



SUBRECIPIENT RISK ASSESSMENT

The California Department of Fish and Wildlife (CDFW) is required by the Office of Management and Budget Guidance Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ([§ 200.331 \(b\)](#)) to evaluate each subrecipient’s risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring.

All subrecipients must provide the following information to meet federal risk assessment requirements. Please fill out the following questionnaire accurately and completely.

Grantee Name:	Grantee UEI: (12-digit):
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CATEGORY	1	2	3
How many years have you delivered the funded or similar project/program?	5+ years	2-4 years	0-2 years
Did you provide information detailing the experience and qualifications of all, some or none of key project personnel?	All	Some	None
Have you been ___ in the submission of required documentation and in responding to requests?	Timely	Mostly timely	Consistently Late
Are you exempt from submitting a Single Audit report?	Yes		
If no, how many significant internal control deficiencies or findings for non-compliance did you have according to your last Single Audit report?	0	2 or less	2 or more
Do you have a financial management system in place that meets the applicable fund management requirements in the Code of Federal Regulations (see §200.331 and §200.302)?	Yes		No

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY, that I am duly authorized by the prospective subrecipient to execute this certification and that the information listed above is true and accurate. This certification is made under the laws of the State of California.

Printed Name:	Position Title:
Signature:	Date Executed:

CDFW INTERNAL USE ONLY			
TOTAL	1	2	3
# of times each category was selected. Category with highest total identifies the entity's risk rating:			
Category:	1= Low Risk	2= Medium Risk	3= High Risk
Recommendations based on Risk Rating:			
Payable Grant Number(s) (Include amendment # if applicable):			
Risk Assessment Completed by:			Date:



Instructions

After the subrecipient fills out the top portion of the form, the CDFW Grant Manager must fill out the “CDFW Internal Use Only” fields.

Field	Notes
TOTAL	Based on the subrecipient’s responses, add up the number of times category 1, 2 and/or 3 were selected. Whichever category has the highest total, identifies the entity’s risk rating; category 1= low risk, category 2= medium risk and category 3=high risk.
Recommendations based on Risk Rating	If the subrecipient is low risk, a recommendation is not required. If the subrecipient is medium or high risk, please include anything you as the CDFW Grant Manager will want the subrecipient to do to minimize risk. For example, if the subrecipient is medium risk, but CDFW has had agreements with them previously and they were responsive and met the conditions of their award, include those notes here.
Payable Grant Number(s)	If a subrecipient is receiving more than one payable grant, you can list multiple payable grant numbers here. Please include a copy of the DFW 870 in each of the payable grant packages.
Risk Assessment Completed by	The DFW 870 should be completed by the CDFW Grant Manager. The CDFW Grant Manager is most knowledgeable about the subrecipient’s risk and how to minimize that risk, if needed.
Date	Date the CDFW Grant Manager completed the Risk Assessment.

Submission and Distribution Process

After filling out the form in its entirety:

1. Include the form in the payable grant package.
2. Route the payable grant package for signatures.
3. The payable grant package must include a completed DFW 870 before the Federal Assistance Section (FAS) can sign the DFW 177.
4. The FAS will review the DFW 177. Once approved, FAS will sign and send back to Program.