

Appendix A

EXAMPLES OF RISK EVALUATION

Risk Evaluation Matrix (Division of Social Services)

Subrecipient Name: _____ Date Completed: _____

Criteria	Risk Level						
	Low Risk		Medium Risk		High Risk		Score
	Description	Rank	Description	Rank	Description	Rank	

1. Staffing:

Staff Qualifications	Staff in key positions are professionally trained and have one or more years experience in that position.	1	At least half of staff in key positions are professionally trained for the position they hold and have some experience	2	Staff in key positions have little or no experience or training in program area being funded.	3	
Staff Turnover	No change in staff in key positions.	1	Either new or no staff in 1 or more key positions.	2	Either new or no agency administrator and/or fiscal officer.	3	

2. History of Meeting Requirements:

Program	Agency has provided services and met program objectives specified in contract/funding agreement for past 2 years or more.	2	First year of funding for program (no basis for evaluation)	4	Program compliance history of the past 2 years includes weaknesses in service delivery/program objectives.	6	
Fiscal	No significant audit findings for the past 2 years.	2	Minor audit findings with pending corrective actions.	4	Significant audit findings within past 2 years or audit findings not addressed and resolved in timely manner.	6	
Reporting	Program and fiscal reports are almost always submitted in timely and accurate manner.	2	Routine reports are frequently late and contain some errors.	4	Routine reports reflect significant discrepancies or omissions.	6	

3. Complexity of Funding:

Funds awarded	Funding is relatively simple in terms of allowable expenditures and documentation required.	2	Funding is moderately complex in terms of allowable expenditures and documentation required.	4	Funding is very complex in terms of allowable expenditures and documentation required.	6	
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4. Amount of Funding:

Amount	Less than \$25,000	2	\$25,000-\$299,999	4	\$300,000 and over	6	
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5. 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	
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Evaluation Score Key: Low Risk = 13 - 20 Medium Risk = 21 - 30 High Risk = 31 - 39

Total Evaluation Score:

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Completed by: _____ Date: _____