



## RISK ASSESSMENT QUESTIONNAIRE

Agency: \_\_\_\_\_

I. General Assessment		
<b>1. Subrecipient experience with State or Federal Funds:</b>		
	Risk Factor	Your Score
5+ years	1	
3-5 years	3	
0-3 years	5	
<b>Comments:</b>		
<b>2. Subrecipient experience with specific Grant program:</b>		
	Risk Factor	Your Score
5+ years	1	
3-5 years	3	
0-3 years	5	
<b>Comments:</b>		
<b>3. Management or staff turnover or reorganization that affects this program:</b>		
	Risk Factor	Your Score
No turnover or reorganization	1	
Little turnover or reorganization	3	
Significant turnover or reorganization	5	
<b>Comments:</b>		
<b>4. Experience of staff and management assigned to the program:</b>		
	Risk Factor	Your Score
5+ years/funding cycles	1	
2-5 years/funding cycles	3	
Less than 2 years/funding cycles	5	
<b>Comments:</b>		

5. How do you think TDOT will rate subrecipient timeliness in document submission?		
a) Applications		
b) Amendments		
c) Fiscal or Financial Reporting		
d) Budgets/Revisions		
e) Close-out		
f) Single Audits and corrective action plans (if applicable)		
	Risk Factor	Your Score
On time submission of all documents	1	
Rarely late or sometimes late on some documents	3	
Consistently late on some or all documents	5	
<b>Comments:</b>		
6. How do you think TDOT will rate subrecipient timely response to program/fiscal questions:		
	Risk Factor	Your Score
Always timely in response	1	
Sometimes late in response	3	
Consistently late in response	5	
<b>Comments:</b>		
7. Complexity of the business environment or program funding/matching requirements:		
	Risk Factor	Your Score
Simple program requirements and operations environment	1	
Moderately complex program requirements and operations environment	3	
Complex operations environment and program requirements	5	
<b>Comments (describe reasoning for selection):</b>		
8. Effective written procedures and controls for this program:		
	Risk Factor	Your Score
Formal/Written and Distributed to Employees	1	
Informal Policies and Controls	3	
No Policies or Controls	5	
<b>Comments:</b>		

## II. Overall Fiscal Assessment

### 1. Variations between program expenditures and budget:

	Risk Factor	Your Score
No variations	1	
Small variations	3	
Large and frequent variations	5	

**Comments:**

### 2. Subrecipient amount of program budget carryover:

	Risk Factor	Your Score
No carryover	1	
Small amount of carryover	3	
Large amount of carryover	5	

**Comments:**

### 3. Difficulty meeting matching requirements:

	Risk Factor	Your Score
Always meets matching requirements (No difficulty)	1	
Meets matching requirements most of the time (Some difficulty)	3	
Consistently has difficulty meeting matching requirements	5	

**Comments:**

### III. Legal Assessment

**1. Does the subrecipient have materially significant lawsuit(s) filed against them? (Obtain all necessary documentation if answer is yes)**

	Risk Factor	Your Score
No previous or current lawsuits	1	
Has previously had a lawsuit	3	
Has a lawsuit	5	

**Comments:**

**2. Does the subrecipient have any EEO complaints filed against them? (Please provide TDOT Multimodal with contextual details, if not already reported)**

	Risk Factor	Your Score
No previous or current EEO complaints	1	
Has previously had one or more EEO complaints	3	
Has one or more outstanding EEO complaints	5	

**Comments:**

**3. Since the last risk assessment, does the subrecipient have staff that have been jailed, convicted of a felony or are currently under criminal investigation?**

	Risk Factor	Your Score
No staff jailed, convicted or currently under criminal investigation	1	
Has staff that has been jailed, convicted or is currently under criminal investigation	5	

**Comments:**

### IV. Monitoring/Audit Assessment

**1. Have there been past Audit findings from the Single Audit (as established in 2 CFR 200 Subpart F)? (list findings status in comments)**

	Risk Factor	Your Score
No material findings	1	
Some findings, not material	3	
Has material findings	5	

**Comments:**

**2. Have there been any previous audit findings from other audit reports (e.g., a financial audit that is not a Single Audit, Internal Audit Reports, or other comprehensive audits)? (list reports and findings status in comments)**

	Risk Factor	Your Score
No material findings	1	
Some findings, not material	3	
Has material findings	5	
<b>Comments:</b>		

**3. Has the subrecipient been debarred or suspended? If so, when?**

	Risk Factor	Your Score
Never debarred or suspended	1	
Has been debarred or suspended	5	
<b>Comments:</b>		

**4. Corrective Action Plans (CAP) and Resolution (Obtain copy)**

	Risk Factor	Your Score
No CAPs past or current	1	
Has had CAPs but been resolved on time	3	
Has CAPs and not resolved on time	5	
<b>Comments:</b>		

**5. On-site monitoring visits:**

	Risk Factor	Your Score
Less than one funding cycle has passed since on-site visit	1	
Less than three funding cycles have passed since on-site visit	3	
More than three funding cycles have passed since on-site visit	5	
<b>Comments:</b>		

## V. Financial Systems Assessment

**1. Does the subrecipient have a financial management system in place to track and record program expenditures? (please tell us what system(s) in the comment section)**

	Risk Factor	Your Score
Yes, has financial management system in place	1	
No financial management system in place	5	

**Comments:**

**2. Is the subrecipient changing, or planning to change, financial management systems? (please tell us what systems you are (considering) transitioning to in the comments)**

	Risk Factor	Your Score
Accounting system identifies receipts and expenditures of program funds separately for each award	1	
Accounting system does <b>not</b> identify receipts and expenditures of program funds	5	

**Comments:**

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

	Risk Factor	Your Score
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 <b>not</b> identify receipts and expenditures of program funds	5	

**Comments:**

4. Does the subrecipient have a time and accounting system to track time and expenditures by activity? (please tell us what systems in the comment section)		
	Risk Factor	Your Score
Yes, subrecipient has a time and accounting system to track time and expenditures by activity	1	
Subrecipient has a time and accounting system but does not track time and expenditures by activity	3	
Subrecipient does <b>not</b> have a time and accounting system to track time and expenditures	5	
Comments:		
5. Per Tennessee Code Annotated § 13-26-109 - Uniform Accounting System - Has the Comptroller of the Treasury developed a uniform accounting system, for your use, that conforms to Generally Accepted Accounting Principles (GAAP) approved by the Commissioner of Finance and Administration?		
	Risk Factor	Your Score
Yes	1	
Not sure	3	
No	5	
Comments:		
6. Per Tennessee Code Annotated § 13-26-110 and § 8-19-101 are all board members, policy council member, employee, officer, or any authorized person of a human resource agency who has authority to make expenditures bonded or otherwise covered by a legally acceptable policy of insurance of such agreement that provides government crime coverage, employee dishonesty coverage, or equivalent coverage that insures the lawful performance by officials and their employees of their fiduciary duties and responsibilities?		
	Risk Factor	Your Score
Yes	1	
Not sure	3	
No	5	
Comments:		

**VI. Free Form Comment Section**

1. What major issues is your transportation organization currently facing? What major issues do you anticipate in the future? What other risk factors are there for your organization not mentioned above?

Comments:

**Total Score:**

**Director Signature**

**Date Completed:**