

Risk Assessment Survey 2008-2009

Grant/Contract Name: _____

Principal Investigator: _____

Please provide complete and detailed answers to the following questions.

1. Who is the immediate supervisor for the Principal Investigator? Please include the university contact information. (i.e. title, department, e-mail and extension)
2. What agency awarded this grant/contract?
3. What is the purpose of the grant/contract in relation to the University?
4. What is the award amount for the grant/contract and the grant period?
5. What are the grant/contract FUND and ORG numbers?
6. Are there any additional funding sources for the grant/contract other than the awarding agency?
7. Does the grant/contract fund employees?

Risk Assessment Survey 2008-2009

Standard List of Risk Factors

Instructions: Please check the box which best applies to your grant.

1. SIGNIFICANCE OF GRANT TO THE UNIVERSITY

- The grant/contract has no direct involvement with or in key University processes.
- The grant/contract has minor involvement with or input in key University processes.
- The grant/contract is relied on to provide key input to a significant process or function.
- The grant/contract provides an important process or function for the University.
- The grant/contract provides a vital process without which the University could not continue to function.

2. SIGNIFICANCE TO THE COMMUNITY

- There is no apparent community contact involved in the grant/contract operations.
- The grant/contract involves an indirect community contact.
- The grant/contract function or output involves preparation for the provision of community service.
- There is moderate community contact or the function of the grant/contract has direct bearing on community service.
- The grant/contract involves extensive face to face or telephone contact with respect to providing community service.

3. POLICY AND PROCEDURES MANUALS

- Written procedures have been prepared for this grant/contract and were updated within the past 24 months.
- Written procedures have not been prepared for this grant/contract or written procedures have not been updated for this grant/contract within the past 24 months.

4. POLICY AND PROCEDURES CHANGES

- There have been no policy or procedure changes introduced in the grant/contract.
- There have been moderate procedural changes introduced in the grant/contract.
- There have been major procedural changes introduced in the grant/contract.

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5. REPORTING

- This grant is not required to prepare external reports for the donor or funding agency.
- This grant is required to prepare external reports for the donor or fund agency.

6. DEADLINES

- There are no established deadlines for the processes involved in the grant/contract.
- Deadlines exist but they are a minor factor in the operation of the grant/contract.
- Deadlines have a moderate influence on the operation of the grant/contract.
- Meeting deadlines is the major factor in the management of the grant/contract.

7. PROJECTS (FEDERAL AND/OR STATE)

- The grant/contract is not a project-oriented operation.
- Project dollars size is less than \$100,000.
- Project dollars size is up to approximately \$100,000 to \$499,999
- Project dollars size is up to approximately \$500,000 to \$999,999.
- Project dollars sizes are in excess of \$1,000,000.

8. SEGREGATION OF DUTIES

- Segregation of duties is not required for this grant/contract.
- Segregation of duties is required in this grant/contract

9. PRINCIPAL INVESTIGATOR

List your name: _____

List your title: _____

- I have been in this position for over 24 months.
- I have been in this position for 12 to 24 months.
- I have been in this position for 7 to 12 months.
- I have been in this position for 0 to 6 months.

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10. COMPLIANCE WITH REGULATIONS & STANDARDS (Non-University)

- This specific factor is not applicable to this grant/contract.
- The operations of this grant/contract are not prescribed by regulations and standards.
- The operations of this grant/contract are only indirectly related to prescribed regulations and standards.
- The operations of this grant/contract are governed by a few regulations and standards for which the risk of non-compliance is low.
- Virtually all the operations of this grant/contract are prescribed by regulation and standards.

11. CASH

- Little or minor involvement with the handling of cash, receipts, and petty cash.
- Handling cash, receipts, and disbursements are a moderate part of the processing requirements.
- Significant involvement with cash, receipts, and disbursement.

12. INVENTORY

- There is little or no involvement with inventory, assets, office equipment, or other attractive transportable items (computers, VCR, camera, etc).
- There is some opportunity for access to material or other attractive transportable items.
- Actual handling of material or other attractive transportable items is a major function on this grant.

13. INFORMATION

- The grant provides little or no access to potentially valuable information or outside relationships.
- The grant provides moderate access to potentially valuable information or outside relationships.
- The grant provides major access to potentially valuable information or outside relationship.

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Instructions: Please check the rating which best applies to your grant.

14. KEY CHANGES - PERSONNEL

Have there been any changes in key personnel or functions within the last year for this grant or in the administration over this program?

- None
- Moderate
- Major

15. KEY CHANGES - SYSTEMS/FUNCTIONS

Have there been any changes in systems or functions within the last two years?

- None
- Moderate
- Major

16. KEY CHANGES - BUDGET

Have there been any changes in budgeted resources for your functions within the last year?

- None
- Moderate
- Major

Name / Title _____

Date: _____