

**SUNY DOWNSTATE MEDICAL CENTER
INTERNAL CONTROL ASSESSMENT**

Business Unit/Event Cycle

Date

Name and Title of Respondent

#	CONTROL Questions	YES	NO	N/A	Comment
1	Is there an organization chart for this Unit? <i>(Risk: Organization chart will not be current; Employees unaware of reporting relationship.) Attach copy of the organization chart.</i>				
2	Does the Unit have an inventory of all activities for which it is responsible? <i>(Risk: Management does not know where risk exists.) Attach copy of the inventory of all activities necessary to accomplish responsibilities.</i>				
3	Is the Unit aware of and compliant with the laws, rules and regulations affecting the Unit's activities? <i>(Risk: Unit may perform unlawful activities.)</i>				
4	Are there documented, understandable policies and procedures for each of the Unit's activities? <i>(Risk: Staff does not understand activities.)</i>				
5	Are the policies and procedures for the Unit's activities annually reviewed and/or updated and approved by Management? <i>(Risk: Lack of approved up-to-date policies and procedures.)</i>				
6	Do the policies and procedures address approvals, authorizations, verifications, reconciliations, assist in confidentiality, security and separation on duties? <i>(Risk: Potential for fraud, waste, and abuse.)</i>				
7	Does any Staff have system override privileges? <i>(Risk: Unauthorized staff makes incorrect changes.)</i>				
8	Are there safeguards in place to prevent lost or unauthorized access to data, e.g., software password protection? <i>(Risk: Permanent loss of data; data misused.)</i>				
9	Are there documented job descriptions, and/or performance programs relating to the functions necessary to accomplish the activities in your Unit? <i>(Risk: Staff that do not have the appropriate education, professional and technical competencies and work experience may not perform to required standards.)</i>				
10	Does the Unit experience a high turnover of Staff? <i>(Risk: Inexperience.)</i>				

#	CONTROL Questions	YES	NO	N/A	Comment
11	Does the Unit have Employee training, and job competency assessments? <i>(Risk: Personnel are not adequately trained.)</i>				
12	Does the Unit Management perform annual performance evaluations? <i>(Risk: Lack of feedback does not solve problems; creating worse situation.)</i>				
13	Does the Unit hold regular Staff meetings? <i>(Risk: Management withholds information; or Management will not have knowledge of Staff work, potential issues or resource needs.)</i>				
14	Are Unit Managers/Supervisors held accountable for Staff performance? <i>(Risk: Management sets bad tone; problems will be overlooked.)</i>				
15	Is Management open to suggestions for improvement from Supervisors and Staff? <i>(Risk: Improvements may not happen.)</i>				
16	Are there Team Meetings held with interdependent Units? <i>(Risk: Objectives will not work smoothly across functions; Goals will not be achieved.)</i>				
17	Are Team members held accountable for commitments? <i>(Risk: Ineffective use of time, successful outcomes will go unrealized.)</i>				
18	Does the Unit Managers/Supervisors regularly utilize management or activity reports/testing to assess the Units performance and internal control? <i>(Risk: Management can not determine if the Units responsibilities/goals are being met; may not have guidelines to measure performance; may not know if problems exist; cannot identify and correct issues and therefore, problems worsen.)</i>				
19	Does Senior Administrator (VP Area) have regular meetings with Unit Managers? <i>(Risk: Management withholds information; or Management will not have knowledge of Staff work, potential issues or resource needs.)</i>				
20	Does Senior Administrator effectively communicate to Unit Managers expected performance and deliverables of both the Management and the Unit? <i>(Risk: Management and Senior Administration may not have the same objectives or priorities.)</i>				
21	Does Senior Administrator provide feedback to Unit Managers via a periodic performance evaluation? <i>(Risk: Lack of feedback does not solve problems; Unit's responsibilities will go unrealized.)</i>				
22	Are Senior Administrators held accountable for the Unit's performance? <i>(Risk: Culture of indifference and non-accountability will filter throughout the institution.)</i>				