



2024 Section 5310 Risk Assessment Questionnaire

Organization Name: _____

GENERAL ASSESMENT

Organization Experience with Similar Project(s):	Response	Points Possible
5 + years		
3-5 years		
0-3 years		

Comments: If applicable, were the projects completed on time and within budget?

Organization experience with State or Federal Funds:	Response	Points Possible
5 + years		
3-5 years		
0-3 years		

Comments:

Organization experience with FTA Grant program(s):	Response	Points Possible
5 + years		
3-5 years		
0-3 years		

Comments:

Management or staff turnover or reorganization that affects this program:	Response	Points Possible
No turnover or reorganization		
Little turnover or reorganization		
Significant turnover or reorganization		

Comments:

Average experience of project staff and management in the current position:	Response	Points Possible
5+ years		
2-5 years		
Less than 2 years		

Comments:

Experience of staff and management with the FTA program(s):	Response	Points Possible
5+ years		
2-5 years		
Less than 2 years		

Familiarity with the program:	Response	Points Possible
Have managed/conducted many similar programs in the past (5+ years' experience)		
Have managed/conducted a few similar programs		
Have minimal or no experience with this type of program		

Comments:

Effective written procedures and controls for this program:	Response	Points Possible
Accounting Policy/Cash Management (2 CFR 200.302):		
Internal Controls (2 CFR 200.303):		
Travel Policy (2 CFR 200.474):		
Procurement Policy (2 CFR 200.318):		
Compensation (2 CFR 200.430):		
Conflict of Interest Policy (2 CFR 200.112):		
Equipment and Inventory Records (2 CFR 200.313):		
Formal/written and distributed to employees		
Informal policies and controls		
No policies or controls		

Comments: please attach written procedures.

LEGAL ASSESSMENT

Does the organization have or previously had any suit(s) filed against them within the last 5 years? (such as EEO, DBE, contractor suing for payment)	Response	Points Possible
No previous or current suits		
Has previously had a lawsuit		
Has a lawsuit		

Comments: Please provide an explanation of each historical and/or active suit, the finding(s) of the suit, and the prevailing party(ies).

Organization staff that have been arrested, convicted of a felony or are currently under criminal investigation:	Response	Points Possible
No staff arrested, convicted or currently under criminal investigation		
Has staff that has been arrested, convicted or is currently under criminal investigation		

Comments:

Does the organization have any violations of Federal criminal law involving fraud, bribery or gratuity violations potentially affecting the Federal award?	Response	Points Possible
No		
Yes		

Comments: If yes, provide supporting documentation.

MONITORING/AUDIT ASSESSMENT

Past Audit findings from the A-133 Audit or any Internal Audits:	Response	Points Possible
No material findings		
Some findings, not material		
Has material findings		

Comments: If applicable, please discuss how corrective actions were handled for finding(s). Include timeline taken to get findings closed.

Have there been any previous audit findings (i.e. other comprehensive audit, Internal Audit)?	Response	Points Possible
No material findings		
Some findings, not material		
Has material findings		

Comments:

Has STA previously requested you address any performance issues with previous projects?	Response	Points Possible
Yes		
No		

Comments:

Does the accounting system identify the receipts and expenditures of program funds separately for each award?	Response	Points Possible
Accounting system identifies receipts and expenditures of program funds separately for each award		
Accounting system identifies receipts and expenditures of program funds but does not separate for each award		
Accounting system does not identify receipts and expenditures of program funds		

Comments:

Does the organization have a time and accounting system to track time and expenditures by budget category?	Response	Points Possible
Yes, Organization has a time and accounting system to track time and expenditures by cost objective		
Organization has a time and accounting system but does not track time and expenditures by cost objective		
Organization does not have a time and accounting system to track time and expenditures		

Comments:

Does the organization maintain appropriate internal controls? (Reconciliation checks and balances are in place, duties are segregated, the final approval for payment is made by a different individual than the check/warrant signer)	Response	Points Possible
Yes		
No		

Comments:

CAPITAL ASSET TRACKING

Has the organization leased any FTA funded equipment to private operators, other public entities, or non-profit organizations?	Response	Points Possible
No		
Yes, with prior written approval from FTA		
Yes, without prior written approval from FTA		

Explain the organization's control system to prevent and investigate loss, damage, or theft of property.
 Comments: If applicable, please attach written policy

Risk Level	Range	Action	Total
Highest	72-105	Annual site visit/inspections, quarterly desk audits, detailed back up documentation	
Moderate	36-71	Detailed backup documentation, quarterly desk audits	
Lowest	0-35	Regular monitoring requirements	