

**Utah State Board of Education**  
**Fiscal Year Risk Assessment for 21<sup>st</sup> Century Community Learning Center (CCLC) Grantees**

The state agency must evaluate sub recipient’s risk of noncompliance with federal statutes, regulations, and the terms and conditions of the sub award from purposes of determining the appropriate sub recipient monitoring. [§ 200.331(b)]

Date: \_\_\_\_\_ Subrecipient Name \_\_\_\_\_

Year that the grant is in (circle one)    1       2       3       4       5       Award Amount for year \$ \_\_\_\_\_

Points Possible	Program Management		Points
5 Points Possible	<b>1.</b>	Has the subrecipient received this type of federal award in the past or is this a brand-new award? Received in the past=0 points    New Award=5 points	
5 Points Possible	<b>2.</b>	Has there been recent changes in key management or grant personnel? No=0 points    Yes =5 points	
10 Points Possible	<b>3.</b>	Have prior monitoring/site visits or other communications revealed program or financial management compliance issues Point scale of 0-10; 1 finding-1 point; 2 findings=2 points, etc., Maximum of 10 points	
5 Points Possible	<b>4.</b>	Has the subrecipient received multiple cohorts of funding to be managed concurrently? No=0 points    Yes=5 points	
3 Points Possible	<b>5.</b>	Has the subrecipient met all data reporting deadlines? Yes=0 points    Missed one=1 point    Missed two or more=3 points	
5 Points Possible	<b>6.</b>	Has the subrecipient met program performance goals and Local Objectives in the previous year? Yes=0 points    No=5 points	
4 Points Possible	<b>7.</b>	Has the subrecipient submitted numerous budget revisions in the past? No=0 points; 1 Budget Revision=1 point; 2 budget revisions=2 points; More than 4 budget revisions=4 points	
5 Points Possible	<b>8.</b>	Has the subrecipient filed amendments as required before making substantive changes to program or budget? Yes= 0 points    No=5 Points	
<b>Grand Total Points for Program Management Total Section:</b>			
<b>42 Points Possible</b>			
<b>Program Management Reviewer Initials and Date:</b>			
<b>Additional Comments:</b>			

Points Possible	Fiscal Grants Management		Points
5 Points Possible	9.	Organization turns in Fiscal Year audit reports on schedule. Yes=0 Points No=5 Points	
5 Points Possible	10.	Previous Fiscal Year audit has: Findings=2 points Unresolved Findings=3 points Is Delinquent=5 points	
4 Points Possible	11.	Have the subrecipient's previous reimbursements and expenditure reports been Inadequate=2 points Inaccurate=3 points Late=4 points If none of the above, assign 0 points	
5 Points Possible	12.	Has the grantee returned federal funds to the state within the previous two grant cycles? No=0 points Yes=5 Points	
<b>Grand Total Points for Fiscal Grants Management Section:</b>			
<b>19 Points Possible</b>			
<b>Fiscal Grants Management Reviewer Initials and Date:</b>			
<b>Additional Comments:</b>			
<b>Grant Total Points for both Program Management Section AND Fiscal Grants Management Section:</b>			
<b>61 TOTAL Points Possible</b>			

Risk Assessment Levels		
Low Risk: 0-9 points	Moderate Risk: 10-25 points	High Risk: More than 26 points
Low Risk subrecipients have stable personnel with grant experience. There are little to no audit findings, compliance monitoring issues and reports are submitted timely and accurately.	Moderate Risk subrecipients have some turnover of key grant individuals. There may be a few audit findings with either acceptable management responses or quick resolution of the issue. Previous compliance monitoring showed a few items of concern, which have all been resolved. Reports are submitted mostly on time and typically accurate.	High Risk subrecipients have an unstable work force with high turnover in key grant positions. There have been numerous findings in previous audits with no resolution or unacceptable responses. Previous monitoring showed both program and fiscal have issues of concern, that may or may not have been resolved. Reports are submitted late and may have errors.