

U.S. Fish and Wildlife Service
Financial Assistance Recipient Risk Assessment

Date Completed: _____

FY: _____

Recipient Name: _____

Recipient Type (select from drop down): _____

Recipient DUNS: _____

Completed By-Name: _____

Completed By-Program: _____

Instructions:

1. Read the "Recipient Risk Assessment Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FASOPOL-NewAwards>.
2. Complete this form once a Fiscal Year (FY) for each recipient who will be awarded one or more grant or cooperative agreement awards from the program in the open FY. The results of this risk assessment will apply to all awards to the recipient in the open FY.
3. For each category below, enter a numerical rating of 1=Low, 2=Medium or 3=High in the Rating box. Use the information provided under the Rating Description sections to assist you in assigning a rating to each category. If not a new recipient, consider the recipient's performance on all currently open and recently closed awards, when applicable to the risk category.
4. For each category below, specify in the "Basis for Rating and Other Comments" field the factors that contributed to the rating entered. Provide enough detail to give an independent reviewer a clear understanding of the rationale used to determine the rating. If documents exist to support your rating (e.g., performance report on previous award) identify the document(s) and specify the location of the document(s). Here is an example of the type of detail to be entered in the "Basis for Rating and Other Comments" fields:

Category 1 Rating = 1; "Basis for Rating and Other Comments" field reads: *The recipient has successfully implemented awards under our program in the past. Some projects include sub-recipients and construction, and recipient managed those well. Summaries of past project results are available in our program database.*

Category 1: POTENTIAL FOR IMPLEMENTATION PROBLEMS

Rating:

Category 1 Rating Descriptions

1=Low:	Project has no identifiable challenges; no past issues; typical project period for the program or project type; well-qualified recipient; project not complex; no sub-recipients; recipient has all equipment required for the performance of the project.
2=Medium:	New project for recipient; one or more sub-recipients; longer than typical project period for the program or project type; unproven recipient; recipient has had some issues with implementation on other awards; some challenges or potential challenges identified, such as recent staff turnover or reorganization that could affect implementation; recipient does not have all equipment required for the performance of the project but, as noted in its application package, has plans in place to obtain necessary equipment in advance of need.
3=High:	Project has multiple sub-recipients; complex project; multiple partners; construction project; recipient has had significant issues with implementation on other awards; significant challenges identified; recipient does not have all equipment required for the performance of the project and has not secured sufficient resources to make sure lack of equipment does not significantly delay planned project activities.

Basis for Rating and Other Comments:

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Category 2: FINANCIAL MANAGEMENT SYSTEM AND FUNDS MANAGEMENT RECORD

Rating:

Category 2 Rating Descriptions

1=Low:	Recipient has received a Federal financial assistance award in the past, has a financial management system in place that meets the applicable funds management requirements in 2 CFR 200, and the program has never identified any funds management issues on previous awards to recipient.
2=Medium:	Recipient has received an award in the past, has a financial system in place that meets the applicable funds management requirements in 2 CFR 200, but has had funds management issues on a current or previous award(s). Recipient was responsive to USFWS communications or requests for information or action in regards to identified issues. Issues were resolved.

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3=High:	Recipient has never received a Federal financial assistance award (does not have experience managing Federal funds); or Recipient has received an award in the past and has had significant funds management issues on a current or previous award(s), such as routinely submitting incorrect financial reports, requesting more than immediate cash needs, major variances between budget and actual expenditures, difficulty maintaining required matching funds, disallowed costs, among others. One or more reports of waste, fraud or abuse currently under investigation or determined to be valid. Recipient was not responsive to USFWS communications or requests for information or action in regards to identified issues. Issues were never resolved.
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Basis for Rating and Other Comments:

Category 3: PERFORMANCE TRACK RECORD

Rating:

Category 3 Rating Descriptions

1=Low:	Recipient met all proposed outcomes and/or deliverables on previous award(s); on schedule to meet proposed outcomes and/or deliverables on current award(s). Recipient met most proposed outcomes and/or deliverables on previous award(s) and reason(s) for delay or non-performance was (were) unavoidable; on schedule or only slightly delayed to meet proposed outcomes and/or deliverables on current award(s).
2=Medium:	Recipient may have had issues related to compliance with award terms and conditions on current or past award(s) but recipient was responsive to USFWS communications or requests for information or action related to the issues. Issues were resolved.
3=High:	Recipient has no past or current award with the USFWS, or has failed to deliver proposed outcomes and/or deliverables on previous award(s); reason(s) for delay or non-performance was (were) unavoidable; significantly behind schedule or failing to meet maintenance of effort required on current award(s) due to failures within recipient's control to correct. Recipient significantly failed to comply with award terms and conditions. Recipient was not responsive to USFWS communications or requests for information or action related to the issues. Issues were never resolved.

Basis for Rating and Other Comments:

Category 4: STAFF LEVEL AND KEY STAFF QUALIFICATIONS

Rating:

Category 4 Rating Descriptions

1=Low:	Recipient is an individual; or Non-individual recipient provided information detailing the experience and qualifications of key project personnel. All personnel appear qualified to meet the project objectives; no past issues with recipient in regards to key staff qualification. The project is fully staffed.
2=Medium:	Recipient provided information detailing the experience and qualifications for some key project personnel. All of the identified personnel appear qualified to meet the project objectives, but other key project personnel have not yet been hired.
3=High:	Recipient has not yet identified/hired any key project personnel; one or more of the personnel identified do not appear qualified to meet the project objectives; or one or more key personnel left the project and replacement(s) have not been identified.

Basis for Rating and Other Comments:

Category 5: DELIVERY EXPERIENCE

Rating:

Category 5 Rating Descriptions

1=Low:	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other agency for at least five years.
2=Medium:	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other agency for at least two years.

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3=High:	Recipient has never delivered the funded project/program or similar projects/programs, or has delivered the funded project/program or similar projects/programs for USFWS or other agency for less than two years.
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Basis for Rating and Other Comments:

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Category 6: AWARD ADMINISTRATION AND REPORTING COMPLIANCE

Rating:

Category 6 Rating Descriptions

1=Low:	Recipient has been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable.
2=Medium:	Recipient has no past or current award from the program; or Recipient has mostly been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. When out of compliance, recipient was responsive to written notifications and requests from the USFWS regarding late or incomplete requests or reports.
3=High:	Recipient has consistently been late in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. Recipient is seldom or not at all responsive to written notifications and requests from the USFWS regarding late or incomplete requests or reports.

Basis for Rating and Other Comments:

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Category 7: SINGLE AUDIT

Rating:

Category 7 Rating Descriptions

1=Low:	Recipient is a For-Profit, Foreign Entity, or Individual not subject to single audit; or Recipient is a government or non-profit entity and their application indicates that they were not required to submit a Single Audit report for their most recently closed fiscal year; or Recipient completed a Single Audit for at least one of their two most recently closed fiscal years and did not have any Qualified or Adverse/Disclaimer opinions, significant internal control deficiencies, or findings for non-compliance.
2=Medium:	Recipient has not had any Adverse/Disclaimer opinions, more than two significant internal control deficiencies, or more than two findings for non-compliance on Single Audits conducted in the last five years.
3=High:	Recipient has had an Adverse/Disclaimer opinion, more than two significant internal control deficiencies, or more than two findings for non-compliance on Single Audits conducted in the last five years. Recipient currently working under a Corrective Action Plan related to a current or previous award funded by the program.

Basis for Rating and Other Comments:

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Category 8: OTHER AUDITS REQUIRED BY FUNDING PROGRAM LEGISLATION

Rating:

Category 8 Rating Descriptions

1=Low:	Recipient has no past or current award from the program; or program authorizing legislation does not require recipients to conduct a formal audit; or Program does require an audit and recipient has had no significant internal control deficiencies or findings for non-compliance.
2=Medium:	Program does require an audit and recipient has had less than two significant internal control deficiencies and less than two findings for non-compliance.
3=High:	Program does require an audit and recipient has had more than two significant internal control deficiencies and more than two findings for non-compliance.

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Basis for Rating and Other Comments:

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RISK RATING AVERAGE (auto-calculated based on numerical scores entered in Rating boxes above):

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Instructions: In the Preliminary Risk Level box below, enter the preliminary risk level that corresponds with the risk rating average calculated above, as follows:

Enter "**Low**" if the number in the Risk Rating Average box above is between **0-1.49**

Enter "**Medium**" if between **1.5-2.49**

Enter "**High**" if between **2.5-3**

PRELIMINARY RISK LEVEL (Low, Medium or High):

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OTHER FACTORS IMPACTING RISK LEVEL:

Instructions: Consider if there are any other factors that impact, either by raising or lowering, the recipient's preliminary risk level. If there are such factors, describe each factor and explain how each raised or lowered the preliminary risk level in the text box below, and then enter either "Low", "Medium" or "High" in the Final Risk Level box below.

If no such factors exist, enter "No other factors impact the preliminary risk level" in the text box below, and then enter the same value as entered in the Preliminary Risk Level box above in the Final Risk Level box below.

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FINAL RISK LEVEL (Low, Medium or High):

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Instructions: Based on the result of this risk assessment, incorporate the required monitoring activities into all notices of award to the recipient in the open FY following the "Recipient Risk Assessment Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FASOPOL-NewAwards>.

NOTE: To save a locked or "flattened" version of a completed PDF fillable form, print the file to PDF by selecting File>Print>Adobe PDF printer (from the Printer drop down list). Following these steps will remove all fillable features and save the unique data entered on the form at the time it is printed.