SAVE FORM

SELF ASSESSMENT OF INTERNAL CONTROL

Form N-11

Compliance Requirement

Eligibility

Department of _____

Fiscal Year Ending _____ ☐ NA-_____

		Yes	No	N/A	Comments
	Control Objectives				
	To provide reasonable assurance that only eligible individuals and organizations receive assistance under Federal award programs, that subawards are made only to eligible subrecipients, and that amounts provided to or on behalf of eligible individuals or groups of individuals were calculated in accordance with program requirements.				
	Control Environment				
1	Staff size and competence provides for proper making of eligibility determinations.				
2	Realistic caseload/performance targets established for eligibility determinations.				
3	Lines of authority clear for determining eligibility.				
4	Adequate knowledge of and access to computer system and/or database used for eligibility assessment and recording.				
	Risk Assessment				
5	Identification of risk that eligibility information prepared internally or received from external sources could be incorrect.				
6	Conflict-of-interest statements are maintained for individuals who determine and review eligibility.				
7	Process for assessing risks resulting from changes to eligibility determination systems.				
	Control Activities				
8	Written policies provide direction for making and documenting eligibility determinations.				
9	Procedures to calculate eligibility amounts consistent with program requirements.				
10	Eligibility objectives and procedures clearly communicated to employees.				
11	Authorized signatures (manual or electronic) on eligibility documents periodically reviewed.				
12	Adequate safeguards in place to ensure access to eligibility records (manual or electronic) limited to appropriate persons.				
13	Manual criteria checklists or automated process used in making eligibility determinations.				
14	Process for periodic eligibility re-determinations in accordance with program requirements.				
15	Verification of accuracy of information used in eligibility determinations.				

		Yes	No	N/A	Comments
16	Procedures to ensure the accuracy and completeness of data used to determine eligibility requirements.				
17	Process in place to ensure benefits were discontinued when eligibility requirements no longer met or period of eligibility expired.				
	Information and Communication				
18	Information system meets needs of eligibility decision-makers and program management.				
19	Processing of eligibility information subject to edit checks and balancing procedures.				
20	Training programs inform employees of eligibility requirements.				
21	Channels of communication exist for people to report suspected eligibility improprieties.				
22	Management receptive to suggestions to strengthen eligibility determination process.				
23	Documentation of eligibility determinations in accordance with program requirements.				
	Monitoring				
24	Periodic analytical reviews of eligibility determinations performed by management.				
25	Monitoring by reviewers of changes in eligibility determinations to ensure that overrides in determination process are appropriate.				
26	Program quality control procedures performed for eligibility determination process.				
27	Periodic audits of detailed transactions.				