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Area	Topic	1 New Function/ Program?	2 Changes reg./ statutory requirement	3 No Policy/ Procedure or Not Current	4 Changes in procedures	5 Changes in key staff	6 Significant Staff Turnover/ New Staff	7 Changes in technology	8 Adverse Internal Audit Findings	9 Adverse External Audit findings	10 Interview Suggests Risk	Total Out of Possible 10	Likelihood of Failure? Low (<2 checks)	Medium (3-5 checks)	High (>5 checks)	Impact of Failure? Low	Medium	High	Comments
Human Resources	Employee verification and hiring process																		
	Background screening																		
	Employee Training																		
	Separation from employment																		
	Time and attendance																		
	Code of Conduct																		
	Conflict of Interest																		
	EO 38																		
	DOL Requirements																		
	OSHA Injury Reporting																		
	Satisfaction surveys																		
	Insurance coverage																		
Legal	Not-for-Profit Law																		
	Chapter Litigation & Reporting to NYSARC																		
	Affirmative businesses/business enterprises/affiliated companies																		
Financial	Annual Independent Audit (Management Letter)																		
	Accounts Payable																		
	Accounts Receivable																		
	Purchasing and Procurement Practices																		
	Executed Contracts and Agreements																		
	Inventory Controls																		
	Billing Reconciliation																		
	CFR Completion and Submission																		
	Personal Allowance Accounts (Audits and Reconciliation)																		
	Social Security Benefits Reconciliation																		

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Operations	Compliance with NYSARC Chapter Manual																		
Operations	Transportation Requirements (DOT, DMV, 19-A)																		
Operations	Facility/Property Maintenance																		
Operations	Emergency Response Systems																		
Operations	Accreditations and Certifications (CQL, etc.)																		
Operations	NYSARC Quality Improvement Metrics																		
Operations	Record Retention																		
Compliance Program	Refer to OMIG 8 elements																		
Programming/Services	Intake Procedures																		
Programming/Services	Discharge Procedures																		
Programming/Services	OPWDD BPC Reports (SODs, 45 Day Letters, POCAs)																		
Programming/Services	Heightened Scrutiny																		
Programming/Services	Residential Habilitation (Supervised, Supportive)																		
Programming/Services	Day Habilitation (Group, Without Walls, Supplemental)																		
Programming/Services	Community Hab																		
Programming/Services	Site-Based Prevocational																		
Programming/Services	Medicaid Service Coordination																		
Programming/Services	Plan of Care Support Services																		
Programming/Services	Community Prevocational																		
Programming/Services	Pathway to Employment																		

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Programming/Services	Supported Employment (Intensive/Extended, ETP)																		
	ACESS-VR Extended																		
	Respite																		
	Clinic																		
	ICF																		
	Preschool																		
	Camps																		
	Nursing Services																		
	Guardianship																		
	Behavioral/Human Rights																		
	Self-Directed Services																		
	Other																		
HIPAA	Business Associates Agreements																		
	HIPAA privacy																		
	HIPAA security																		
	Document Retention																		
	Periodic Risk Assessment																		
Board	Training																		
	COI completion																		
	Audit Committee																		
	Committee Activity																		
	Program/Service Visits																		

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Info Technology/HITECH	EHR Vendor																		
	Staff training																		
	Access Controls																		
	Separation from Service																		
	Encryption																		
	Internal Controls over inappropriate use																		
	Controls against viruses, hacking																		
Incident Management	Incident Reporting																		
	Incident Investigation																		
	Incident and Investigation Review Committee																		
	Corrective Action Plans																		
	Incident Management System (internal communications, dedicated mailbox, access to WSIR and other reporting tools)																		