

**OFFICE OF CRIMINAL JUSTICE PROGRAMS
2013 SUBRECIPIENT MONITORING RISK ASSESSMENT FORM**

Subrecipient Name: «AUTH_AGENCY»
 Contract Number 2011: «M_2011_EDISON_CONTRACT_25_Digits»
 Contract Number 2012: «M_2012_EDISON_CONTRACT_25_Digits»
 Contract Number 2013: «M_2013_EDISON_CONTRACT»
 Program Manager Completing Form: «MGR_NAM»
 Date completed:

Instructions: Enter a score for each line based on the statement that best describes the subrecipient agency. Total each section. Then add each section for the overall total. Check the appropriate score in the smaller tables in the bottom left. Enter the fiscal total and the overall total in the database. Monitoring will be determined based on the risk score along with Policy 22 requirements. If you as the Program Manager wish to override the risk score and indicate a decision to monitor or not check the appropriate box and indicate the reason. Enter your recommendation for monitoring in the database and forward a copy of the risk assessment to the Monitoring Director.

Risk Level							
	Low Risk		Moderate Risk		High Risk		
Criteria	Description	Weighting	Description	Weighting	Description	Weighting	Score

1. Staffing:

Qualifications	Staff in key positions are professionally trained and have one or more years experience in that position.	1	At least half of staff in key positions are professionally trained for the position they hold but have less than one year experience.	2	Staff in key positions have little or no experience or training in program area being funded	3	
Turnover	No change in staff in key positions	2	New or no staff in 1 or more key positions	4	New or no agency (grant) administrator and/or fiscal officer	6	

2. History of Meeting Requirements:

Program	Agency has provided services and met program objectives specified in contract within the last 2 years	2	Program Manager suspects possible weaknesses in service delivery/program objectives based on information received in the past fiscal year.	4	Program history within the past 2 years includes weaknesses in service delivery/program objectives OR Agency is in its first year of funding (no basis for evaluation)	6	
	No program findings within the past 2 years	2	Minor program findings within the past 2 years.	4	Significant program findings within past 2 years. OR Agency is new	6	
	Program has been monitored within the past 2 years	2	NO MEASURE		Program has not been monitored in within the past 2 years OR Agency is new	8	
Reporting	Program and fiscal reports are consistently submitted in a timely and accurate manner	2	Routine reports are submitted timely but contain errors or information is omitted	4	Routine reports are not submitted on time OR the incorrect report is submitted OR Agency is new	6	
PROGRAM REVIEW TOTAL							

3. Fiscal

All Federal Funds granted to the agency from OCJP are less than \$25,000 per fiscal year	2	All Federal Funds granted to the agency from OCJP are from \$25,000 to \$99,999 per fiscal year	4	All Federal funds granted to the agency from OCJP are \$100,000 or over per fiscal year	8	
Grant Budget includes only personnel line items OR only equipment line items	2	NO MEASURE		Grant Budget includes more than personnel line items	6	
No significant fiscal findings for 2 years	2	Minor fiscal findings	4	Significant fiscal finding within the past 2 years OR no fiscal monitoring has been conducted in past 2 years OR had a finding for questioned costs OR new agency	6	
NO MEASURE		NO MEASURE		The grant(s) budget includes a subcontract(s)	6	
NO MEASURE		NO MEASURE		The agency has money budgeted for confidential funds	6	
In the last 2 years, this agency received an on-site fiscal review by an OCJP auditor	2	In the last 2 years, this agency received a fiscal desk review by an OCJP auditor	4	In the last 2 years, agency did not receive an on-site fiscal review by a OCJP program monitor OR new agency	6	
Agency has 1-2 OCJP grant contracts	2	NO MEASURE		Agency has 3 or more OCJP grant contracts	8	
NO MEASURE		NO MEASURE		The agency is receiving funds from a new source this year.	4	
					FISCAL REVIEW TOTAL	
					OVERALL TOTAL	

Overall Risk Score Key	
Low Risk = 21-27	
Moderate Risk= 28-50	
High Risk= 51-85	

Fiscal Review Level	
Monitor Review= 10-16	
Desk Review = 17-23	
On Site Review= 24-50	

OVERRIDE (Only complete this section if you disagree with the scoring results.)

Regardless of the risk score should this contract be monitored?

(Check one) YES ____ NO ____ **If checked forward copy to Monitoring director.**

Give Reason (Required for override)