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| --- | --- |
| Agency: Click here to enter text. | |
| Preparer(s): Click here to enter text. | Date: Click here to enter text. |

Risks: Management does not model the agency’s code of conduct or ethics policy or does not hold employees accountable to it. Employees are not qualified, adequately trained or properly informed to perform assigned tasks. Employees are not aware of agency vision and goals.

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| --- | --- | --- | --- | --- |
| YES | NO | \*N/A |  | CHECKLIST QUESTION |
| □ | □ | □ | 1. | Are appropriate staff members familiar with the agency’s strategic plan, *State Administrative and Accounting Manual* (SAAM), agency policies, and other relevant operating and compliance requirements and guidelines? |
| □ | □ | □ | 2. | Does management demonstrate the importance of integrity and ethical values? |
| □ | □ | □ | 3. | Is good communication, collaboration and team effort stressed? |
| □ | □ | □ | 4. | Is management open to employee suggestions to improve productivity, service, and quality? |
| □ | □ | □ | 5. | Do management and employees have the knowledge, training, skills necessary to perform their jobs adequately? |
| □ | □ | □ | 6. | Do employees continue to take advantage of on-going training opportunities? |
| □ | □ | □ | 7. | Has management established a strategic plan setting for the agency’s vision, mission, values, goals, and initiatives? |
| □ | □ | □ | 8. | Are goals and initiatives periodically reviewed? |
| □ | □ | □ | 9. | Are the agency’s performance targets realistic and attainable? |
| □ | □ | □ | 10. | Does integrity of financial and operational results take priority over reporting acceptable performance targets? |
| □ | □ | □ | 11. | Is the agency’s organizational structure and lines of authority clearly understood by employees? |
| □ | □ | □ | 12. | Are employee job descriptions current? |
| □ | □ | □ | 13. | Are desk procedures and other internal operating procedures current and readily available to employees? |
| □ | □ | □ | 14. | Are specific duties segregated among employees to adequately address high-risk activities? |
| □ | □ | □ | 15. | Has the agency maintained an acceptable employee turnover rate? |
| □ | □ | □ | 16. | Does employee morale appear to be at an acceptable level? |
| □ | □ | □ | 17. | Does the agency have the time, tools, and resources to effectively accomplish its mission and initiatives? |
| □ | □ | □ | 18. | Are records maintained in accordance with state/agency records retention policies? |
| □ | □ | □ | 19. | Does the agency have a business continuity plan that addresses the absence of key employees and backup procedures for key business processes? |
| □ | □ | □ | 20. | Are risk assessments periodically performed and documented? |

\*N/A - Not Applicable

Comments/Compensating Controls:

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Monitoring – ongoing/separate evaluations:

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Summary:

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