

Risk Assessment - Community Action Agencies

Instructions

The purpose of this instrument is to determine the level of compliance risk for each Community Action Agency. This tool will be completed by June, prior to the start of the upcoming Federal Fiscal Year (FFY), such that the risk assessments for FFY 2021 are completed in June 2020 before drafting the FFY 2021 contracts to determine if any additional visits, technical assistance, or training is needed for those Agencies which score higher and are determined to be at a higher risk level. The tool identifies various risk factors, each having an importance score corresponding to its prioritization by Hawaii OCS (higher score = higher priority).

If the Agency does not meet the requirement of a particular element, check it "No." This indicates that risk is present. A risk factor not checked either "Yes" or "No" is interpreted as

For each section, the tool calculates a risk score expressed as a percentage. A higher score is bad.

For each row, it is important to fill out the "Rationale or Documentation" and "Source" fields to justify the scoring. The "Rationale or Documentation" field is a summary of the finding, and the "Source" field is the contractual item that relates to the finding, for example a section from the Terms and Conditions or the Scope of Work.

Subgrantee Information				
Agency Name:				
Contract #:				
Date of Last On-Site Monitoring Review:				
Date of Last Desk Review:				
	Requirement	Importance Score (1= lower priority; 5= higher priority)	Requirement Met?	Rationale or Documentation
#	Financial			
1	The Agency's most recent single audit reported no significant financial findings.			
2	The Agency's most recent single audit reported no significant programmatic findings.			
3	The Agency resolved any single audit findings or exceptions from prior years.			
4	The Agency draws down funds in a timely manner.			
5	Key management or financial staff have administered the Agency's finances for more than two years with low turnover in these positions.			
6	The Agency spends funds within their budget limits and within the allowable costs.			
7	The Agency has an adequate multiplicity of funding sources (local, state, federal, foundation, private donor).			
8	The Agency's overhead costs are less than 20% of their total expenditures.			
9	The Agency has a low rate of errors to no errors in billings for unallowable costs or expenditures not in their budget.			
10	The Agency spends most (at least 80%) of the funds allocated for the current federal fiscal year.			
11	The Agency perpetually looks for other funding sources to supplement programs.			
		Section Risk Score	#DIV/0!	
#	Planning and Evaluation			
1	The strategic planning process is included in the Agency's policies.			
2	The Agency continues to actively look for new programs to administer among low-income communities.			
3	The Agency meets at least 90% of the Organizational Standards.			
4	The Agency submitted documentation on progress or completion of unmet Organizational Standards.			
5	The Agency has resolved any monitoring findings.			
		Section Risk Score	#DIV/0!	
#	Programs and Services			
1	The Agency submits quarterly and final program reports on time and accurately.			
2	The Agency submits fiscal reports on time and usually do not require revisions.			
3	The Agency's services consistently meet grant goals.			
4	The Agency integrates management of programs/services across sites.			
5	The Agency's community indicators or community outcomes accurately measure progress.			
6	The Agency's program(s) are not on probation or lost.			
		Section Risk Score	#DIV/0!	
#	Internal Resources			
1	The Agency has a succession plan for key staff.			
2	The Agency cross-trains key staff.			
3	The Agency conducts an organization-wide assessment on a regular basis to evaluate and improve programs and services.			
4	The Agency has stability among key staff (Executive Director, Program Managers, fiscal).			
5	The Agency routinely communicates with key staff (Executive Director, Program Managers, fiscal).			
6	The Agency conducts periodic salary surveys and implements any necessary changes.			
7	The Agency has reasonable and fair compensation plans comparable to othersized organizations of the similar nature in the same geographic area.			

		Section Risk Score	#DIV/0!	
#	Relationships			
1	The Agency participates in collaborative projects with state agencies, local governments, and non-profit or faith-based organizations that serve low-income people.			
2	The Agency advocates/educates for low-income people in communities.			
3	The Agency's relationships with funders are transparent and respectful.			
		Section Risk Score	#DIV/0!	
#	Leadership and Governance			
1	The Agency has written statements of qualifications for Board members.			
2	Board members have received poverty and/or community action training in the last three years.			
3	Board members spend time advocating for the Agency in the community.			
4	The Agency's Executive Director/Chief Executive Officer has a development plan to support growth as a leader.			
5	Bylaws specify term limits for each Board member.			
6	The Agency has clear policies on conflicts of interest.			
		Section Risk Score	#DIV/0!	
		Total Risk Score	#DIV/0!	
		Total Weighted Score	#DIV/0!	

Signature

Date