

FDLE Office of Criminal Justice Grants – SAA Pre-Award Risk Assessment
Reference 2 C.F.R. Part 200 (200.205)

Subrecipient:

Application #:

DUNS #:

Grant Manager:

Total Score:

Risk Level:

Monitoring Type:

If monitoring coordinator, supervisor, or bureau chief does not concur with the recommended level of risk review, an override may be granted. Please provide the reason or explanation of override below.

FINAL DETERMINATION:

Desk

Expanded Desk

Onsite

Approval Signature:

Date:

New or Continuing Subrecipient		
1 point	Applicant has 5+ years of awards with FDLE/OCJG.	
3 points	Applicant has 2-4 years of awards with FDLE/OCJG.	
5 points	Applicant has 0-1 year of awards with FDLE/OCJG <u>OR</u> has not received a subaward in the last 5 years.	
Personnel Turnover and Management Stability		
1 point	Applicant's 3 rd year or more AND original project director.	
3 points	Applicant's 2 nd year or more AND original project director.	
5 points	Applicant entity has high turnover of key staff (more than 2 in 18 months), applicant has a new project director, <u>OR</u> applicant has never received an FDLE/OCJG subaward.	
Subaward Quantity (across all OCJG programs)		
1 point	Applicant has 1 subaward this cycle.	
5 points	Applicant has 2 or more subawards this cycle.	
Subaward Amount		
1 point	Subaward is \$25,000 or less.	
3 points	Subaward is between \$25,000 to \$50,000.	
5 points	Subaward is more than \$50,000	
Project Complexity		
1 point	Project is of little complexity – travel, attend training, equipment, expenses	
3 points	Project is of moderate complexity – S&B, OT, host/conduct training	
5 points	Project is complex – contractual services, research, CI funds, IT, develop training	
Single Audits (most recent Single Audit)		
1 point	Does <u>not</u> contain findings, questioned costs, deficiencies, or weaknesses.	
3 points	Contains findings, questioned costs, deficiencies, or weaknesses that <u>DO NOT</u> relate to FDLE/OCJG.	
5 points	Contains findings, questioned costs, deficiencies, or weaknesses that <u>DO</u> relate to FDLE/OCJG, applicant is exempt from audit requirements, <u>OR</u> applicant has not received a subaward in the last five years.	
Previous Monitoring (past two years)		
1 point	No findings of non-compliance (compliant).	
3 points	Recommendations only	
5 points	Findings of non-compliance <u>OR</u> applicant has not received a subaward in the last five years.	

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Project Management (past two years)		
1 point	Applicant has not requested or received an extension.	
3 points	Applicant requested extension due to reasonable circumstance (back order)	
5 points	Applicant received an extension <u>OR</u> applicant has not received a subaward in the last five years.	
Communication History		
1 point	Project Director and key staff respond to requests in a timely manner.	
3 points	Project Director and key staff <u>usually</u> respond to requests in a timely manner.	
5 points	Project Director and key staff <u>rarely</u> respond to requests in a timely manner <u>OR</u> applicant has not received a subaward in the last five years.	
Programmatic History (past two years)		
1 point	Applicant has met program objectives for all awards in past two years.	
3 points	OCJG member suspects possible weaknesses in services delivery in the past two years. (Note below)	
5 points	Program history in the past two years has proven weaknesses in service delivery <u>OR</u> applicant has not received a subaward in the last five years. (Note below)	
Performance Reports (past two years)		
1 point	Reports were almost always submitted on time (0-25% are late)	
3 points	Reports are frequently 1-6 days late and/or contain errors (50-75% are late)	
5 points	Reports are frequently 7+ days late and contain significant errors (50-75% are late) <u>OR</u> applicant has not received a subaward in last five years.	
Expenditure Reports (past two years)		
1 point	Reports were almost always submitted on time (0-25% are late)	
3 points	Reports are frequently 1-6 days late and/or contain errors (50-75% are late)	
5 points	Reports are frequently 7+ day late and contain significant errors (50-75% are late) <u>OR</u> applicant has not received a subaward in last five years.	
Indirect Costs		
1 point	Subaward does not request indirect costs	
3 points	Subaward request indirect costs in accordance with approved indirect plan.	
5 points	Subaward request indirect in accordance with the de minimus (10%) rate <u>OR</u> requires OCJG to negotiate a rate.	
Financial Capabilities Questionnaire (FCQ)		
1 point	Applicant FCQ indicates no areas of concern.	
3 points	Applicant did not submit FCQ with application.	
5 points	Applicant FCQ indicates potential areas of concern. (Note below)	
Multi-tier Subcontracts/Subawards (must provide vendor/subrecipient checklist)		
1 point	Applicant does not subcontract or subaward for any grant activities.	
3 points	Applicant has requested to subcontract with a vendor/contractor for services.	
5 points	Applicant has requested to subaward with a subrecipient.	
Outstanding Monitoring or Special Conditions		
1 point	Applicant does not have any outstanding conditions from prior awards.	
5 points	Prior award contains outstanding conditions.	

Additional Comments: Please provide additional notes regarding information above, or additional information you would like to be considered during the final monitoring determination for this subaward.