OPERATIONAL RISK ASSESSMENT

UTAH DEPARTMENT OF HEALTH
Baby Watch Early Intervention
Birth to Three Development

Program: _____ SFY: _____	Y/N	DATE	Source of Information	Y/N	UPDATE	Source of Information
Systems and Processes						
Current program policies						
Current/updated program processes & procedures: Checklists/manual						
Mission Statement aligns with BWEIP						
Internal generalized supervision system: compliance/monitoring/QA						
Perform annual program self-assessment						
Engage in continuous program improvement planning						
Current strategic plan or program-specific goals						
Program established $\geq$5 years						
Currently operating $\leq$ 2 early childhood programs						
$\geq$3 years, CAP or PIP						
Progress w/ QAP						
$\geq$1 year, loss or changes in key personnel						
$\geq$3 years, established new activities or services						
$\geq$3 years, experienced rapid growth						
$\geq$3 years, underwent organizational restructuring						
Unrestricted hours of operation/flexible scheduling						
Meets all regulatory or contractual obligations						
Access to technology						

External Events

Single federal or state grant							
Public funding only							
Appropriate salaries and incentives							
Physical assets accounted for and in good repair							
No legal action							
Upstanding reputation							
Administrator participation w/ ICC							
Public relations/outreach activities							
Cooperate and/or coordinate w/ BWEIP, Govt., & local Part C programs							

People

Administrative succession planning							
Updated job descriptions							
Local professional development opportunities							
Annual employee performance appraisals							
≤10% employee turnover							
Communication systems: internal/external							
Staff competencies							
Program compensation package (benefits)							
Safe environment							
Leadership development opportunities							

Organizational structure w/ defined lines of authority/responsibility								
Collaborative and transparent leadership								
Non-Profit board members term limits								
Executive level performance appraisals								
Board member conflicts of interest policy and disclosure form								
Board member diversity								
Board member recruitment								
Customer satisfaction								

Level of Risk

Systems and Processes	Low Risk	Medium Risk	High Risk
External Events	Low Risk	Medium Risk	High Risk
People	Low Risk	Medium Risk	High Risk

Risk Assessment Rating:	**Comments:**