

SCDE's Agency Assessment of Subrecipient' s Risk for Subrecipients (Finance)

Risk Criteria	Assign a 3 in each category for high risk if the following apply:	Assign a 2 in each category for medium risk if the following apply:	Assign a 1 in each category for low risk if the following apply:
Criteria 1-Personnel Turnover (4-2-1)	High turnover in key personnel	Stability in key personnel	Experienced key personnel
Criteria 2-Required Reporting (4-2-1)	Required reporting not submitted on time. Requests for reimbursement made once a year (giving the appearance of supplanting)	Required reporting submitted after the quarter or year-end deadline; Infrequent requests for reimbursements (less often than quarterly but more than once a year)	All required reports for payment are submitted timely. Required reporting submitted timely; Periodic requests for reimbursement (quarterly submissions).
Criteria 4-Fiscal Compliance (5-3-1)	Budget amendments filed after the required deadline. Frequent reimbursement of over-claims or unspent funds	Amendments filed near the deadline. Seldom occasions of reimbursement of over-claims or unspent funds	Budget amendment filed timely and in advance of expenditures. Infrequent reimbursement of over-claims or unspent funds
Criteria 6-Technical Assistance (4-2-1)	Frequent need for assistance	Periodic need for support and technical assistance	Infrequent need for support and technical assistance