

# RISK ASSESSMENT

1. ORGANIZATION	2. ORGANIZATION CODE
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3. PROGRAM/FUNCTION/ACTIVITY
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GENERAL CONTROL ENVIRONMENT

	CHOICE	VALUE		CHOICE	VALUE
4. EMPHASIS ON INTERNAL CONTROLS:			7. ADEQUACY OF CHECKS AND BALANCES:		
Major Emphasis		(1)	Not applicable		
Moderate Emphasis		(3)	Adequate		(1)
Minor Emphasis		(5)	Needs Improvement		(3)
5. COVERAGE BY WRITTEN PROCEDURES:			Required but Totally Lacking		(5)
Specific Guidance w/Little or No Discretion		(1)	8. AIS USED FOR REPORTING OR OPERATIONAL DATA:		
Flexible Guidance w/Significant Discretion		(3)	Not applicable		
No Written Procedures		(5)	Data Reliability (Timeliness, Accuracy) and Security are Satisfactory		(1)
6. SPECIFYING GOALS AND MEASURING ACCOMPLISHMENTS:			Data Reliability or Security Needs Some Improvement		(3)
Not applicable			Data Reliability or Security is a Major Problem		(5)
Goals/Objectives Formally Established and Monitored		(1)	9. PERSONNEL RESOURCES:		
Goals/Objectives Used Informally or w/Little Followup		(3)	Adequate Number of Qualified Personnel		(1)
Goals/Objectives Needed but Not Established		(5)	Adequate No. of Personnel but Some Training Required		(3)
			Insufficient No. of Personnel or Majority of Staff Lacks Qualifications or Necessary Training		(5)

ANALYSIS OF INHERENT RISK

10. PROGRAM ADMINISTRATION:			17. RECENT INSTANCES OF ERRORS OR IRREGULARITIES:		
NRL Only		(1)	None in the Last 18 Months		(1)
Navy Activity		(3)	Most Significant Findings or Known Errors Fully Corrected		(3)
Third Party (Contractor)			Most Significant Findings or Known Errors Unresolved		(5)
• Heavy Involvement		(4)			
• Total Involvement		(5)	18. ADEQUACY OF REPORTS:		
11. SCOPE OF WRITTEN AUTHORITY:			Accurate and Timely		(1)
Precise		(1)	Sometimes Inaccurate, Incomplete, and/or Late		(3)
Clarification Required		(3)	Usually Inadequate and Late		(5)
No Written Authority		(5)	19. TIME CONSTRAINTS:		
12. AGE/STATUS OF PROGRAM:			Not a Significant Factor in Operations		(1)
Relatively Stable		(1)	Occasionally a Factor in Operations		(3)
Changing		(3)	A Significant Daily Factor in Operations		(5)
New or Expiring Within 2 Years		(5)	20. HAZARDOUS MATERIALS:		
13. EXTERNAL IMPACT OR SENSITIVITY:			A. Chemicals (Procurement, Use, Storage, Disposal)		
Not Applicable			Not applicable		
Low Level		(1)	Controls Established and Followed		(1)
Moderate Level		(3)	Controls Established but Need Improvement		(3)
High Level		(5)	Controls Needed but Not Established		(5)
14. INTERACTION ACROSS ORGANIZATIONS:			B. Hazardous Material (Use, Storage, Disposal)		
Exclusive to One Office		(1)	Not applicable		
Within Two Functional Offices		(3)	Controls Established and Followed		(1)
Within More than Two Functional Offices		(4)	Controls Established but Need Improvement		(3)
Involvement with Outside Organizations		(5)	Controls Needed but Not Established		(5)
15. TYPE OF TRANSACTION DOCUMENT:			C. Hazardous Waste (Use, Storage, Disposal)		
Non-convertible Instruments		(1)	Not applicable		
Convertible to Services Only		(3)	Controls Established and Followed		(1)
Directly Convertible to Cash		(5)	Controls Established but Need Improvement		(3)
16. INTERVAL SINCE MOST RECENT EVALUATION OR AUDIT:			Controls Needed but Not Established		(5)
Within Last 9 Months		(1)			
Between 9 and 24 Months		(3)			
More Than 2 Years		(5)			

PRELIMINARY ASSESSMENT OF SAFEGUARDS

21. ASSUMED EFFECTIVENESS OF EXISTING CONTROLS:			22. OVERALL RISK ASSESSMENT:	SCORE
Controls Adequate		(1)	Low (0-29)	
Controls Less than Adequate		(3)	Medium (30-37)	
No Existing Controls, or Costs Outweigh Benefits		(5)	High (38 or Higher)	

23. COMMENTS		
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24. RA CONDUCTED BY <i>(Name and Signature)</i>	TITLE	DATE
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25. RA APPROVED BY <i>(Name and Signature)</i>	TITLE	DATE
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