

Executive Office of Public Safety and Security
Homeland Security Division
RISK ASSESMENT

SECTION A: PURPOSE

The programmatic and fiscal responsibility of grantees must be such that the grantee can properly discharge the public trust that accompanies the authority to expend public funds. Adequate accounting and program management systems should meet the following criteria.

1. Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.
2. Entries in accounting records should refer to subsidiary records and/or documentation that support the entry and can be readily located.
3. The accounting system should provide accurate and current financial reporting information.
4. The accounting system should be integrated with an adequate system of internal programmatic controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION B: ACCOUNTING SYSTEM

1. Which of the following best describes the accounting system: Manual Automated Combination

2. Does the accounting system identify the receipt and expenditure of program funds separately for each grant/contract? Yes No

3. Does the accounting system provide for the recording of expenditures for each grant/contract by the budget cost categories shown in the approved budget? Yes No

4. Are time distribution records maintained for an employee when his/her effort can be identified to a particular cost objective? Yes No

5. Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:

a. Total funds available for a grant? Yes No

b. Total funds available for a budget cost category (e.g. Personnel, Travel, etc.)? Yes No

6. If Federal grant funds are commingled with organization funds, can the Federal funds and related costs be readily identified? Yes No

SECTION C: PROGRAM MANAGEMENT

1. Is the organization new to managing federal grant funds or has the organization had recent staff turnover that significantly reduces its institutional capacity to effectively manage federal funds? Yes No
If yes, please explain: (attach a separate sheet if necessary)

	SECTION C: PROGRAM MANAGEMENT CONT.		
2. If the organization has recently (past 5 years) or currently receives federal grant funding, has the organization been out-of-compliance with reporting or other requirements? If yes, please explain: Yes No			
	SECTION D: For Internal Use Only		
1. Does the organization/entity receiving this award have an acceptable track record of managing funds provided by EOPSS? Briefly explain. Yes No			
2. Is the proposed program very complex, is the award above \$1million, and/or is the proposed grant-funded activity such that additional risk can be presumed? If yes, please explain. Yes No			
3. The suspension and debarment list on the System for Award Management website (https://www.sam.gov/portal/SAM/##11) must be checked for each subgrantees and vendor. Is the subgrantee/vendor eligible to receive federal funding? Yes No			
	SECTION E: APPLICANT CERTIFICATION		
I certify that the above information is complete and correct to the best of my knowledge.			
1. Signature		b. Organization Name:	
		Address:	
a. Title		Telephone Number:	