

Appendix A

EXAMPLES OF RISK EVALUATION

RISK ASSESSMENT FORM

AGENCY INFORMATION SUMMARY

Subrecipient Name _____
 Federal ID# _____
 Street Address _____
 City, State, Zip _____
 Telephone Number _____
 Contact Person _____

List Each State Department That the Agency contracts with, Type Program(s), Contract Amount:

<u>State Agency</u>	<u>Program</u>	<u>Grant/Contract Amount</u>

RESULT OF RISK ASSESSMENT

Evaluation Score Key:		TOTAL OVERALL SCORE _____
Low Risk	= < 25	(From Page 2)
Moderate Risk	= 26 - 34	
High Risk	= 35 - 48	

RISK ASSESSMENT

High _____
 Medium _____
 Low _____

Type of Review to Be Conducted: Fiscal Program _____ Both _____
 No Review _____

Risk Assessment Performed by: _____

Date _____

RISK ASSESSMENT FORM

Size of staff for period being monitored:

Small (1-6) = 1
 Moderate (7-12) = 2
 Large (13 or more) = 3

TOTAL

Staff qualifications for funded programs:

Trained staff in key positions with one or more years experience = 2
 At least half of staff trained in key positions and some experience. = 4
 Staff in key positions have little or no training or experience. = 6

TOTAL

Staff turnover:

No change in key positions = 2
 Either new or no staff in 1 or more key positions = 4
 Either new or no agency administrator or fiscal officer = 6

TOTAL

Program:

Agency has met program objectives outlined in contract/funding agreement = 2
 First year of funding for program (no basis for evaluation) = 4
 Program compliance history of past 2yrs include weakness in fulfilling objectives. = 6

TOTAL

Fiscal:

No significant audit findings for past 2 years = 2
 Minor audit findings with pending corrective actions = 4
 Significant audit findings w/in past 2yrs or audit findings not resolved. = 6

TOTAL

Reporting:

Program and fiscal reports are almost always submitted timely and accurately. = 2
 Routine reports are frequently late and contain errors. = 4
 Routine report are not submitted or contain significant discrepancies. = 6

TOTAL

Complexity of Funding:

Funding is relatively simple in terms of allowable expenditures = 2
 Funding is moderately complex in terms of allowable expenditures (i.e. IV-B) = 4
 Funding is very complex in terms of allowable expenditures (i.e.TANF, IV-E) = 6

TOTAL

Amount of Funding to Provider:

Less than \$25,000 = 2
 \$25,000 - \$299,999 = 4
 \$300,000 or more = 6

TOTAL

Self Assessment:

Self assessment shows few or no internal control weaknesses = 1
 Self assessment shows several internal control weaknesses = 2
 Self assessment shows major internal control weaknesses = 3

TOTAL

TOTAL OVERALL SCORE: