

NYSARC Sample Risk Assessment: This document is intended for assessment purposes only. It does not substitute for/represent legal opinion/direction. Users should consult with legal counsel/risk management parties on any risk area as necessary.

NYSARC Sample Risk Assessment (ATTACHMENT A)		1	2	3	4	5	6	7	8	9	10	Likelihood of Failure? (Consider the risk factors identified)			Comments			
Area	Topic	New Function/ Program?	Changes reg./ statutory requirement	No Policy/ Procedure or Not Current	Changes in procedures	Changes in key staff	Significant Staff Turnover/ New Staff	Changes in technology	Adverse Internal Audit Findings	Adverse External Audit findings	Interview Suggests Risk	Low	Medium	High		Low (<2 checks)	Medium (3-5 checks)	High (>5 checks)
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																	
	Transportation Requirements (DOT, DMV, 19-A)																	
	Facility/Property Maintenance																	
	Emergency Response Systems																	
	Accreditations and Certifications (CQL, etc.)																	
	NYSARC Quality Improvement Metrics																	
	Record Retention																	
Compliance Program	Refer to OMIG 8 elements																	
Programming/Services	Intake Procedures																	
	Discharge Procedures																	
	OPWDD BPC Reports (SODs, 45 Day Letters, POCAs)																	
	Heightened Scrutiny																	
	Residential Habilitation (Supervised, Supportive)																	
	Day Habilitation (Group, Without Walls, Supplemental)																	
	Community Hab																	
	Site-Based Prevocational																	
	Medicaid Service Coordination																	
	Plan of Care Support Services																	
	Community Prevocational																	
	Pathway to Employment																	

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Programming/Services	Supported Employment (Intensive/Extended, ETP)																	
	ACCESS-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)																	