

Sample Subrecipient Monitoring Risk Assessment Tool

Subrecipient Name:

Grant Number:

No. of Attributes	Risk Factor	Risk Score	Weight	Weighted Score
1	Subrecipient Type	Non-Profit, Educational Unit (2) Municipality, County (1) Other (0)		
2	New Subrecipient	Yes (2) No (0)		
3	Award Amount	≥\$300,000 (2) \$100,001 - \$299,999 (1) ≤\$100,000 (0)		
4	Matching Funds	Yes (2) No (0)		
5	Number of Adjustments Requested	≥ 3 (2) 1-2 (1) 0 (0)		
6	Financial Reports	2 Untimely Submissions (2) 1 Untimely Submission (1) 0 Untimely Submission (0)		
7	Progress Reports	2 Untimely Submissions(2) 1 Untimely Submission (1) 0 Untimely Submission (0)		
8	Independent Single Audit	No and Federal expenditures ≥ \$750,000 (2) No and Federal expenditures < \$750,000 (1) Yes (0)		
9	Single Audit Opinion	Adverse, Disclaimer, Going Concern (2) Qualified (1) Unqualified (0)		
10	Program Income and on Financial Report	Yes (2) No (0)		
11	Equipment Expenditure	Yes (2) No (0)		
12	Conference Costs	Yes (2) No (0)		
13	Received an On-Site Review	No monitoring visit performed (2) Monitoring visit is 2 or more years ago (1) Monitoring visit is less than 2 years ago (0)		
14	Grant Training	Yes (0) No (2)		
Pre-Award Risk Rating		High (2) Medium (1) Low (0)		
Composite Risk Score:				

The weight assigned to a risk factor should be determined by the level of importance accorded to the risk factor. Based on the resulting composite risk score, a monitoring plan can be developed to address any concerns.

Note: This is a sample and not an exhaustive list of risk factors, and pass through entities are not required to use all of these to weigh the risk of their subrecipients. Pass through entities should tailor the risk assessment based on the grant program, scope of work, location of work, and other factors.