

**Activities from Brainstorming -- PHARMACY BOARD**

<b>1</b>	Finance & Accounting	<b>13</b>	<b>25</b>	<b>37</b>	<b>49</b>
<b>2</b>	Purchasing	<b>14</b>	<b>26</b>	<b>38</b>	<b>50</b>
<b>3</b>	Information Technology	<b>15</b>	<b>27</b>	<b>39</b>	<b>51</b>
<b>4</b>	Human Resource Mgmt	<b>16</b>	<b>28</b>	<b>40</b>	<b>52</b>
<b>5</b>	Licensing	<b>17</b>	<b>29</b>	<b>41</b>	<b>53</b>
<b>6</b>	Enforcement	<b>18</b>	<b>30</b>	<b>42</b>	<b>54</b>
<b>7</b>	Peer Assistance	<b>19</b>	<b>31</b>	<b>43</b>	<b>55</b>
<b>8</b>	Public Information	<b>20</b>	<b>32</b>	<b>44</b>	<b>56</b>
<b>9</b>	Rule Making	<b>21</b>	<b>33</b>	<b>45</b>	<b>57</b>
<b>10</b>	Agency Administration	<b>22</b>	<b>34</b>	<b>46</b>	<b>58</b>
<b>11</b>		<b>23</b>	<b>35</b>	<b>47</b>	<b>59</b>
<b>12</b>		<b>24</b>	<b>36</b>	<b>48</b>	<b>60</b>

## PHARMACY BOARD

CONSOLIDATED ACTIVITIES		PRIORITIZED CONSOLIDATED ACTIVITIES
Finance & Accounting	<b>1</b>	Licensing
Purchasing	<b>2</b>	Enforcement
Information Technology	<b>3</b>	Rule Making
Human Resource Management	<b>4</b>	Public Information
Licensing	<b>5</b>	Peer Assistance
Enforcement	<b>6</b>	Finance & Accounting
Peer Assistance	<b>7</b>	Information Technology
Public Information	<b>8</b>	Human Resource Management
Rule Making	<b>9</b>	Purchasing
Agency Administration	<b>10</b>	Agency Administration

**RISK ASSESSMENT TABLE- Pre-Controls -PHARMACY BOARD**

PRIORITY	CONSOLIDATED ACTIVITY	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS				
1	Licensing	L	L	Not sending out timely renewal notices	M	L	Failure to collect appropriate license fees and late fees	H	H	Applications Not Processed in a Complete and Timely Manner	H	L	Exam integrity	H	H	Licensing unqualified applicants	H	L	Undetected cheating by examinees	M	H	Failure to detect criminal history &/or Refer to Enfcmnt	M	M	Applicants Providing Incorrect Data	H	H	Failure to Detect Violations of GSL & OAG Stds	
2	Enforcement	H	M	Lawsuits	H	H	Delays in complaint resolution	H	H	Diversion of Prescription Drugs	M	H	Failure to Adequately Monitor Compliance with Disciplinary Orders	H	H	Increased Recidivism/ Ineffective Deterrence of Violations	H	H	Unlicensed/Unsupervised Practice(e.g. Techs, Phmcts)	H	H	Inconsistent disciplinary actions	H	M	Untimely & Poor quality investigations/ inspections	H	H	Inaccurate Identification/ Documentation of Complaints (e.g. qly crim cks, unauth changes)	
3	Rule Making	H	M	Lawsuits	H	M	Noncompliance with Procedural Requirements for Rulemaking	M	M	Inaccurate/Insufficient Rules	H	M	Failure to Adequately Assess Current Pharm. Operations & Practices	H	M	Inadequate Statutory Authority													
4	Public Information	M	M	Inaccurate or inadequate Public Information on website	M	H	Failure, Untimely or Incorrect response to Open Records requests	M	H	Failure to Report/ or Failure to Timely Report Disciplinary Action to Applicable Agencies	H	H	Inappropriate Release of Information																
5	Peer Assistance	H	M	Misuse of State Funds by Third Party Administrator	H	H	Undetected substance abuse by licensees & registrants	H	M	Poor Quality Program Administration	M	H	Failure to Comply With Law/ Contract Terms																
6	Finance and Accounting	H	M	Unauthorized Transactions/ Misappropriated Funds	H	M	Overspending Budget, inaccurate budgets and monitoring	M	M	Inaccurate reports to Mgmt and Board	M	M	Failure to meet deadlines	M	H	Failure to Collect/ Record Appropriate Fines/Prob Fees	M	H	Loss of assets/ cash										
7	Information Technology & Systems	H	H	Computer Security	H	M	Loss of data	H	M	Inadequate user support/training	H	L	Technological obsolescence	H	H	Internal Systems Downtime	L	L	Lack of system and application documentation	H	H	External Systems Downtime							
8	Human Resource Management	H	H	Noncompliance with HR laws	M	H	Shortage of qualified applicants	M	M	Untimely employee performance reviews	H	M	Hiring Unqualified employees	H	M	Employee turnover/ Succession Planning	M	M	Inaccurate time and attendance records	H	H	Inadequacy of Staff/Work Ratio	H	L	Violence in the Workplace				
9	Purchasing	H	H	Noncompliance with purchasing laws and regulations	M	H	Unauthorized Purchases	M	H	Paying more than fair price for product or service																			
10	Agency Administration	H	H	Fraudulent activity by employees	H	M	Lawsuits/Administrative Actions	H	M	Inadequacy of business continuity plan	M	H	Inadequate Records Management Policies	H	H	Lack of Compliance with Records Retention Plan	H	H	Inadequate Space	H	H	Noncompliance with Legislative Mandates	H	H	Failure to Adequately Assess & Resource Pending Legislation				

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Licensing RISKS CONTROL STEPS										
		Not sending out timely renewal notices	Failure to collect appropriate license fees and late fees	Applications Not Processed in a Complete and Timely Manner	Exam integrity	Licensing unqualified applicants	Undetected cheating by examinees	Failure to detect criminal history &/or Refer to Enfcmt	Applicants Providing Incorrect Data	Failure to Detect Violations of GSL & OAG Stds
P 1	Database reporting system			x		x				x
C 2	Employee Performance Review	x		x		x		x		
C 3	Licensee Feedback/Customer Service Survey	x		x						
C 4	Management Review	x	x	x		x		x	x	x
C 5	Meetings to review workload	x		x		x				
P 6	Outsourced to Qualified Vendor	x		x	x		x			
C 7	Checklist for each Applicant			x		x		x	x	
P 8	Verification of Credentials/ Fingerprinting/ Inspections			x		x		x	x	
C 9	Periodic Direct Observation of Process			x		x		x		
P 10	Automated Collection Process		x							
C 11	Review of performance targets and revenue projections		x							
P 12	Automated Database Edits		x			x		x		
C 13	Audits of Oversight Agencies	x	x					x		
P 14	Automated Federal & State Criminal History Checks							x		
C 15	Staff Member Assigned to Committee for Exam Question Development				x					
P 16	Verify Information with Certification Agy								x	
C 17	Written Policy & Procedures and Training	x	x			x		x		
C 18	Coordination with Other Departments		x					x		
C 19	Periodic Evaluation of Vendor & Process				x	x	x			

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Enforcement RISKS CONTROL STEPS					Failure to Adequately Monitor Compliance with Disciplinary Orders	Increased Recidivism/ Ineffective Deterrence of Violations	Unlicensed/Unsupervised Practice(e.g. Techs, Phmcts)	Inconsistent disciplinary actions	Untimely & Poor quality investigations/ inspections	Inaccurate Identification/ Documentation of Complaints (e.g. qly crim cks, unauth changes)
		Lawsuits	Delays in complaint resolution	Diversion of Prescription Drugs						
C	1 Management Review	x	x	x	x	x	x	x	x	x
C	2 Review of Performance Targets		x			x			x	
C	3 Activity Reports		x			x			x	
C	4 Case Reviews	x	x	x	x	x	x	x	x	x
C	5 Follow up on customer/media complaints/ Customer Survey	x	x			x	x		x	x
C	6 Reconciliation of fines assessed to Board Order Entry				x					
P	7 Inspections	x		x	x	x	x			
C	8 Board Review	x	x	x		x	x	x	x	x
C	9 Coordination between Acctg & Enfrmnt Personnel				x					
C	10 Periodic Staff Meetings & Training	x	x	x	x	x	x	x	x	x
P	11 Informal Conferences			x		x		x		
P	12 Coordination between Other Agencies (e.g. OAG, DEA, FDA, DHS, DPS)	x	x	x	x		x		x	x
C	13 Employee Performance Reviews		x		x				x	x
C	14 Board Rules & Guidelines			x	x		x	x	x	
P	15 Dissemination of Public Information(e.g. Newsletter & Presentations)			x		x	x	x		
C	16 Drug Screens & Other Reports			x	x	x				
C	17 Tracking Systems (manual & computerized)		x		x					x
P	18 Referral for Criminal Prosecution			x		x	x			
C	19 Outsourced to Qualified Vendor								x	

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Rule Making RISKS → CONTROL STEPS ↓			Noncompliance with Procedural Requirements for Rulemaking	Inaccurate/Insufficient Rules	Failure to Adequately Assess Current Pharm. Operations & Practices	Inadequate Statutory Authority			
		Lawsuits							
C	1 Management Review	x	x	x	x	x			
C	2 Board Review	x	x	x	x	x			
C	3 Monitoring Laws & Rules	x		x	x				
C	4 Staff Training	x	x	x	x				
P	5 AG Opinions/Assistance	x	x	x		x			
P	6 Public Input (taskforces, hearings)	x		x	x				
C	7 Legal Review	x	x	x		x			
C	8 Review by Texas Register	x	x						

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Public Info RISKS CONTROL STEPS		Inaccurate or inadequate Public Information on website	Failure, Untimely or Incorrect response to Open Records requests	Failure to Report/ or Failure to Timely Report Disciplinary Action to Applicable Agencies	Inappropriate Release of Information					
C 1	Web Administrators & Subject Matter Experts	x								
C 2	Management Review	x	x	x	x					
C 3	Periodic Review	x								
C 4	Written Policies & Procedures	x	x	x	x					
C 5	Review by Oversight Agencies	x	x	x						
P 6	Automated System	x	x		x					
C 7	Consumer Feedback	x								
P 8	Staff Training	x	x	x	x					

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Peer Asstnce									
RISKS			Undetected	Poor Quality	Failure to				
CONTROL STEPS		Misuse of State Funds by Third Party Administrator	substance abuse by licensees & registrants	Program Administration	Comply With Law/ Contract Terms				
C	1 Independent Audit	x		x	x				
C	2 Follow up on customer complaints	x	x	x					
C	3 Management Review	x	x	x	x				
P	4 Licensee Reports		x	x					
C	5 Legal Reviews			x					
P	6 Inspections/Investigations		x	x					
C	7 Drug Screens		x						
C	8 Board Review	x		x	x				
C	9 Review of Performance Targets			x					
P	10 TSBP Contract with Third Party Administrator	x	x	x	x				
C	11 Periodic Mtgs with Contractor & Other Contracting Agencies	x		x	x				
C	12 Employee Performance Reviews		x						

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Accounting		Unauthorized Transactions/ Misappropriated Funds	Overspending Budget, inaccurate budgets and monitoring	Inaccurate reports to Mgmt and Board	Failure to meet deadlines	Failure to Collect/ Record Appropriate Fines/Prob Fees	Loss of assets/ cash			
RISKS → CONTROL STEPS ↓										
C	1 Management Review & Approval	x	x	x	x	x	x			
C	2 Written Policy and Procedures Manual	x	x			x	x			
C	3 Employee Performance Reviews	x	x	x	x	x	x			
C	4 Routine Physical Inventory						x			
C	5 Routine Reconciliations	x	x	x			x			
P	6 External System Controls (USAS, USPS, SPA, ERS)	x	x	x			x			
C	7 Reconciliation of Imprest Accounts	x					x			
C	8 Audits by oversight agencies	x	x	x	x	x	x			
C	9 Training/Continuing Education	x	x	x	x	x	x			
C	10 Segregation of Duties	x	x			x	x			
P	11 Automated database edits					x	x			
C	12 Periodic Direct Observation of Process					x	x			
C	13 Reconciliation of ARs entered to fees assessed and to fees collected					x	x			
P	14 Criminal History & Background Checks	x					x			

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Info Tech. RISKS → CONTROL STEPS ↓		Computer Security	Loss of data	Inadequate user support/training	Technological obsolescence	Internal Systems Downtime	Lack of system and application documentation	External Systems Downtime		
		C 1	Password Protection & Policies	x	x			x		
C 2	Training/Continuing Education Courses	x	x	x	x	x	x			
P 3	Routine Backups	x	x	x		x				
C 4	Periodic Penetration Test	x	x		x	x	x			
C 5	Periodic Staff Updates	x	x	x	x					
P 6	Offsite Data Storage	x	x	x		x				
C 7	Strategic Planning	x		x	x					
C 8	Written Policy and Procedures Manual	x	x			x	x			
P 9	External Support	x	x	x	x	x		x		
C 10	Supervisory Review	x	x	x	x	x	x	x		
C 11	Firewall and Antivirus Software	x	x	x		x				
C 12	Software Upgrades/Updates	x	x	x	x	x	x			
C 13	Oversight by Other Agencies	x	x			x		x		
P 14	Contract Review							x		
P 15	Criminal History & Background Checks	x								
C 16	Controlled Physical Environment	x	x			x				

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Human Res RISKS CONTROL STEPS		Noncompliance with HR laws	Shortage of qualified applicants	Untimely employee performance reviews	Hiring Unqualified employees	Employee turnover/ Succession Planning	Inaccurate time and attendance records	Inadequacy of Staff/Work Ratio	Violence in the Workplace	
C 1	Supervisory Review	x		x	x	x	x	x	x	
C 2	Written Policies and Procedures Manual	x		x	x		x		x	
P 3	External System Controls (USAS, USPS, ERS)	x					x			
C 4	Audits by Oversight Agencies	x		x			x	x	x	
C 5	External Training/Continuing Education Courses	x			x	x	x		x	
P 6	Internal Agency Audits	x		x	x		x	x		
P 7	Target population		x		x					
P 8	Extensive Job Posting		x		x					
P 9	Career Ladders		x			x				
C 10	Employee Performance Reviews	x		x		x	x	x		
C 11	Staff Meetings	x				x	x	x	x	
C 12	Verification of Credentials/ Background Checks	x			x				x	
C 13	Employee Complaint Reporting System (Whistleblower policy, Sexual Harassment, EEO, etc)	x					x			
P 14	Interview Process & Written Selection and Recruitment Process	x			x					
P 15	Valid Job Descriptions	x			x			x		
C 16	Wellness Program					x				
C 17	Gap Analysis/ Review of Classified Positions							x		
C 18	Building Security								x	
C 19	Incentive Programs					x				

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

Consolidated Activity: Purchasing RISKS → CONTROL STEPS ↓		Noncompliance with purchasing laws and regulations	Unauthorized Purchases	Paying more than fair price for product or service						
C	1 Management Review	x	x	x						
P	2 External System Controls (SPA, USAS)	x	x							
C	3 Audits by Oversight Agencies	x	x	x						
C	4 Written Policies and Procedures Manual	x	x	x						
C	5 Certification of employees	x	x	x						
C	6 Training/Continuing Education Courses	x	x	x						

P=Process C= Control

**RISK MANAGEMENT TABLE -- PHARMACY BOARD**

<b>Consolidated Activity: Agency Administration RISKS CONTROL STEPS</b>		Fraudulent activity by employees	Lawsuits/Administrative Actions	Inadequacy of business continuity plan	Inadequate Records Management Policies	Lack of Compliance with Records Retention Plan	Inadequate Space	Noncompliance with Legislative Mandates	Adequately Assess & Resource Pending Legislation
C 1	Supervisory Review	x	x	x	x	x		x	
C 2	Written Policies and Procedures Manual	x	x		x	x		x	
C 3	External System Controls (USAS, USPS, ERS)	x							
C 4	Oversight by Other Agencies	x	x	x	x	x			
C 5	Training/Continuing Education Courses	x	x	x	x	x		x	
C 6	Internal Agency Audits	x							
C 7	Employee Performance Reviews	x	x					x	x
C 8	Staff Meetings	x			x	x		x	x
C 9	Verification of Credentials/Background Checks	x	x						
C 10	Employee Complaint Reporting System (Whistleblower policy, Sexual Harassment, EEO, etc)	x	x						
P 11	Valid Job Descriptions		x						
P 12	Routine Backups			x					
C 13	Periodic Penetration Test			x					
P 14	Offsite Data Storage			x					
C 15	Software Upgrades/Updates			x					
C 16	Coordination with Other Agencies/Entities			x			x	x	x
C 17	Strategic Planning			x					x
P 18	Reconfiguration of Space						x		
P 19	Accurate Fiscal Notes								x
P 20	Legislative Monitoring (Telicon)							x	x

P=Process C= Control

**RISK ASSESSMENT TABLE- Post-Controls -PHARMACY BOARD**

PRIORITY	CONSOLIDATED ACTIVITY	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS	IMPACT RATING		RISKS							
		H	L		H	L		H	L		H	L		H	L		H	L		H	L		H	L					
1	Licensing	L	L	Not sending out timely renewal notices	M	L	Failure to collect appropriate license fees and late fees	M	M	Applications Not Processed in a Complete and Timely Manner	H	L	Exam integrity	H	M	Licensing unqualified applicants	H	L	Undetected cheating by examinees	M	L	Failure to detect criminal history &/or Refer to Enfcmt	M	L	Applicants Providing Incorrect Data	H	L	Failure to Detect Violations of GSL & OAG Stds	
2	Enforcement	H	L	Lawsuits	H	M	Delays in complaint resolution	H	H	Diversion of Prescription Drugs	M	M	Failure to Adequately Monitor Compliance with Disciplinary Orders	H	M	Increased Recidivism/ Ineffective Deterrence of Violations	H	M	Unlicensed/Unsupervised Practice(e.g. Techs, Phmcts)	H	L	Inconsistent disciplinary actions	H	L	Untimely & Poor quality investigations/ inspections	H	M	Inaccurate Identification/ Documentation of Complaints (e.g. qtlly crim cks, unauth changes)	
3	Rule Making	H	L	Lawsuits	H	L	Noncompliance with Procedural Requirements for Rulemaking	M	L	Inaccurate/Insufficient Rules	H	L	Failure to Adequately Assess Current Pharm. Operations & Practices	H	L	Inadequate Statutory Authority													
4	Public Information	M	L	Inaccurate or inadequate Public Information on website	M	M	Failure, Untimely or Incorrect response to Open Records requests	M	M	Failure to Report/ or Failure to Timely Report Disciplinary Action to Applicable Agencies	H	M	Inappropriate Release of Information																
5	Peer Assistance	H	L	Misuse of State Funds by Third Party Administrator	H	M	Undetected substance abuse by licensees & registrants	H	L	Poor Quality Program Administration	M	M	Failure to Comply With Law/ Contract Terms																
6	Finance and Accounting	H	L	Unauthorized Transactions/ Misappropriated Funds	H	L	Overspending Budget, inaccurate budgets and monitoring	M	L	Inaccurate reports to Mgmt and Board	M	L	Failure to meet deadlines	M	L	Failure to Collect/ Record Appropriate Fines/Prob Fees	M	L	Loss of assets/ cash										
7	Information Technology & Systems	H	L	Computer Security	H	L	Loss of data	H	L	Inadequate user support/training	H	L	Technological obsolescence	H	L	Internal Systems Downtime	L	L	Lack of system and application documentation	H	L	External Systems Downtime							
8	Human Resource Management	H	L	Noncompliance with HR laws	M	M	Shortage of qualified applicants	M	L	Untimely employee performance reviews	H	L	Hiring Unqualified employees	H	M	Employee turnover/ Succession Planning	M	L	Inaccurate time and attendance records	H	H	Inadequacy of Staff/Work Ratio	H	L	Violence in the Workplace				
9	Purchasing	H	L	Noncompliance with purchasing laws and regulations	M	L	Unauthorized Purchases	M	L	Paying more than fair price for product or service																			
10	Agency Administration	H	L	Fraudulent activity by employees	H	L	Lawsuits/Administrative Actions	H	L	Inadequacy of business continuity plan	M	M	Inadequate Records Management Policies	H	M	Lack of Compliance with Records Retention Plan	H	H	Inadequate Space	H	L	Noncompliance with Legislative Mandates	H	L	Adequately Assess & Resource Pending Legislation				

**Significant Changes in Risk Assessment - PHARMACY BOARD**

<p><b>New Consolidated Activity Identified in FY 2015</b></p>	
<p><b>New Risks Identified in FY 2015 - List by Consolidated Activity or Building Block</b></p>	<p>Agency Administration - Added risk of "Noncompliance with Legislative Mandates" and risk of "Failure to Adequately Assess &amp; Resource Pending Legislation"</p> <p>Licensing - Revised wording of risk of "Applications Not Processed in a Timely Manner" to "Applications Not Processed in a Complete and Timely Manner"</p>
<p><b>Changes to Impact Rating and Probability Rating - List by Consolidated Activity or Building Block Pre-Controls</b></p>	<p>Licensing - Increased Impact Rating on risk of "Applications Not Processed in a Complete &amp; Timely Manner" from M to H.</p> <p>Agency Administration - Added Impact Rating of H for new risks "Noncompliance with Legislative Mandates" and "Failure to Adequately Assess &amp; Resource Pending Legislation"</p> <p>Agency Administration - Added Probability Rating of H for new risks "Noncompliance with Legislative Mandates" and "Failure to Adequately Assess &amp; Resource Pending Legislation"</p>
<p><b>Changes, Additions, Deletions in Control Steps - List by Consolidated Activity or Building Block</b></p>	<p>Licensing - Revised wording of Control Step "Verification of Credentials/Fingerprinting/" to "Verification of Credentials/Fingerprinting/Inspections"</p> <p>Licensing - Added Control Step "Verification of Credentials/Fingerprinting/Inspections" to risk of "Applications Not Processed in a Complete &amp; Timely Manner"</p> <p>Rule Making - Clarified wording of Control Step "Education" to "Staff Training"</p> <p>Public Information - Revised wording of Control Step "Web Committee" to "Web Administrators &amp; Subject Matter Experts"</p> <p>Public Information - Clarified wording of Control Step "Training" to "Staff Training"</p> <p>Peer Assistance - Clarified wording of Control Step "Case Reviews" to "Legal Reviews"</p> <p>Accounting - Added Control Step "Written Policy &amp; Procedures Manual" to risk of "Failure to Collect/Record Appropriate Fines/Prob Fees"</p> <p>Accounting - Added new Control Step "Criminal History &amp; Background Checks" and added it to the risks of "Unauthorized Transactions/Misappropriated Funds" and "Loss of Assets"</p> <p>Information Technology - Added Control Step "Criminal History and Background Checks" and added it to risk of "Computer Security"</p> <p>Information Technology - Added Control Step "Controlled Physical Environment" and added it to risks of "Computer Security", "Loss of Data", and "Internal Systems Downtime"</p> <p>Human Resources - Added existing Control Step of "Staff Meetings" to risks of "Inaccurate Time &amp; Attendance Records" and "Violence in the Workplace"</p> <p>Human Resources - Added existing Control Step of "Interview Process &amp; Written Selection &amp; Recruitment Process" to risk of "Noncompliance with HR laws"</p> <p>Human Resources - Clarified wording of Control Step "Reporting System (Whistleblower Policy)" to "Employee Complaint Reporting System (Whistleblower Policy, Sexual Harassment, EEO, etc)"</p> <p>Human Resources - Added existing Control Step of "Valid Job Descriptions" to risk of "Inadequacy of Staff/Work Ratio"</p> <p>Human Resources - Added new Control Step of "Incentive Programs" to risk of "Employee Turnover/Succession Planning"</p> <p>Human Resources - Clarified wording of Control Step "Training/Continuing Education Courses" to "External Training/ Continuing Education Courses"</p> <p>Agency Administration - Added existing Control Steps of "Supervisory Review", "Written Policies &amp; Procedures Manual", "Training/Continuing Education Courses", "Employee Performance Reviews", "Staff Meetings" and "Coordination with Other Agencies/Entities" to new risk of "Noncompliance with Legislative Mandates"</p> <p>Agency Administration - Clarified wording of Control Step "Reporting System (Whistleblower Policy)" to "Employee Complaint Reporting System (Whistleblower Policy, Sexual Harassment, EEO, etc)"</p> <p>Agency Administration - Clarified wording of Control Step "Coordination with Other Agencies" to "Coordination with Other Agencies/Entities"</p> <p>Agency Administration - Added existing Control Steps of "Supervisory Review", "Training/Continuing Education Courses", "Employee Performance Reviews", "Staff Meetings", "Coordination with Other Agencies/Entities" and "Strategic Planning" to new risk of "Failure to Adequately Assess &amp; Resource Pending Legislation"</p> <p>Agency Administration - Added new Control Step of "Accurate Fiscal Notes" and added it to risk of "Failure to Adequately Assess &amp; Resource Pending Legislation"</p> <p>Agency Administration - Added new Control Step of "Legislative Monitoring" to new risks of "Noncompliance with Legislative Mandates" and "Failure to Adequately Assess and Resource Pending Legislation"</p>
<p><b>Changes to Impact Rating and Probability Rating - List by Consolidated Activity or Building Block Post-Controls</b></p>	<p>Information Technology - Changed Probability Rating from M to L for risk of "External Systems Downtime"</p> <p>Agency Administration - Added Impact Rating of H for new risks "Noncompliance with Legislative Mandates" and "Failure to Adequately Assess &amp; Resource Pending Legislation"</p> <p>Agency Administration - Added Probability Rating of L for new risks "Noncompliance with Legislative Mandates" and "Failure to Adequately Assess &amp; Resource Pending Legislation"</p>