ANNUAL RISK ASSESSMENT QUESTIONNAIRE
2010-2011

Date Completed:

Name:	
Board of Governors Unit/Section:	

1. Describe the mission, operations, and organizational structure of your organizational unit. Provide attachments if available.

2. Please identify any Board of Governors Regulations, Florida Statutes, Florida Administrative Codes, Federal Code of Regulations, or other rules or standards that authorize, define, or direct the operations of your organizational unit.

3. How many positions are allocated to the organizational unit? Identify OPS and other contracted employees if any.

4. Has the organizational unit added or eliminated positions in the last year? If yes, how many were added or deleted and why?

5. What are the total budgeted expenditures for the organizational unit for the FY 2010-2011? E.g.: salaries, estimated expenses, OCO. Etc. What were the actual revenues and expenditures for FY 2009-2010?

6. What software packages are currently in use to help achieve your organizational unit's objectives? When was it developed and by whom, and who is the systems administrator authorized to change code?

7. How does management communicate to employees its views on business practices and ethical behavior?

8. Does management have knowledge of any fraud or suspected fraud affecting the organizational unit?

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9. Please indicate by circling one of the options below regarding the quality of automated controls.
   a) Controls are nonexistent or no basis for assessment.
   b) Controls thought to be weak.
   c) Controls adequate.
   d) Controls appear to be strong.
   e) Please explain weaknesses.

10. What could happen in your organizational unit that could prevent you from achieving your organizational objectives?

11. What procedures are in place to assure that you meet your organizational unit's objectives?

12. Does management routinely evaluate the overall effectiveness of the organizational unit's internal control system? If yes, please explain the methodology used in the evaluation (e.g. assess organizational structure, assess policies and procedures, and test controls to ensure they are functioning properly).

13. Are there written policies and procedures encompassing the operations of the organizational unit? If yes, list the procedures and indicate when they were last updated.

14. Do you receive or provide management reports that assist you or other organizational units in management decision processes? If yes, please identify any management reports that you receive or provide to other organizational units.

15. Please describe the types of monitoring and oversight activities performed.

16. Have changes to systems, processes, or policies and procedures been made during the last year? If yes, please describe the changes and their significance to the operations of the organizational unit.

17. Has the unit's organizational structure, programs, or compliance/programmatic requirements changed over the last year? If

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yes, please describe the changes and their significance to the operations of the organizational unit.

18. Does the organizational unit process grants, contracts, or enter into agreements with third parties? If yes, please provide the total number of and total dollars for each of the following: grants, contracts, or other agreements processed during the last year.

19. Does the organizational unit initiate or approve program payments to external entities? If yes, please provide a total of payments initiated/approved last fiscal year.

20. Does the organizational unit receive cash or checks? If yes, please provide a total received last fiscal year.

21. Does your organizational unit store, transmit or process any credit card data or contract with a service provider who accepts credit card information on behalf your organizational unit?

22. Does the organizational unit have a high, moderate, or low public relations impact or profile?

23. Are any areas within the organizational unit considered to be at a higher risk of fraud, waste, or abuse? If yes, please explain which areas and why.

24. Has an audit or other review of the organizational unit been conducted within the past three years? If yes, who conducted the audit/review and have the major findings and recommendations been implemented? Please also provide a copy of the audit.

25. Are there any programs within the organizational unit which you would like to see receive some audit/review coverage? If yes, please explain why.