



# Subrecipient Risk Assessment

<b>Subrecipient Organization:</b>	
<b>Agreement #:</b>	
<b>Date of Risk Assessment:</b>	
<b>Total FY21 VOCA Award:</b>	
<b>Total FY21 FVPSA Award:</b>	
<b>Total FY21 State DV Award:</b>	

<b>Overall Assessment Key</b>	
High Risk =	19 - 36
Medium Risk =	10 - 18
Low Risk =	0 - 9

Criteria	Score (0-2)
Attendance at Required Meetings and Trainings	
Monitoring Time Frame	
Monitoring Findings	
Monitoring Concerns	
Data Reports - Timeliness and Accuracy	
Staff Turnover	
Years of ICDVVA Funding	
Years Experience with Other Federal Grants	
ICDVVA Award Amount	
Percentage of Subrecipient Budget/Reliance on ICDVVA	
Match Reports - Timeliness and Accuracy	
Budget Adjustments (Frequency)	
Unspent Funds at End of Grant Year	
Audit	
Audit Findings/Questioned Costs	
Reimbursement Requests - Timeliness	
Reimbursement Requests - Accuracy	
Pre-Approval Request Forms When Required	
<b>TOTAL</b>	<b>0</b>

The signature below signifies this Risk Assessment has been completed by an ICDVVA Grant Manager:

<b>Grant Manager, ICDVVA</b>	<b>Date</b>

The signature below signifies this Risk Assessment has been reviewed by the ICDVVA Grants Supervisor:

<b>Dana Wiemiller, Grants Supervisor, ICDVVA</b>	<b>Date</b>

The signature below signifies this Risk Assessment has been reviewed by the ICDVVA Executive Director:

<b>Heather A. Cunningham, Executive Director, ICDVVA</b>	<b>Date</b>

## Key to Risk Assessment Scoring

Attendance at Required Meetings and Trainings	0	Subrecipient attended all required meetings, trainings or events	1	Subrecipient missed one required meeting, training, or event	2	Subrecipient missed more than one required meeting, training, or event
Monitoring Time Frame	0	Monitored in the last year	1	Monitored in the last 2 years	2	Not monitored in the last 2 years OR new subrecipient
Monitoring Findings	0	0-2 Findings at most recent Monitoring	1	3-4 Findings at most recent Monitoring	2	5+ Findings at most recent Monitoring
Monitoring Concerns	0	0-2 Concerns at most recent Monitoring	1	3-4 Concerns at most recent Monitoring	2	5+ Concerns at most recent Monitoring
Data Reports - Timeliness and Accuracy	0	Reports are consistently submitted accurately and in a timely manner	1	1 quarter of reporting was submitted late and/or with minor errors	2	2+ quarters of reporting were submitted late and/or with significant errors. Late SAR submission.
Staff Turnover	0	No staff turnover in key funded positions within the past year			2	Change in agency leadership and/or change/vacancy in two or more key funded positions
Years of ICDVVA Funding	0	3 or more years	1	1-2 years	2	New Subrecipient
Years Experience with Other Federal Grants (new subrecipients only; continuing subrecipients score = 0)	0	4 or more years (all continuing subrecipients score 0)	1	1-2 years	2	None
ICDVVA Award Amount	0	Less than \$150,000	1	\$150,001-\$300,000	2	\$300,001 or more
Percentage of Subrecipient Budget/Reliance on ICDVVA	0	This grant comprises less than 25% of total subrecipient operating budget	1	This grant comprises between 25-50% of total subrecipient operating budget	2	This grant comprises more than 50% of total subrecipient operating budget
Match Reports - Timeliness and Accuracy	0	Quarterly match reports are consistently submitted accurately and in a timely manner	1	1 quarter of match reporting was submitted late and/or with minor errors	2	2+ quarters of match reporting were submitted late and/or with errors
Budget Adjustments (Frequency)	0	0-3 budget modifications requested	1	4-5 budget modifications requested	2	6+ budget modifications requested
Unspent Funds at End of Grant Year	0	All funds were expended	1	90%-99% of award was expended	2	Less than 90% of award was expended
Audit	0	Audit completed in last 12 months			2	No audit completed in last 12 months
Audit Findings/Questioned Costs	0	No audit findings or questioned costs			2	Audit findings or questioned costs
Reimbursement Requests - Timeliness (45 days from end of expenditure)	0	No late submissions	1	1 late submission	2	2+ late submissions
Reimbursement Requests - Accuracy	0	Reimbursement requests require few or no revisions	1	Reimbursement requests require occasional revisions	2	Reimbursement requests require frequent revisions
Pre-Approval Request Forms When Required	0	Pre-approval forms always used when required	1	1-2 instances of requesting item without required pre-approval form	2	3+ instances of requesting item without required pre-approval form