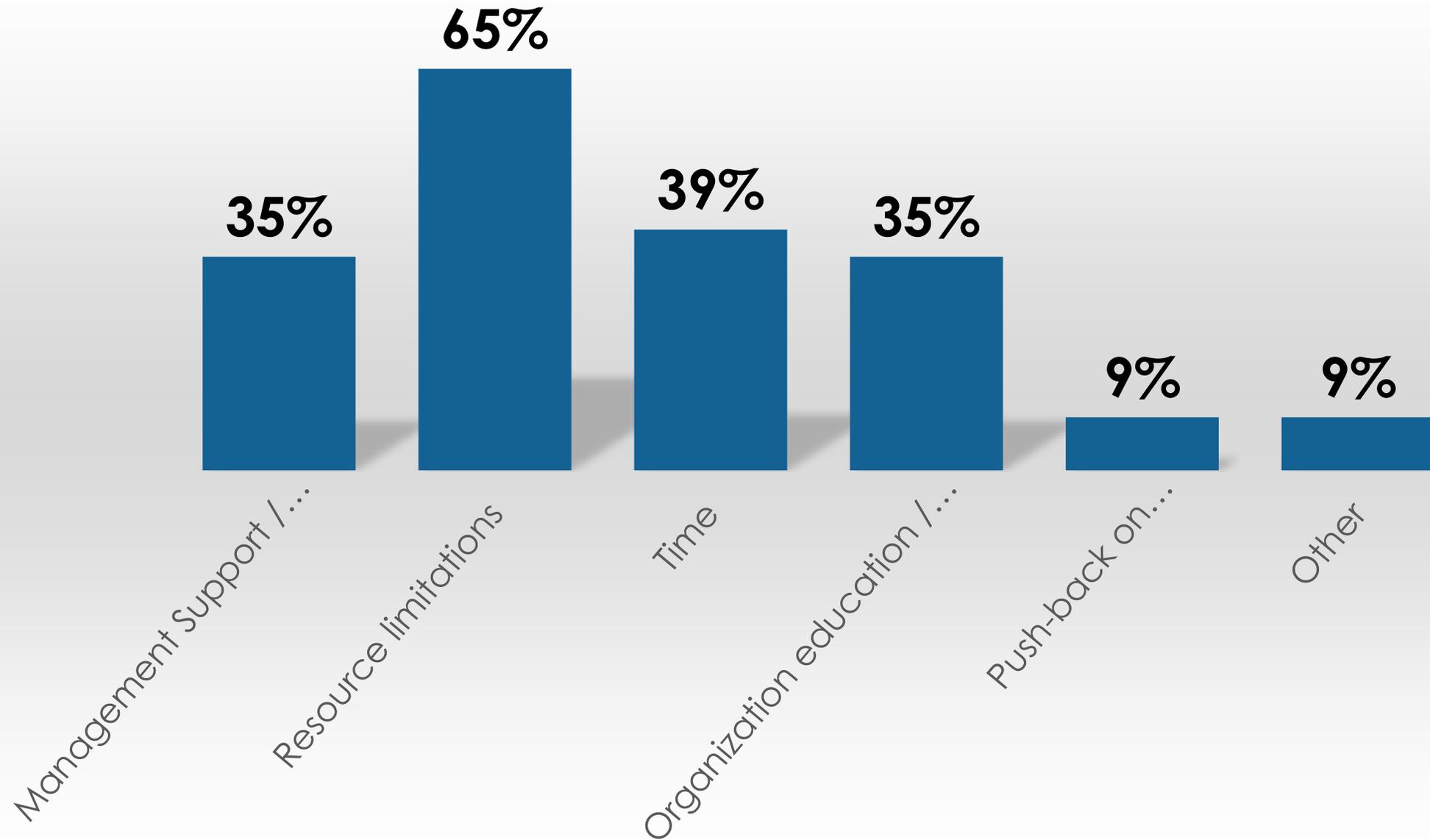
Internal Control Awareness Methods



Internal Audit Staff



Biggest Challenges



How can NYSICA help

84%

72%

72%

52%

48%

32%

Training on Internal Controls and...

Guidance / Best Practices

Tools / Forms

Expand offerings and topics and training

Training Materials

Marketing tools





NYSICA

New York State Internal Control Association

Thank You - We Look Forward
to Continuing to Meet Your
Internal Control Needs