

Subrecipient Monitoring Risk Assessment

Subrecipient
Name:

Application ID:

IDIS Activity Number:

Risk ID	Risk Factor	Conditions of Risk	Risk Score	Comments
1	Type of Organization	For profit entity (3) Non-profit (2) Unit of General Local Government (1)	1	
2	New Subrecipient	Yes (1) No (0)	0	
3	Award Amount	≥100,000 (2) \$50,001-\$99,999 (1) 0-\$50,000(0)	0	
4	Matching Funds if Needed	No (1) Yes (0)	0	
5	Number of Scope Changes	≥ 2 (2) 1 (1) 0 (0)	0	
6	Financial Reporting	2 Untimely Reports (2) 1 Untimely Submission (1) 0 Untimely Report (0)	0	
7	Documentation Issues	Missing or incomplete reimbursements requests (1) No issues (0)	0	
8	Progress Reports	2 Untimely Reports (2) 1 Untimely Submission (1) 0 Untimely Report (0)	0	
9	Independent Single Audit	no and Federal Expenditures ≥750,000 (2) no and Federal Expenditures ≤ \$750,000 (1) Yes (0)	0	
10	Single Audit Opinion	Adverse, Disclaimer, Going Concern (2) Qualified (1) Unqualified (0)	0	
11	Financial Reporting	Last financial reports over year old (1) Current year 990 (0)	0	
12	Equipment Expenditure	Yes (1) No (0)	0	

	Never submits in a timely manner (2) Submitted on time with payment request but with issues (1) Submitted on time with no issues (0)	
13 Income Verification Forms		0
	No Monitoring visit performed (2) Monitoring visits is 2 or more years old (1) Monitoring visits less than 2 years old (0)	
14 Received an On-site Review		0
15 Previous monitoring finds	Yes (1) No (0)	0
16 Attended Grant Orientation	No (1) Yes (0)	0
17 Key staff turnover during or prior to grant	Yes (1) No (0)	0
Total Score		1

Score of 15 or more gets automatic on site review

Score of 7-15 will get either get off site or on site review

Score of 1-6 gets no monitoring

CD team will provide more TA to agencies with Key Staff Turnover.