Please complete the following survey.

Choose the answer that best represents your department or area.

Department:

To what degree does the department's operations impact the public?

- Failures are isolated and limited to a small number of internal personnel.
- Systematic failure impacts a specific public group or individuals.
- Systematic failure impacts a broad spectrum of the public.

Do you have any departmental supplies and materials inventory (not fixed assets or equipment) or sensitive/specialized items such as controlled substances, hazardous waste, dangerous chemicals, or weapons?

- Inventories are valued at high dollar amounts or department has custody of significant sensitive/specialized items.
- Inventories are at relatively moderate dollar amounts or department has no or very limited sensitive/specialized items.
- Inventories are valued at low dollar amounts and do not include sensitive/specialized items.

To what extent does the health and/or safety of the residents of Sioux Falls depend upon the operation of your department?

- Department operations are critical.
- Department operations have moderate impact.
- Department operations have no or minimal impact.

Do you routinely have communication with outside parties such as elected officials, news media, citizen groups, or agency (federal/state) personnel that influence your department?

- Outside parties have shown major interest in the area.
- Outside parties have shown moderate interest in the area.
- Outside parties have shown little interest in the area.

Degree of confidentiality within department:

- - Information produced or safeguarded by the department requires protection against unauthorized or premature disclosure. Such disclosure could result in violation of the law, serious financial loss or embarrassment, or could adversely affect the department, the City, or the subject of the information.
- - Information produced by the department is available to designated employees in connection with their jobs. Release to the public or to an unauthorized entity could result in minor financial loss or moderate embarrassment or violation of an individual's privacy.
- - Information produced by the department is not confidential and is generally available to the public, the release of which would not result in any violation of the law, potential loss, or embarrassment to the City.

How critical are the department's service times?

- Criticalness of service times have little to no impact on department success.
- Criticalness of service times have moderate impact on department success.
- Criticalness of service times have a severe impact on department success.

Have there been any significant changes in staff size, funding, functions, and/or responsibilities of the department which might create problems or challenges?

- Continuous and large-scale changes have been made to the department during the last three years.
- Funding, staffing, and/or responsibilities have changed moderately during the last three years.
- Minor or insignificant changes have occurred during the last three years.

Regarding management or employment turnover in your department during the past three years:

- There has been major turnover in key management or staff.
- There has been moderate turnover in key management or staff.
- There has been no or almost no turnover in key management of staff.

What level of impact does technology have on your department?

- The technology has changed or been replaced and/or technology affects nearly all aspects of this department.
- Some changes have been made to the technology and/or technology significantly affects this department.
- There have been no new or very minor technology changes during the last 12 months and/or technology has little impact on this department.

Are assignments or transactions managed by your department inherently complex? Do assignments or transactions require a significant amount of time or number of steps to complete? Are work tasks difficult, requiring a high degree of interpersonal coordination and/or extensive training?

- Almost all assignments or transactions require several persons or steps, may be very time-consuming, or require extensive training.
- Most assignments or transactions require several persons or steps, are somewhat time-consuming, or require moderate training.
- Most of the department/area's operations are relatively routine and not especially complex or require minimal training.

When was the last time that your department was reviewed by either internal audit or external auditors (Eide Bailly) as part of the financial statement audit or single audit?

- Last review by either internal or external auditors was completed over five years ago or there has been no review by internal or external auditors.
- Last review by internal or external auditors was conducted within the past three to five years.
- Reviewed by either internal or external auditors within the last two years.

To what extent does your department handle currency, checks, and credit card payments?

- The handling of currency, checks, and credit card payments is a significant part of the department's responsibilities.
- The handling of currency, checks, and credit card payments is a limited activity.
- There is no or very limited (petty cash) handling of currency, checks, and credit card payments.

To what degree do unanticipated events (COVID) have an effect on the department?

- Unanticipated events have little to no effect on department processes.
- Unanticipated events have some effect on department processes.
- Unanticipated events have an extensive effect on department processes.

How many new processes have been implemented in the department?

- No new processes have been implemented in the department recently.
- A few simple to moderate processes have been implemented in the department recently.
- A large number of complex processes have been implemented in the department recently.

How easily can management of this department supersede the policies established or override internal controls?

- Capability to override the majority or all of the controls without detection.
- Capability to override some controls with slight chance of detection.
- Complete or almost complete inability to override controls.

What is the department's average transaction time? Please explain.

- Business transactions typically take a long time, up to a month or longer.
- Business transactions are completed in about a week's time.
- Business transactions are completed very quickly, sometimes instantaneously.

In regard to departmental written policies and detailed procedures to support the policies, indicate whether:

- Policies have been in place for over three years with no major changes made. Written procedures which support the policies are in place.
- Policies are in place; however, employees are not always familiar with the policies and procedures and adherence to procedures is not always enforced.
- No or few written policies are in place.

What is the status of training in your department?

- Very little training is being provided and the adequacy of the training could be more effective.
- Some training is being provided to applicable employees; however, additional training would be useful.
- Essential training is provided at least annually to all applicable employees and there are discussions with employees to confirm that training is adequate.

How effective is the IT system and applications the department uses?

- Applications have significant tools in place to keep mistakes or fraud from happening.
- Applications have some tools in place to keep mistakes or fraud from happening, but they could use more.
- Applications have little to no tools in place to keep mistakes or fraud from happening.

What is the status of the department's internal controls and separation of duties?

- Multiple strong internal controls are in place to mitigate any potential risks. Significant separation of duties exist between processes.
- A few relatively strong internal controls are in place to mitigate any potential risks. Some separation of duties exist between processes, but overlap can occur.
- Little to no internal controls are in place to mitigate any potential risks. No separation of duties exist between processes; the same employee can perform multiple steps.

To what extent is your department/area governed or impacted by federal or state regulations?

- Department is heavily regulated by federal or state regulations.
- Department is moderately affected by federal or state regulations.
- Department is not affected or minimally affected by federal or state regulations.

What is your perceived level of financial or service risk should your operation experience a significant business interruption? Please provide an explanation.

- Little to no financial or service risk.
- A relatively moderate amount of financial or service risk.
- A significant amount of financial or service risk.

What are your ideas or suggestions for audits? (FREE RESPONSE

Examples would be software, program efficiencies, operations, or contracts.

Do you have any requests for consulting work, assistance, or other nonaudit work? (FREE RESPONSE)

This would not be a formal audit but could be agreed-upon procedures or independent analysis or review of possible changes in controls. It could be training in internal controls or fraud awareness provided by Internal Audit to your team members and/or training in how to prepare for an audit. confirm close

Are there any additional risks you would say that City government is facing now that isn't covered in this survey? (FREE RESPONSE)