

## RISK ASSESSMENT FORM FISCAL AND PROGRAM MONITORING

Grantee Name \_\_\_\_\_

Address \_\_\_\_\_

Contact Person: \_\_\_\_\_ Position: \_\_\_\_\_

Phone ( ) \_\_\_\_\_ Email: \_\_\_\_\_

Risk Assessment Performed by: \_\_\_\_\_ Date: \_\_\_\_\_

List Each State or Federal Agency that this Agency Contracts with, Type Program(s), And The Contract Amount :

State or Federal Agency	Program Activity	Grant/Contract Amount

### RISK CATEGORIES

### SCORE

1. AMOUNT OF CONTRACT

- |                           |     |
|---------------------------|-----|
| < \$25,000                | = 1 |
| >\$25,000 AND <\$100,000  | = 2 |
| >\$100,000 AND <\$200,000 | = 3 |
| >\$200,000 AND <\$300,000 | = 4 |
| >\$300,000                | = 5 |

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2. MONITORING JUDGMENT RISK

- |   |     |
|---|-----|
| • Little concern; review on request or monitor's discretion | = 1 |
| • Low concern; review every 5 years                         | = 2 |
| • Moderate concern; review every 3-4 years                  | = 3 |
| • Fairly high concern; review every 2 years                 | = 4 |
| • High audit concern; review annually                       | = 5 |

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3. INTERNAL CONTROLS

- Very insignificant weaknesses = 1
  - Minor weaknesses = 2
  - Average or no prior audit = 3
  - Some weaknesses = 4
  - Many weaknesses = 5
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4. RESULTS OF PRIOR AUDIT

- No significant findings = 1
  - Some minor findings = 2
  - Moderate findings or no prior audit = 3
  - Some significant findings = 4
  - Many significant findings = 5
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5. RESULTS OF PRIOR MONITORING OR OTHER SITE VISITS

- No significant findings = 1
  - Some minor findings = 2
  - Moderate findings = 3
  - Some significant findings = 4
  - Many significant findings = 5
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6. NUMBER OF SITES BEING MONITORED

- Single = 1
  - 2- 4 = 2
  - 5 = 3
  - 6-7 = 4
  - 8 and over = 5
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7. IMPACT OF AMERICORPS FUNDING ON OVERALL BUDGET

- Very little or no impact (less than 10%) = 1
  - Little impact (11-24%) = 2
  - Moderate impact (25-49%) = 3
  - High impact (50-75%) = 4
  - Very high impact (75% or more) = 5
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8. TOTAL NUMBER OF STAFF WITHIN AGENCY

- Very small (1 - 4) = 1
  - Small (5-8) = 2
  - Moderate (8-10) = 3
  - Large (11- 15) = 4
  - Very large (15 and over) = 5
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9. TOTAL NUMBER OF STAFF WORKING WITH AMERICORPS GRANT
- Very small (>1 ) = 1
  - Small (1) = 2
  - Moderate (2-3) = 3
  - Large (4-6) = 4
  - Very large (7 and over) = 5
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10. MANAGEMENT INPUT/CONCERN
- Very little = 1
  - Some = 2
  - Moderate = 3
  - Much = 4
  - High = 5
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11. COMPLEXITY OF PROGRAM (NUMBER OF MEMBERS, SITES, TYPE OF SERVICE, EXPERINCE WITH TYPE OF ACTIVITY)
- Zero or small indication of risk = 1
  - Some indication of risk = 2
  - Moderate indication of risk = 3
  - Large indication of risk = 4
  - Very large indication of risk = 5
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12. EXPERIENCE MANAGING FEDERAL FUNDS
- Over ten years experience = 1
  - Five to ten years experience = 2
  - Two to five years experience = 3
  - Less than two years experience = 4
  - Completely new = 5
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For 13 add one for each of the items that are applicable.

13. CHANGES IN THE ORGANIZATION
- Change in accounting/computer system = 1
  - Change in business conditions or economic trends = 1
  - Change in Internal controls = 1
  - Change in financial staff = 1
  - Change in one or more service sites = 1
  - Change in program staff = 1
  - Rapid growth of organization (staff size or funding) = 1
  - More than 10% increase in number of members = 1
  - Reorganizations, restructuring or downsizing = 1
  - Major changes in policy or procedures = 1
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TOTAL RISK SCORE \_\_\_\_\_

INSTRUCTIONS

1. Determine the Assessed Risk based on the following guidelines:

Score	Risk Level
15 or Less	Very Low
16 to 25	Low
26 to 40	Medium
41 to 50	High
Over 51	Very High

<u>RESULT OF RISK ASSESSMENT</u>	
Assessed Risk Measure: <b>(See last page for instructions.)</b>	
High	= _____
Medium	= _____
Low	= _____
Type Review To Be Conducted:	<input type="checkbox"/> Fiscal <input type="checkbox"/> Program <input type="checkbox"/> Both <input type="checkbox"/> No Review

2.