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:

<table>
<thead>
<tr>
<th>State or Federal Agency</th>
<th>Program Activity</th>
<th>Grant/Contract Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

RISK CATEGORIES

1. AMOUNT OF CONTRACT

<table>
<thead>
<tr>
<th>Amount</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt; $25,000</td>
<td>1</td>
</tr>
<tr>
<td>&gt;$25,000 AND &lt;$100,000</td>
<td>2</td>
</tr>
<tr>
<td>&gt;$100,000 AND &lt;$200,000</td>
<td>3</td>
</tr>
<tr>
<td>&gt;$200,000 AND &lt;$300,000</td>
<td>4</td>
</tr>
<tr>
<td>&gt;$300,000</td>
<td>5</td>
</tr>
</tbody>
</table>

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

SCORE
3. INTERNAL CONTROLS
- Very insignificant weaknesses = 1
- Minor weaknesses = 2
- Average or no prior audit = 3
- Some weaknesses = 4
- Many weaknesses = 5

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

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

6. NUMBER OF SITES BEING MONITORED
- Single = 1
- 2-4 = 2
- 5 = 3
- 6-7 = 4
- 8 and over = 5

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

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
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

10. MANAGEMENT INPUT/CONCERN
- Very little = 1
- Some = 2
- Moderate = 3
- Much = 4
- High = 5

11. COMPLEXITY OF PROGRAM (NUMBER OF MEMBERS, SITES, TYPE OF SERVICE, EXPERIENCE 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

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

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
TOTAL RISK SCORE

INSTRUCTIONS

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

<table>
<thead>
<tr>
<th>Score</th>
<th>Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>15 or Less</td>
<td>Very Low</td>
</tr>
<tr>
<td>16 to 25</td>
<td>Low</td>
</tr>
<tr>
<td>26 to 40</td>
<td>Medium</td>
</tr>
<tr>
<td>41 to 50</td>
<td>High</td>
</tr>
<tr>
<td>Over 51</td>
<td>Very High</td>
</tr>
</tbody>
</table>

RESULT OF RISK ASSESSMENT

<table>
<thead>
<tr>
<th>Assessed Risk Measure: (See last page for instructions.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>High = ___</td>
</tr>
<tr>
<td>Medium = ___</td>
</tr>
<tr>
<td>Low = ___</td>
</tr>
<tr>
<td>Type Review To Be Conducted: ☐ Fiscal ☐ Program ☐ Both ☐ No Review</td>
</tr>
</tbody>
</table>

2.