

RISK ASSESSMENT SCORE CARD

Once column B is completed STA staff will calculate the risk assessment

Organization Name: _____

I. GENERAL ASSESMENT

Complete this section using the score in column C that corresponds to answer

1. Organization Experience with Similar Project(s):

Response (X)

5 + years		1	
3-5 years		3	
0-3 years		5	

Comments: If applicable, were the projects completed on time and within budget?

2. Organization experience with State or Federal Funds:

5 + years		1	
3-5 years		3	
0-3 years		5	

Comments:

3. Organization experience with FTA Grant program(s):

5 + years		1	
3-5 years		3	
0-3 years		5	

Comments:

4. Management or staff turnover or reorganization that affects this program:

No turnover or reorganization		1	
Little turnover or reorganization		3	
Significant turnover or reorganization		5	

Comments:

5. Average experience of project staff and management in the current position:

5+ years		1	
2-5 years		3	
Less than 2 years		5	

Comments:

6. Experience of staff and management with the FTA program(s):

5+ years		1	
2-5 years		3	
Less than 2 years		5	

Comments: Please list specific experience.

7. Familiarity with the program:

Have managed/conducted many similar programs in the past (5+ years' experience)		1	
Have managed/conducted a few similar programs		3	
Have minimal or no experience with this type of program		5	

Comments:

8. Effective written procedures and controls for this program:

Accounting Policy/Cash Management (2 CFR 200.302):			
Internal Controls (2 CFR 200.303):			
Travel Policy (2 CFR 200.474):			
Procurement Policy (2 CFR 200.318):			
Compensation (2 CFR 200.430):			
Conflict of Interest Policy (2 CFR 200.112):			
Equipment and Inventory Records (2 CFR 200.313):			
Formal/written and distributed to employees		1	
Informal policies and controls		3	
No policies or controls		5	

Comments: please attach written procedures.

III. LEGAL ASSESSMENT

1. Does the organization have or previously had any suit(s) filed against them within the last 5 years? (such as EEO, DBE, contractor suing for payment)

No previous or current suits		1	
Has previously had a lawsuit		3	
Has a lawsuit		5	

Comments: Please provide an explanation of each historical and/or active suit, the finding(s) of the suit, and the prevailing party(ies).

2. Organization staff that have been arrested, convicted of a felony or are currently under criminal investigation:

No staff arrested, convicted or currently under criminal investigation		1	
Has staff that has been arrested, convicted or is currently under criminal investigation		5	

Comments:

3. Does the organization have any violations of Federal criminal law involving fraud, bribery or gratuity violations potentially affecting the Federal award?

No		1	
Yes		5	

Comments: If yes, provide supporting documentation.

IV. MONITORING/AUDIT ASSESSMENT

1. Past Audit findings from the A-133 Audit or any Internal Audits:

No material findings		1	
Some findings, not material		3	
Has material findings		5	

Comments: If applicable, please discuss how corrective actions were handled for finding(s). Include timeline taken to get findings closed.

2. Have there been any previous audit findings (i.e. other comprehensive audit, Internal Audit)?

No material findings		1	
Some findings, not material		3	
Has material findings		5	

Comments:

3. When was the last on-site monitoring visit?

NA or Less than two years has passed since on-site visit		1	
Two years have passed since on-site visit		3	
More than two years have passed since on-site visit		5	

Comments: Provide the year of visit and provide details about the funding agency and project. List specific findings for each visit and provide details on how the findings were resolved.

V. FINANCIAL SYSTEMS ASSESSMENT

1. Does the organization have a financial management system in place to track and record program expenditures (Examples: QuickBooks, Visual Bookkeeper, Peachtree, or a Customer Proprietary System)?

Yes, has financial management system in place		1	
No financial management system in place		5	

Comments: Please list the system used and length of time in use.

2. Does the accounting system identify the receipts and expenditures of program funds separately for each award?

Accounting system identifies receipts and expenditures of program funds separately for each award		1	
Accounting system identifies receipts and expenditures of program funds but does not separate for each award		3	
Accounting system does not identify receipts and expenditures of program funds		5	

Comments:

3. Does the organization have a time and accounting system to track time and expenditures by budget category?

Yes, Organization has a time and accounting system to track time and expenditures by cost objective		1	
Organization has a time and accounting system but does not track time and expenditures by cost objective		3	
Organization does not have a time and accounting system to track time and expenditures		5	

Comments:

4. Does the organization maintain appropriate internal controls? (Reconciliation checks and balances are in place, duties are segregated, the final approval for payment is made by a different individual than the check/warrant signer)

Yes		1	
No		5	

Comments:

V. CAPITAL ASSET TRACKING

1. Has the organization leased any FTA funded equipment to private operators, other public entities, or non-profit organizations?

No		1	
Yes, with prior written approval from FTA		3	
Yes, without prior written approval from FTA		5	

2. Explain the organization's control system to prevent and investigate loss, damage, or theft of property.

Comments: If applicable, please attach written policy

Risk Level

Highest Risk

Moderate Risk

Lowest Risk

Range

72-105

36-71

0-35

Action

Annual Site-Visit/Inspections, Quarterly Desk

Detailed Backup Documentation, Quarterly Desk

Regular monitoring requirements