**Risk Assessment Rubric**

The purpose of the risk assessment rubric is to help standardize the score given to a potential grantee on risk assessment questions. The risk assessment rubric is comprised of reasons varying scores were given to an entity, to help the scorer best determine the points to issue. Please use this rubric as a reference when scoring the Organizational Risk Assessment or Project Risk Assessment.

**Organization Risk Assessment**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Accounting System** | | **Automated** | **Manual** | **Combination** | **Points** |
| Rank the organization based on the type of accounting system they use |  | 0 | 20 | 0 |  |
| **Reasoning** | | | | | **Points** |
|  |  | | | |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Does the organization have an accounting system that will allow them to completely and accurately track the receipt and disbursements of funds related to the award? | **Yes** | **No** | **Points** |
| 0 | 10 |  |
| **Reasoning** | | | **Points** |
|  |  | |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Organization Risk** |  | | **YES** | **NO** | **Points** |
| Is the organization receiving an award for the first time? | | | 25 | 0 |  |
| **Reasoning** | | | | | **Points** |
|  | |  | | |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **YES** | **NO** | **Points** |
| If no, has it been more than 5 years since the organization has been a recipient of an award? | 10 | 0 |  |
| **Reasoning** | | | **Points** |
|  |  | |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **YES** | **NO** | **Points** |
| Has this organization ever had an award that was terminated due to non-compliance with terms and conditions? | 70 | 0 |  |
| **Reasoning** | | | **Points** |
|  |  | |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **YES** | **NO** | **Points** |
| Does the organization have procurement and internal control policies including fraud prevention and procedures for assuring compliance with the terms of the award? | 0 | 30 |  |
| **Reasoning** | | | **Points** |
|  |  | |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **YES** | **NO** | **Points** |
| Did the organization have one or more audit findings in their last single audit regarding program non-compliance? | 30 | 0 |  |
| **Reasoning** | | | **Points** |
|  |  | |  |

|  |  |  |  |
| --- | --- | --- | --- |
|  | **YES** | **NO** | **Points** |
| Did the organization have one or more audit findings from their last single audit regarding significant internal control deficiency? | 20 | 0 |  |
| **Reasoning** | | | **Points** |
|  |  | |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Other issues that may indicate high risk of non-compliance? Explain: | | | **Points** |
| Point value should be based on evaluator’s judgement |  | |  |
| **Reasoning** | | | **Points** |
|  | |  |  |

**Project Risk Assessment**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Amount** |  |  | **Medium** | |  | **Points** |
| **Small** | **$25,000** | | **Large** | **Awarded** |
| **<$25,000** | **$250,000** | | **>$250,000** |  |
| Rank the organization based on the amount of the award |  | 0 | 10 | | 20 |  |
| **Reasoning** | | | | | | **Points** |
|  | | | |  | |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Organization Risk** |  | **YES** | | **NO** | **Points** |
| Is there documentation of previous issues in working with this organization over the past five years? | | 10 | | 0 |  |
| **Reasoning** | | | | | **Points** |
|  | | |  | |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Program Complexity** | | | **Not Complex** | | **Slightly Complex** | | **Moderately Complex** | | | **Highly Complex** | | | **Points** |
| Rank the complexity of the program | | | 0 | | 10 | | 20 | | | 30 | | |  |
| Programs with complex compliance requirements have a higher risk of non-compliance. In your determination of complexity consider whether the program has complex grant requirements. Following are some examples of reasons a program would be considered more complex: | | | | | | | | | | | | | |
| ►   Matching funds or Maintenance of Effort are required ►   Various types of program reports are required | | | | | | | | | | | | | |
| ►   Program has complex requirements and/or must adhere to regulations ►   The organization further subcontracts out the program | | | | | | | | | | | | | |
|  |  |  |  |  |  |  |  |  | |  |  | |  |
| **Reasoning** | | | | | | | | | | | | **Points** | |
|  | | | | | | | | |  | | |  | |

|  |  |  |  |
| --- | --- | --- | --- |
| Other issues that may indicate high risk of non-compliance? Explain: | | | **Points** |
| Point value should be based on evaluator’s judgement |  | |  |
| **Reasoning** | | | **Points** |
|  | |  |  |