Pre-Award Risk Assessment				
Subrecipient Name:				
Grant Award Number(s) or CFDA Number:				
Program Name(s):				
Risk Assessment Completed Date:				
Grant Period(s):				
Total Score:	0			
Risk Assessment:	Low Risk			

Is the entity on the federal debarrment list (www.sam.gov)? Is the entity on the Bureau of Administration's debarrment list (boa.sd.gov)? Is the entity not in good standing with the SD Secretary of State (sos.sd.gov)? 2. Amount Agency set the Criteria for determining size of grant: Amount of the award (If award amount is unknown, an estimated award amount should bit wased.) 3. Funding of Entity Agency set percentage criteria: What percentage of funding would this grant be for the entity in comparison to the entity's total funding? 4. Accounting System Automated Automated Manual Combo Type of accounting system used by the entity 5. Program Complexity All the program Programs with complex compliance requirements have a higher risk of pon-compliance. In your determination of complexity consider Numerous programmatic requirements and/or must strictly adhere to regulations Add agency specific criteria here Add agency specific criteria here 6.1. Entity Risk (Questions Must Be Answered for all Grants) a. Is the entity receiving an award for the first time from the State? b. Will the entity receiving funds prior to expenses being claimed? c. Does a conflict of interest exist between the applicant and Department issuing the grant? d. Does the program leader have more than 3 years of experience in managing the scope of services required under this program? e. Dot the entity's financial and programmatic staff who will oversee this grant have more than one year prior federal grant award experience?					
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	f. Has the entity been in business for less than 3 years?				
h. If applicable, is there any indication that the subrecipient may have difficulty meeting the required match?					
	h. If applicable, is there any indication that the subrecipient may have difficulty n	neeting the	required match?	'	

b. Does the entity maintain policies which include procedures for assuring compliance with the terms of the award? c. Does the entity have an accounting system that will allow them to completely and accurately track the receipt and disbursements of funds related to the award? d. If applicable, does the entity have a system in place which can track employee time spent on multiple programs? e. If applicable, does the entity have a procurement system or procedures in place that meet the minimum federal requirements for procurement? f. If applicable, does the entity have a property management system that meets the minimum federal requirements for equipment management? g. If applicable, does the entity have an adequate system or procedures in place for tracking and evaluation of in-kind match? h. Has the entity been audited in the past 3 years? select N/A if hos been in business for less than this amount of time/JPer 2 CFR 200.501, this is required for all entities who receive over \$750,000 in federal funds from all sources total last year, was a single audit conducted on the entity per 2 CFR 200.501. j. Did the entity have one or more audit findings in their last single audit regarding protrant non-compliance and/or significant internal control deficiency? k. Are there currently any unresolved audit issues? l. Does the entity intend to claim use of personal property as an expense? m. Other issues that may indicates risk of non-compliance? (List issues in the box below, if more than one, list point value next to each one, add points together and put total into the green point value pastage, list accounting sayroli, reporting, technology, administration; (2) turnover in personnel, i.e. business, award management, program; (3) external risks including sayroli, reporting, technology, administration; (2) turnover in personal personal property as an expense? o. Other issues personal, i.e. business, award management, program; (3) external risks including sayroli, reporting, technology, administration; (2) turno	6.II. Entity Risk (Questions Must Be Answered for Medium and Large Grants)	Yes/No			
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Common Attributes of Grantees with Low, Moderate and High Risk:

Low Risk: Most of the following attributes should be present to be considered low risk

- ► Small grant amount
- ► Entity has complied with the terms and conditions of prior grant awards
- ▶ No known financial management problems or financial instability
- ► High quality programmatic performance
- ► No, or very insignificant, audit or other monitoring findings
- ► Timely and accurate financial and performance reports
- ▶ Program likely does not have complex compliance requirements
- ► Entity has received some form of monitoring (e.g., single audit, on-site review, etc.)

Moderate Risk

- ► New business
- ► Small entity handles a complex grant with multiple requirements
- ► A disclosed conflict of interest exists

High Risk

- ▶ History of unsatisfactory performance or failure to adhere to prior grant terms and conditions
- ► Financial management problems and/or instability; inadequate financial management system
- ▶ Program has highly complex compliance requirements
- ► Significant findings or questioned costs from prior audit
- ► Large award amount

