

STATE OF NORTH CAROLINA
DEPARTMENT OF HEALTH AND HUMAN SERVICES
Division of Social Services
2013 Mail Service Center
Raleigh, North Carolina 27699-2013



DIVISION OF SOCIAL SERVICES
Subrecipient Self-Assessment of Internal Controls and Risks

This internal control questionnaire is designed to assist grantees in the identification of strengths and weaknesses in its internal control structure. Division of Social Services monitors and consultants will use this form, as a guide to assess the agency's control risk. Please complete in full and return to Division of Social Services at the address shown above.

Greene County Department of Social Services

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Date Prepared: December 14, 2012
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Key Management

DSS Board Chairperson: Rhonda Hughes
County DSS Director: Christy Nash
County DSS Deputy Director: N/A
Fiscal Officer / Business Mgr: Lisa Pope
DSS Security Officer: Lisa Pope, Kerry Heath
County Manager: Don Davenport
County Finance Officer: Shawn Wooten
Other Key Staff (Program Mgt & Title)

Angela Ellis	Adult Services Supervisor
Kristie Tetterton	Food and Nutrition Supervisor
Nancy Radford	Child Support/Child Day Care Supervisor
Debra Warren	Medicaid Supervisor
Monica Barno	Child Welfare Supervisor

The basic foundation of an adequate system of internal control is the segregation of duties among employees in such a manner that no one employee handles a transaction from inception to completion and is a risk area focused upon by auditors. When this is not possible due to the small number of employees, other controls can be implemented to reduce risk.

Enter the positions within your operations (director, fiscal officer, accounts payable clerk, public information assistant, county finance officer, county manager, etc.) under A - G, then place an "x" to indicate their duties & responsibilities. Please note that the text will enter vertically when typing in the position fields.

Example:

POSITION
TEXT

	A	B	C	D	E	F	G
DUTIES & RESPONSIBILITIES	Admin asst. or Public Info Officer	Accounting Tech III	Fiscal Officer	County finance Officer or Co Manager	Accounts payable clerk	Payroll Clerk	Director
Opens the mail	X						
Prepares cash receipts log		X					
Performs cashier functions (receives checks)	X						
Prepares deposits			X				
Reconciles cash receipts log to deposit			X				
Prepares account coding for receipts			X				
Posts to cash receipts journal				X	X		
Posts to general ledger				X	X		
Has access to petty cash			X				
Prepares account coding for disbursements		X					
Posts to cash disbursements journal					X		
Reconciles fund requests to receipts			X				
Prepares bank reconciliations		X					
Bank reconciliations reviewed by			X				
Authorizes and approves disbursements			X				X
Authorizes and approves purchases			X				X
Prepares purchase requisitions/orders		X					
Prepares checks					X		
Signs checks			X	X			X
Mails Checks		X					
Has access to unused bank checks		X	X	X	X		
Reviews voided and returned checks		X	X				
Verifies correctness of invoices		X					
Matches vendor invoices to requisitions/orders		X					
Stamps paid on invoices		X					
Authorizes payment of payroll & pay rates				X			
Prepares payroll checks						X	
Distributes payroll checks			X				
Maintains fixed asset records				X			
Authorizes disposal of fixed assets				X			

	Yes	No	N/A	Comments
CONTROL ENVIRONMENT				
1. Are periodic (monthly, quarterly) reports on the status of actual to budgeted performance prepared and reviewed by top management?	<u> x </u>			
2. Are unusual variances between budgeted revenues and expenditures and actual expenditures examined?	<u> x </u>			
3. Is the internal control structure supervised and reviewed by management to determine if it is operating as intended?	<u> x </u>			
ORGANIZATIONAL STRUCTURE				
1. Is there a current organizational chart defining the lines of responsibility?	<u> x </u>			
2. Has all management staff been sufficiently trained to perform their assigned duties?	<u> x </u>			Fiscal Officer has been in position for less than 2 yrs, LBL comes to site to train on fiscal issues and is always available by phone or email when FO has questions. FO also refers to manuals and goes to training when available.
ASSIGNMENT OF AUTHORITY & RESPONSIBILITY				
1. Are training opportunities to improve competency and update employees on Program, Fiscal and Personnel policies and procedures available?	<u> x </u>			
2. Have managers been provided with clear goals and direction from the governing body or top management?	<u> x </u>			
3. Is program information issued by the Division of Social Services and other State and Federal agencies distributed to appropriate staff?	<u> x </u>			
COMPLIANCE WITH TITLE VI, ADA & HIPAA				
1. Is program staff aware of requirements to comply with civil rights laws including Civil Rights Act of 1964, and the Americans with Disabilities Act?	<u> x </u>			
2. Is annual training provided to appropriate staff to review civil rights laws and expectations for providing benefits and services in a nondiscriminatory manner?	<u> x </u>			
3. Are required civil rights posters prominently displayed in required areas of the agency – lobby/reception and direct client service staff offices?	<u> x </u>			
4. Is the non-discrimination statement included on all printed materials such as applications, pamphlets, forms, or any other program materials distributed to the public and on Web sites; and whether graphic materials reflect inclusiveness based on race, color, national origin, age, sex, and disability?	<u> x </u>			
5. Are persons with Limited English Proficiency (LEP) provided the opportunity to obtain information from the agency both in person and by telephone?	<u> x </u>			
6. Does the agency have adequate staff and/or contracts in place to provide language interpretation to LEP customers when the need is identified?	<u> x </u>			
7. Does the agency have measures in place to communicate effectively with deaf or hard of hearing customers? (These may include sign language interpreters, access to a TTY machine or NC Relay telephone connectivity?)	<u> x </u>			

	Yes	No	N/A	Comments
8. Does the agency have in place a Limited English Proficiency Plan?	<input checked="" type="checkbox"/>			
9. Does the agency have the required nondiscrimination statement on each locally developed form intended for and used by customers?	<input checked="" type="checkbox"/>			
10. Does the agency have operational procedures in place for all areas of the agency, including reception, to ensure client information subject to HIPAA is protected (Social Security Numbers, Date of Birth, and Medical documents)?	<input checked="" type="checkbox"/>			
RECEIPTS				
1. Cash receipts (cash, money orders, checks) are deposited intact (<i>i.e. does the organization prohibit amounts from either being withheld from the deposit or requesting the bank to deduct cash from the deposit</i>).	<input checked="" type="checkbox"/>			
2. Cash receipts are deposited on a daily basis.	<input checked="" type="checkbox"/>			
3. The individual(s) who opens the mail maintains a log of cash receipts including notation of any restrictions, documentation and to whom routed for processing.		<input checked="" type="checkbox"/>		<u>Logged and routed by accounting tech</u>
4. Are numbered multi-copy receipts used for all payments received in the agency?	<input checked="" type="checkbox"/>			
5. Are all receipts books pre-printed with agency name and kept in one central location?	<input checked="" type="checkbox"/>			
6. Is there written policy prohibiting the receipt of payment from clients by direct service staff?	<input checked="" type="checkbox"/>			
7. Are receipts reconciled monthly against division / program / EPICS reports?	<input checked="" type="checkbox"/>			
8. Are protocols in place to prevent staff authorized to post payments in division system(s) from accepting payments from clients?	<input checked="" type="checkbox"/>			
9. Are protocols in place that require separation of receipting, depositing and reconciling of monies received from clients?	<input checked="" type="checkbox"/>			
10. A restrictive endorsement (For Deposit Only including account number) is written/stamped on all checks when received.		<input checked="" type="checkbox"/>		<u>Stamp has restrictive endorsement but does not have account number just specific account name</u>
ACCOUNTS PAYABLE				
1. Are all bank accounts and check signers approved according to established fiscal policies of the county?	<input checked="" type="checkbox"/>			
2. Dual signatures are required on all checks.	<input checked="" type="checkbox"/>			
3. All disbursements are made by check.	<input checked="" type="checkbox"/>			
4. Petty Cash is not used for purchases.	<input checked="" type="checkbox"/>			
5. Disbursements are supported by vendor invoices or other supporting documentation.	<input checked="" type="checkbox"/>			
6. All vendor invoices, or other documents, indicate the date that goods or services were received.	<input checked="" type="checkbox"/>			
7. Unpaid invoices are filed separately from paid invoices.	<input checked="" type="checkbox"/>			
8. An authorized official approves all invoices for payment.	<input checked="" type="checkbox"/>			
9. All disbursements requests require signature of caseworker?	<input checked="" type="checkbox"/>			
10. A copy of all disbursement requests maintained in client case file?	<input checked="" type="checkbox"/>			

11. All disbursement requests require signatory approval of program supervisor and properly designated agency fiscal staff?	<input checked="" type="checkbox"/>			
	Yes	No	N/A	Comments
11a If facsimile signatures are used, are the signature plates stored with secure / locked access and separated physically from blank checks?			<input checked="" type="checkbox"/>	
12. Do you purchase any type of cash assistance – gas cards, gift or debit cards, transportation passes? If yes: a. Are they stored in a central location with controlled access? b. Are records maintained to correlate disbursement of benefit to client?	<input checked="" type="checkbox"/>			
13. Vendor invoices are recalculated prior to approval of payment requisition?	<input checked="" type="checkbox"/>			
14. Checks are signed only when supported by approved invoices (not signed in advance).	<input checked="" type="checkbox"/>			
15. Check signers compare data on supporting documents to checks presented for their signatures.	<input checked="" type="checkbox"/>			
16. Checks are pre-numbered and accounted for.	<input checked="" type="checkbox"/>			
17. Voided checks are adequately defaced and are easily accessible for review.	<input checked="" type="checkbox"/>			
18. Are the accounting and purchasing departments promptly notified of returned purchases and/or checks and are such returns correlated with either a vendor credit memo or credit to general ledger account?	<input checked="" type="checkbox"/>			
19. Trust Accounts reconciled monthly?	<input checked="" type="checkbox"/>			
20. Individual Ledger or Bank Account is maintained for each Trust Account?	<input checked="" type="checkbox"/>			
21. Individual Trust Account balance is verified before expenditures are made.	<input checked="" type="checkbox"/>			
22. Are the following duties performed by different people? a. Requisitioning, purchasing and receiving Functions? b. Invoice processing, accounts payable? c. General Ledger entries and adjustments? d. Making detail cash disbursement entries to the General Ledger?	<input checked="" type="checkbox"/>			
23. Is the issuance of signed blank checks prohibited?	<input checked="" type="checkbox"/>			
24. Is the issuance of checks made out to cash prohibited?	<input checked="" type="checkbox"/>			
25. Are purchase orders pre-numbered?	<input checked="" type="checkbox"/>			
26. Do purchase orders require signature of authorized agency staff?	<input checked="" type="checkbox"/>			
27. Do purchase orders require approval of authorized county staff?	<input checked="" type="checkbox"/>			
28. Purchase orders are entered as an encumbrance in the General Ledger.	<input checked="" type="checkbox"/>			

29. Are protocols in place to prohibit staff with dual authority from performing dual functions such as requesting and authorizing payments?	<u> x </u>			
30. Are all records, checks and supporting financial documents retained according to the applicable (state or federal) record retention policy?	<u> x </u>			

	Yes	No	N/A	Comments
ALLOWABLE COSTS/COST PRINCIPALS				
1. Does the agency have an approved Indirect Cost Plan to allocate cost between federal programs or between federal and state programs?	<u>X</u>			
2. Has the approved plan been submitted to the Controller's Office?	<u>X</u>			
3. Are systems or other means established to prevent overpayments or payments to unauthorized subrecipients or individuals?	<u>X</u>			
4. Are contract payments reconciled to the general ledger?	<u>X</u>			
5. Are payments to subrecipients required to be supported by a properly authorized request for reimbursement or request for an advance from the subrecipient?	<u>X</u>			
6. Are expenditures to state or federal programs reviewed and approved by a person with approval authority?	<u>X</u>			
7. Are personnel responsible for coding expenditures to state or federal programs properly trained to determine expenditures which are allowable and allocable to the federal programs?	<u>X</u>			
8. Is the method of allocating cost understood by persons responsible for coding expenditures to state or federal programs?	<u>X</u>			
9. Are comparisons made between prior year and current year allowable services?	<u>X</u>			
CASH MANAGEMENT				
1. Are requests for reimbursement (1571) based on actual cash basis?	<u>X</u>			
2. Are reimbursements to subrecipients/contractors of agency compared to contracts or agreements periodically?	<u>X</u>			
3. Are reimbursements to subrecipients/contractors of the agency deferred until after the related expenditures are incurred?	<u>X</u>			
4. Are the following duties performed by different people? a. Preparing the Request for Reimbursement (1571)? b. Reviewing and approving the Request for Reimbursement	<u>X</u>			
5. Are personnel responsible for submitting required reporting information adequately trained?	<u>X</u>			
	Yes	No	N/A	Comments

6. Is the DSS-1571 submitted to the Department of Health and Human Services Office of the Controller by the fifteenth calendar day of the month? (Or the first workday after if the 15th is a non-business day)	<input checked="" type="checkbox"/>			
7. Does the agency comply with proper record retention schedules issued by the N. C. Department of Cultural Resources, Division of Archives and History entitled "Records Retention and Disposition schedule" for the Department of Social Services and DHHS Policy.	<input checked="" type="checkbox"/>			
PAYROLL AND HUMAN RESOURCES				
1. A payroll journal is prepared and balanced.	<input checked="" type="checkbox"/>			
2. Payroll disbursements are made by check or Electronic Funds Transmittal.	<input checked="" type="checkbox"/>			
3. Employees' time sheets and records are maintained.	<input checked="" type="checkbox"/>			
4. W-4 and W-2 forms are maintained.	<input checked="" type="checkbox"/>			
5. Employees' earning records are maintained.	<input checked="" type="checkbox"/>			
6. Are payroll costs accurately charged to federal and state grants using time spent in each program?	<input checked="" type="checkbox"/>			
7. Payroll checks are pre-numbered and recorded in the payroll journal.	<input checked="" type="checkbox"/>			
8. Are unclaimed payroll checks or declined EFT payroll transmission followed up on to ensure employee receives payment?	<input checked="" type="checkbox"/>			
9. Are personnel policies in writing?	<input checked="" type="checkbox"/>			
10. Are personnel files maintained for all employees?	<input checked="" type="checkbox"/>			
11. Do all supervisors and managers have at least a working knowledge of personnel policies and procedures?	<input checked="" type="checkbox"/>			
12. Does each supervisor and manager have a copy or access to a copy of personnel policies and procedures?	<input checked="" type="checkbox"/>			
13. Does management ensure compliance with the agency's personnel policies and procedures manual concerning hiring, training, promoting, and compensating employees?	<input checked="" type="checkbox"/>			
14. Are the following duties generally performed by different people?				
a. Processing personnel action forms?	<input checked="" type="checkbox"/>			
b. Supervising and timekeeping, payroll processing, disbursing, and making general ledger entries?	<input checked="" type="checkbox"/>			
c. Approve time reports?	<input checked="" type="checkbox"/>			
d. Payroll preparation?	<input checked="" type="checkbox"/>			
e. Recording the payroll in the general ledger and the payroll processing function?	<input checked="" type="checkbox"/>			
15. Is access to payroll/personnel files limited to authorized individuals?	<input checked="" type="checkbox"/>			
	Yes	No	N/A	Comments
16. Are procedures in place to ensure that all keys, equipment, credit cards, cell phones, pagers, etc. are returned by the terminating employee?	<input checked="" type="checkbox"/>			

17. Is information on employment applications verified and are references contacted?	<u>x</u>			
18. Are salaries paid at the approved rate in accordance with the county pay plan?	<u>x</u>			
19. Are salaries for all county DSS employees reported on the DSS-1571?	<u>x</u>			
20. Are fringe benefits claimed at the authorized rate?	<u>x</u>			
DAYSHEET TRAINING				
1. The agency provided Daysheet training for all appropriate staff during this past fiscal year. Provide the number of staff trained:	<u>x</u>			16 – child welfare and adult services depts
2. Are Daysheets maintained by all staff having direct client contact and perform client related activities?	<u>x</u>			
ACCOUNTING SYSTEM				
1. Bank accounts are reconciled monthly.	<u>x</u>			
2. Reimbursements and requests are reconciled at least monthly.	<u>x</u>			
3. Federal and state tax reports are filed in a timely manner.	<u>x</u>			
4. Government funds are deposited in separate bank account or recorded in a General Ledger revenue line and reconciled monthly?	<u>x</u>			
5. All financial reports are reconciled to accounting records.	<u>x</u>			
6. Actual expenditures and revenues are compared to budgeted amounts monthly and on a timely basis.	<u>x</u>			
7. Budget revisions are submitted and approved prior to implementation.	<u>x</u>			
8. Policies and procedures have been established to prevent charging federal or state funds for ineligible items (i.e. fines, penalties, interest, etc.).	<u>x</u>			
SPECIAL TESTS AND PROVISIONS				
1. Are compliance supplements reviewed annually by appropriate staff?	x			
2. Are the crosscutting requirements reviewed annually by appropriate staff?	x			
PERIOD OF AVAILABILITY OF FEDERAL FUNDS				
1. Does the accounting system prevent obligation or expenditure of State or Federal funds outside the availability period?	x			
2. Is staff knowledgeable of funding cut-off dates?	x			

	Yes	No	N/A	Comments
3. Are un-liquidated commitments cancelled at the end of the period of availability?	x			
PROGRAM INCOME				
1. Are collection policies and procedures clearly documented and communicated to personnel responsible for program income?	x			
2. Are policies and procedures in place to ensure program income is deposited in the bank daily and reported as collected monthly?	x			
3. Are there policies and procedures to provide for the correct use of program income as directed by State or Federal program requirements?	x			
4. Does the accounting system properly identify program income?	x			
5. Are there proper channels for communicating suspected improprieties in the collection or use of program income?	x			
6. Does management compare actual program income to budget and investigate differences?	x			
ELIGIBILITY				
1. Is there an up to date manual available to staff performing eligibility?	x			
2. Is staff performing eligibility functions adequately trained?	x			
3. Are client records periodically updated and reviewed to determine continued eligibility?	x			
MATCHING LEVEL OF EFFORT OR EARMARKING				
1. Is appropriate action taken when matching or level of effort requirements are not being met?	x			
2. Are matching level of effort requirements budgeted for state or federal assistance programs?	x			
3. Are "in-kind" contributions and volunteer services properly documented?	x			
SUBRECIPIENT MONITORING				
1. Is a master list maintained of all contracts?	x			
2. Is the master list of subrecipients/contracts updated as contracts are signed or terminated?	x			
3. Do contracts specify that subrecipients obtain an audit in accordance with the "Single Audit Act" (Either OMB A-128, A-110 or A-133)?	x			
4. Are findings identified in audit reports on subrecipients entered into a tracking system or otherwise identified for an audit resolution process?	x			
5. Are responses from subrecipients/Contractors indicating action to be taken on findings entered into a tracking system or otherwise identified for an audit resolution process?	x			
	Yes	No	N/A	Comments

6. Are audit findings identified in audit reports for subrecipients assigned to appropriate personnel to resolve the findings?	x			
7. Is the audit resolution process periodically reviewed to determine that audit findings have been resolved?	x			
8. Is the monitoring guide up-to-date and does it cover all aspects of the program which would not be included in the compliance audit of the program?	x			
9. Is staff adequately trained to monitor and evaluate the programs administered by the subrecipients/Contractors?	x			
10. Is a monitoring guide used?	x			
11. Does staff consider factors such as size of contract, prior finding, compliance audit findings, the size of the organization receiving the funds, and the experience of the organization in administering the program in selecting subrecipients for monitoring visits?	x			
12. Are all monitoring documentation – work papers, findings, and resolutions reviewed by appropriately designated staff?	x			
EQUIPMENT AND REAL PROPERTY MANAGEMENT				
1. Are fixed asset records maintained that adequately classify and identify individual items, as well as detailing their location?	<u>x</u>			
2. If there are any missing assets, is a missing asset form completed?	<u>x</u>			
3. Has management chosen and documented the threshold level for capitalization in an Internal Policy/Procedure Book?	x			
4. Does the individual responsible for fixed assets perform the following? a. Attach fixed asset tags? b. Track when assets are received? c. Track when assets are donated? d. Track when asset location changes are made? e. Track when assets are sold? f. Track when assets are stolen or vandalized? g. Track when assets are reassigned to a different department?	x			
5. Are all disposals of property approved by a designated person with proper authority?	x			
6. Is someone assigned custodial responsibility by location for all assets?	x			
7. Is access to the perpetual fixed asset records limited to authorized individuals?	x			
8. Is there adequate physical security surrounding the fixed asset items?	x			
9. Is there adequate insurance coverage of the fixed asset items?	x			

	Yes	No	N/A	Comments
10. Is Insurance coverage independently reviewed periodically?	x			
PROCUREMENT AND SUSPENSION AND DEBARMENT				
1. Is there established segregation of duties between employees responsible for contracting; accounts payable and cash disbursing?	x			
2. Is the contractor's performance included in the terms, conditions, and specifications of the contract monitored and documented?	x			
3. Do supervisors review procurement and contracting decisions for compliance with State and Federal procurement policies?	x			
4. Are procedures established to verify that vendors providing goods and services under the award have not been suspended or debarred by the State or Federal Government?	x			
5. Are written policies for procurement and contracts establishing: a. Contract files? b. Methods of procurement? c. Contractor rejection or selection? d. Basis of contract price? e. Verification of full and open competition? f. Requirements for cost or price analysis? g. Obtaining and reacting to suspension and debarment certifications? h. Other applicable requirements for Federal procurement? i. Conflict of interest?	x			
6. Is there written policy addressing suspension and debarments of contractors?	x			
7. Is there a system in place to assure that procurement documentation is retained for the time period required by the A-102 Common Rule, OMB Circular A-110, award agreements, contracts, program regulations, and Social Services Record Retention schedule?	x			
8. Are there proper channels for communicating suspected procurement and contracting improprieties?	x			
9. Does management perform periodic review of procurement and contracting activities to determine whether policies and procedures are being followed?	x			
	Yes	No	N/A	Comments

SALES/USE TAX					
1. Sales and Use Tax records are maintained on total purchases of tangible personal property for use on which North Carolina State or County Sales or Use Tax has been paid directly to retailers.	x				
2. Claims for refund of state and county sales and use taxes are filed on NC Form E-585 and submitted semi-annually to the NC Dept of Revenue.	x				
3. Agency fiscal records clearly document the amount of sales/use tax that is eligible for refund.	x				
SINGLE AUDIT					
1. The agency was audited by an objective public accounting firm this past fiscal year?	x				
2. Appropriate agency staff reviewed the findings of the previous year's audit as preparation for current year audit.	x				
3. The audit resolution process for audit findings is initiated in a timely manner.	x				
4. Responses are submitted to the NC Division of Social Services.	x				
5. A corrective action plan is developed for all audit findings, questioned costs and reportable conditions.	x				
6. The agency follows up with periodic monitoring of the implementation of the corrective action plan.	x				
7. All audit findings and questioned costs from previous years have been appropriately resolved.	x				
ADDITIONAL INFORMATION / EXAMINATIONS OF AGENCY					
1. Has the agency undergone any other examination, monitoring, or investigation (either by an external entity or by internal audit staff) during the past year? If yes, indicate the name of the review.	x			Child Support Monitoring Child Care Monitoring	
2. Has the agency undergone any reviews by the Division of Social Services in the past year? If yes, please indicate the name of the review.	x			Child Welfare Review Foster Care & Adoptions FNS Management Eval.	
		Yes	No	N/A	Comments
SECURITY ACCESS FOR INFORMATION SYSTEMS					

1. When an employee changes positions within the agency, system access for the prior position is revoked. This request must be completed via an updated electronic Information Resource Access Authorization Form (e-IRAAF).	x			
2. When an employee terminates employment for any reason, the Security Officer will request the CSC to terminate all accesses immediately. This request must be completed via an updated electronic information Resource Access Authorization Form (e-IRAAF)	x			
3. The Agency Security Officer will review and document findings on the following reports for assigned security information systems. This review must occur at least every six months starting in FY beginning July 2009. Documentation of findings shall be kept for audit purposes. Appendix 13 of the Security Manual must be completed and kept on file for audit purposes.	x			
<p>SYSTEM</p> <p>County Administration Reimbursement System (CARS) Crisis Intervention Program (CIP) Central Registry Eligibility Information System (EIS) Enterprise Program Integrity Control System (EPICS) Employment Programs Information System (EPIS) Foster Care and Adoptions Foster Care Facility Licensing System (FCFLS) Food Stamp Information System (FSIS)</p> <p>Low Income Energy Assistance Program (LIEAP) SCCRS Staff Security List – (Subsidized Child Care) Services Information System (SIS) TANF Data Collection System (TDC)</p>	<p>REPORT NAME</p> <p>NCXPTR: DHRWRA CARS USERS REPORT In the CIP system, under the Reports Section, click on the County Staff Listing and select your county. NCXPTR: DHRCYA CYA SECURITY REPORT NCXPTR: DHREJA SECURITY REPORT BY COUNTY NCXPTR: DHRFRD FRD440-1 ACTIVE USERS NCXPTR: DHRWFJ SECURITY-ACTIVE IDS NCXPTR: DHRPQA SECURITY TABLEREPORT NCXPTR: DHRFCF FCF FCF900-1 SECURITY REP NCXPTR: DHRSLA RACF SECURITY COUNTY REPORT & DHRSLA RACF SECURITY REFERENCE (if needed) NCXPTR: DHREPA LIEAP SECURITY REPORT NCXPTR: DHRGHB SCC STAFF SECURITY LIST NCXPTR: DHRSYA SYA SECURITY REPORT NCXPTR: DHRWRA TDC SECURITY RPT</p>			
4. The Agency Security Officer will review and document findings on the following two reports: DHRBDA DHHS RACF USERID REPORT, available in NCXPTR; and the WIRM REPORT PROD report, available via the WIRM portal (https://wirm.dhhs.state.nc.us). The “Local DSS System Access Control” form must be emailed to DSS.Security.Review.MANAGER@dhhs.nc.gov to document findings of these reviews. The reviews must be conducted monthly and documentation must be emailed to the Performance Management Section (at the email address above) by the 20 th of each month, unless an alternative schedule is specified by the DHHS Privacy and Security Office and the Performance Management Section.	x			
Management & Key Staff – Answers are to be based on time the position has been		3 or more Years	2 Years	1 Year or less

held with the agency – not years of experience.			
1. Director	x		
2. Fiscal Officer		x	
In the below fields list All management positions and program area(s) of responsibility. (Administrator, Manager, Supervisor). Insert additional fields if needed.			
3. Adult services Supervisor		x	
4. FNS Supervisor		x	
5. Medicaid Supervisor			x
6. Child Support and Day Care Supervisor	x		
7. Child Welfare Supervisor		x	
8.			
9.			
Staffing – Indicate by program the number new employees to the agency for the past 12 months. Responses are either a new position or a new employee.		New Position(s)	New Employee(s)
1. Fiscal			
2. Adult Services			1
3. Child Welfare & Child Protective Services	1		4
4. Economic Independence & Benefits (FNS, MA, WF)			3
5. Daycare			
6. Child Support			
7. Administrative / Clerical Support			1

CERTIFICATION

I hereby certify that the information presented in this self-assessment of internal controls and risk is true, accurate, and complete, to the best of my knowledge.

Greene County Department of Social Services

Agency Name

Signature, Agency Director (REQUIRED)

Date