

Subrecipient _____

RISK ASSESSMENT MATRIX				
Risk Criteria	Low	Medium	High	Score
[1] Dollar Value of Sub-Award Rating: 1=low, 2= medium, 3=high	≤ \$500,000	\$500,001 to \$1,000,000	> \$1,000,000	3
[2] Percentage of total sub-awards Rating: 1=low, 2= medium, 3=high	< 5%	5% to 10%	> 10%	3
[3] Program Complexity* Rating: 1=low, 2= medium, 3=high	Minimal Complexity	Average Complexity	Significant Complexity	3
[4] Results from Self-Assessment Rating: 1=low, 2= medium, 3=high	Good to Excellent 1	Average	Poor	1
[5] Fixed price vs. cost reimbursable Rating: 1=low, 2= medium, 3=high	Fixed Price contract	n/a	Cost Reimbursable contract	3
[6] Experience with Subrecipient Rating: 1=low, 2= medium, 3=high	Good experience with Subrecipient 1	Existing subrecipient: new personnel or new systems	New Subrecipient	1
[7] Evidence of trained personnel and compliance program Rating: 1=low, 2= medium, 3=high	Trained personnel and compliance program 1	Either trained personnel or compliance program, but not both	Neither trained personnel nor compliance program	1
[8] Cooperates w/timely responses Rating: 1=low, 2= medium, 3=high	Provides info timely 1	Provides info, not timely	Does not provide info	1
[9] A-133 audit or agreed upon procedures Rating: 1=low, 2= medium, 3=high	No findings 1	Minor Findings	Significant findings or not audit	1
[10] Timely correction of findings Rating: 1=low, 2= medium, 3=high	Timely within 6 months	Completed > 6 months	Not responded to findings	0
[11] No previous F/S Audit Rating: 1=low, 2= medium, 3=high	Previous F/S Audit 1	n/a	No Previous F/S Audit	1
[12] Results from review of documents for monthly draw Rating: 1=low, 2= medium, 3=high	No problems 1	A few issues	Major problems	1
Total Score				18

*Program complexity is determined by the Project Director.

Subrecipient Risk for Total Score	Low = 1 to 12	Medium = 13 to 24	High = 25 to 36
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