Programmatic Risk Assessment Questionnaire

Program Agency:

The purpose of this assessment is to evaluate the programmatic risk of applicants for grant funding through the Illinois Criminal Justice Information Authority. Limited program experience, protocols and internal control governing program delivery will increase an applicant's degree of risk but will not preclude the applicant from becoming a grantee. The applicant's degree of risk may require additional conditions to be incorporated into the grant award pursuant to 2 CFR 200.207.

Patterns or trends in programmatic risk will influence GATA training as well as the agency's monitoring plan. Appropriate support must be provided by GATU and the agency to build grantee capacity.

Process:
A. The agency adds agency and/or grant-specific questions under section 6.
B. The questionnaire (including the agency and/or grant-specific questions) is distributed to the applicant by the agency prior to an awarding decision.
C. The applicant returns the completed questionnaire to the agency. The agency scores the questionnaire based on the responses provided by the applicant. (The automated form will score the responses.)
D. The calculated responses equate to a risk profile for each of the 5 risk categories.
E. The agency aligns the risk profile to the applicable specific condition(s) for medium and high risk applicants in each of the 5 risk categories.
F. The agency communicates the applicable specific condition(s) within the Notice of State Award.

In response to the requirements of 2 CFR 200.205, the awarding agency is required to review the programmatic risk posed by applicants. Five risk categories are assessed through this questionnaire:
1. Quality of management systems and ability to meet the management standards
2. History of performance
3. Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audit
4. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on awardees.
5. Agency-specific Questions (As applicable based on terms of the Notice of Funding Opportunity)

Please answer the following questions by typing a 1 (the numeral one) in the appropriate box. Leave all other boxes unfilled.

1. Quality of management systems and ability to meet the management standards

1.1. Do you have written policies and procedures that guide program delivery on the topics of:	YES	NO
a. Quality assurance		
b. Outcome tracking and reporting mechanisms		
c. Relevant documentation of services/goods delivered		
d. Staff performance management policies and procedures		
e. Personnel policies and procedures that include conflict of interest statements		
f. Complaint/grievance resolution policies and procedures		
g. Governing body policies and procedures that include conflict of interest statements		
h. Safeguarding funds, property and other assets against loss from unauthorized use or disposition		
i. Management of grant term extensions, where applicable		

1.2. Do you have internal controls that govern program delivery on the topics of :	YES	NO
a. Quality assurance reporting		
b. Appropriate (to industry) supervision of staff		
c. Unit costs analysis and management		
d. Accreditation/licensing compliance program		

	YES	NO
1.3. Does the organization have written standards of conduct covering real or perceived conflict of interest related to actions of employees engaged in the selection, award or administration of contracts supported by grant awards?		

1.4. How many years of experience does the project leader have managing the scope of services required under this program?	YES	NO
More than five years (low risk)		
One to five years (medium risk)		
Less than one year (high risk)		

1.5. Does the organization have a time and effort system that:	YES	NO
a. Records all time worked, including time not charged to awards ?		
b. Is signed-off by the employee and a supervisor?		
c. Includes an approved methodology?		

	YES	NO
1.6. Does the organization have controls for invoicing grants paid based on a rate or unit of service?		

	YES	NO	N/A: We've not been subject to match requirement
1.7. Does the organization apply the same standard for match requirements as it does for expenses?			

1.8. To what extent are you able to produce periodic grant status reports to inform stakeholders about program outcomes?	YES	NO
Reports are an established part of grant management procedures		
We're developing reports as part of grant management procedures		
We do not currently have established reports as part of grant management		

2. History of performance: The applicant's record in managing grant awards, if it is a prior recipient of awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards.

2.1 How many years of experience does your organization have with grants of comparable scope and/or capacity?	YES	NO
More than five years		
One to five years		
Less than one year		
No experience		

2.2 If your organization has experience with grants of comparable scope and/or capacity, provide a brief description of similar project goals and outcomes. Specify the applicable year.

2.3. During your last two fiscal years, how frequently has your organization submitted project performance reports on time?	YES	NO
Always		
Reported late up to three times		
Reported late four or more times		
Not applicable -- not a requirement of awards		

2.4. Have there been any significant changes in your organization in the last fiscal year related to:	YES	NO
Leadership changes		
Significant program/grant initiatives		
Structural changes		
Fiscal changes		
Statutory or regulatory requirements		
Other:		

2.5. Provide a brief explanation for all "YES" responses to question 2.4.

	YES	NO
2.6. Does the organization utilize a sub-grantee/sub-recipient/sub-award to manage, administer or complete a project? If NO, go to question 2.10.		

2.7. What responsibilities does the sub-grantee/sub-recipient/sub-award perform?	YES	NO
Participant eligibility determination		
Performance reporting		
Program delivery functions		
Financial reporting		
Other:		

2.8 What percentage of grant funds does the organization pass on to sub-grantees/sub-recipients/sub-awards?	YES	NO
Less than 10%		
10-20%		
More than 20%		

2.9. Does your organization have an implemented policy for sub-grantee monitoring ?	YES	NO
On-site review		
Review of prior monitoring		
Desk/quantitative review		

2.10. Do you obtain prior written approval from the funding agency when:	YES	NO
The scope or objective of the program changes		
Key personnel specified in the application change		
The approved project director disengages for more than 3 months or reduces 25% of time devoted to the project		
Question is not applicable because organization has not been subject to these requirements		

	YES	NO
2.11. Does your organization have performance measurements that tie to financial data?		

3. Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audit

3.1. During the last two fiscal years, has your organization been out of compliance with programmatic terms and conditions of awards?	YES	NO
Organization has not been audited. Go to question 3.6		
No occurrences of non-compliance. Go to question 3.6		
One to three instances of non-compliance		
Four or more instances of non-compliance		

3.2. If your organization had at least one occurrence of non-compliance with programmatic terms and conditions, summarize each occurrence. Text response

	YES	NO
3.3. Have corrective actions been implemented within the specified timeframe?		

3.4. Provide explanation for any corrective actions that were not implemented within the

	YES	NO
3.5. Have there been conflict of interest-related findings within the		
If NO, go to question 3.6. 3.5. If YES, use the box below to specify the conflict of interest-related finding and your response to the finding.		

3.6. Has your organization been subject to conditional approvals due to program issues?		
	YES	NO
If NO, go to question 4.1. If YES, use the box below to specify the terms of the special condition and whether or not the special condition is still applicable.		

4. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on awardees.

4.1. To what extent does your organization have policies to ensure programmatic expenses are reasonable, necessary and prudent (allowable)?	YES	NO
Policies are implemented and followed		
Policies are not fully implemented		
The organization does not currently have these types of policies.		

4.2. To what extent does your organization have policies to ensure programmatic activities are allowable?	YES	NO
Policies are implemented and followed		
Policies are not fully implemented		
The organization does not currently have these types of policies.		

4.3. To what extent is your organization able to comply with all statutory requirements of this program?	YES	NO
Fully able to comply with all statutory requirements		
With the exception(s) detailed in the box below, the organization is able to comply.		

4.4. Has the organization been out of compliance with any statutory, regulatory or other requirements of grant funding within the last two fiscal years	YES	NO
If YES, use the box below to provide an explanation.		

Certification Section: *"By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate and that any false, fictitious, or fraudulent information or the omission of any material fact, could result in the immediate termination of my grant award(s). "*

Authorized Signature	Date

Signor's Name

Signor's Title