

Third-Party Subaward Risk Assessment

Instructions: This document should be used for agreements that are determined to be a subrecipient relationship based on the OCJG Subrecipient Contractor Determination Checklist. Entities passing funds through to a “subrecipient” must complete this risk assessment to avoid a withholding of funds on the FDLE subaward.

FDLE Applicant/Subgrantee:

FDLE Application/Subaward #:

Third-Party Name:

Third-Party Subaward #:

Date Completed:

Criteria	Risk Level Description and Weighted Measure			Score
	Low (1 point)	Moderate (2 points)	High (3 points)	
New or Continuing Subgrantee				
1	Continuing third-party grantee and/or one that has ample experience meeting the objectives specified in the subaward agreement	New third-party grantee and one that has sufficient experience meeting the objectives specified in the subaward agreement	New third-party grantee with no prior experience or third-party continuing grantee that has had problems meeting program goals/objectives	
Complexity of Project				
2	Very little complexity (i.e. simple purchase of equipment/supplies)	N/A - NO MEASURE	Unit costs, multiple subcontracts, complex or several deliverables, strong deadlines, research or IT projects, high visibility projects	
Staffing				
3	No change in staff in key positions	N/A - NO MEASURE	New or no third-party grant/fiscal administrator	
History of Meeting Programmatic and Performance Requirements				
4	Third-party has provided services and met program objectives specified in subaward within the last 2 years	Possible weaknesses in service delivery/program objectives based on information received in the past fiscal year	Program history within the past 2 years includes weaknesses in service delivery/program objectives OR third-party is in its first year of funding (no basis for evaluation)	
5	Program has been monitored within the past 2 years	N/A - NO MEASURE	Program has not been monitored within the past 2 years	
6	No program findings within the past 2 years	Minor program findings within the past 2 years that were resolved timely	Significant program findings within the past 2 years the third-party did not resolve timely OR third-party is in first year of funding (no basis for evaluation)	
7	Third-party met all prior program objectives specified in the subaward agreement	Third-party met most prior program objectives specified in the subaward agreement	Third-party had difficulty meeting program objectives, there were significant issues, OR third-party is in first year of funding (no basis for evaluation)	
8	Performance data almost always submitted timely and accurately	Performance data is frequently late and/or contains some errors	Performance data is frequently late, contains significant errors OR third-party is in first year of funding (no basis for evaluation)	
Fiscal				
9	Third-party subaward is under \$25,000	Third-party subaward is between \$25,000 - \$74,999	Third-party subaward is over \$75,000	
10	No significant fiscal findings for the past 2 years	Minor fiscal findings within the past 2 years that were resolved timely	Significant fiscal findings within the past 2 years, had a finding for questioned costs, OR third-party is in its first year of funding (no basis for evaluation)	
Audit				
11	Third-party has provided a copy of their single audit for the most recent audit period and there are no significant unresolved audit findings	Third-party has provided a copy of their single audit and there were minor audit findings with pending corrective action	Third-party has not had a single audit or their are significant audit findings with pending corrective action(s)	
Total Risk Score				
Recommended Level of Risk				