Applicant Name:

Current Federal Grants: [ ]  VOCA Non-Competitive [ ]  VOCA Joint [ ]  VOCA Competitive [ ]  VAWA Joint [ ]  VAWA Competitive [ ]  SASP

Current State Grants: [ ]  CFA [ ]  ODSVS [ ]  CAMI-MDT [ ]  CAMI-RSP [ ]  Other State Grant

Representative Completing Assessment:       Date Completed:

Fund Coordinator Reviewing Assessment:       Date Finalized:        **Overall** **Risk Score:**

**1. ADMINISTRATIVE RISK ASSESSMENT**

| **Criteria** | **Description** | **High Risk** | **Description** | **Mod.****Risk** | **Description** | **Low Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **Board of Directors***(Non-profit organizations only)***[ ]** NA | Board size not consistent with bylaws, less than 75% of members meet training requirements, turnover unrelated to term limits more than 10% in last yearB. Tribe: Tribal Council informed and updated on grant-related matters less than 75% of the timeC. Government-based: Administrative body informed and updated on grant-related matters less than 75% of the time | [ ]  | Board size consistent with bylaws, at least 75% of members meet training requirements, turnover unrelated to term limits less than 10% in last yearB. Tribe: Tribal Council informed and updated on grant-related matters at least 75% of the timeC. Government-based: Administrative body informed and updated on grant-related matters at least 75% of the time | [ ]  | Board size consistent with bylaws, all members meet training requirements, no turnover unrelated to term limits in last yearB. Tribe: Tribal Council informed and updated on grant-related matters at all times C. Government-based: Administrative body informed and updated on grant-related matters at all times | [ ]  |
| **Organization structure** | Applicant had a reorganization that impacted funded programs in the last year | [ ]  | Applicant had a reorganization that minimally impacted funded programs in the last year | [ ]  | Applicant did not have a reorganization that impacted funded programs in the last year  | [ ]  |
| **Award size** | The total of all open CVSSD grant awards is greater than $500,000 | [ ]  | The total of all open CVSSD grant awards is between $250,000 and $500,000 | [ ]  | The total of all open CVSSD grant awards is less than $250,000 | [ ]  |
| **Number of awards[[1]](#footnote-1)** | Applicant has 6 or more CVSSD grant awards | [ ]  | Applicant has 4-5 CVSSD grant awards | [ ]  | Applicant has 1-3 CVSSD grant awards  | [ ]  |
| **Award complexity** | Two or more grant budgets include Personnel, Services and Supplies and Other Costs; one or more budgets include subcontractor(s), capital outlay and/or indirect costs; and applicant may collect program income | [ ]  | Only one grant budget includes Personnel, Services & Supplies and Other Costs; none include subcontractor(s), capital outlay, or indirect costs (exclude VOCA-OT); and applicant does not collect program income | [ ]  | All grant budgets include primarily personnel line items (exclude VOCA-OT) and applicant does not collect program income | [ ]  |
| **Travel policy and practices** | Applicant does not have a written travel policy and is unaware of the federal per diem and mileage reimbursement rates | [ ]  | Applicant does not have a written travel policy, but does adhere to the federal per diem and mileage reimbursement rates when traveling under federal funds | [ ]  | Applicant has a written travel policy and adheres to the federal per diem and mileage reimbursement rates when traveling under federal funds  | [ ]  |
| **Equipment/****Property Standards[[2]](#footnote-2)** | Applicant does not have a property management system or has a property management system that includes less than 75% of the following elements: (1) description of equipment; (2) ID number; (3) funding source and award number; (4) acquisition cost and date; (5) who holds title; (6) federal share of property cost; (7) location, use and condition; and (8) disposition information; AND applicant does not conduct a physical inventory at least every 2 years; AND applicant does not have adequate maintenance procedures in place to keep property in good condition | [ ]  | Applicant has a property management system that includes at least 75% of the following elements: (1) description of equipment; (2) ID number; (3) funding source and award number; (4) acquisition cost and date; (5) who holds title; (6) federal share of property cost; (7) location, use and condition; and (8) disposition information; AND applicant conducts physical inventory at least every 2 years; AND applicant has maintenance procedures in place to keep property in good condition | [ ]  | Applicant has a property management system that includes: (1) description of equipment; (2) ID number; (3) funding source and award number; (4) acquisition cost and date; (5) who holds title; (6) federal share of property cost; (7) location, use and condition; and (8) disposition information; AND applicant conducts annual physical inventory; AND applicant has maintenance procedures in place to keep property in good condition  | [ ]  |
| **Procurement policies and procedures** | Applicant does not have a written procurement policy AND the applicant does not maintain records sufficient to detail the history of each procurement (method used, selection, basis for price) | [ ]  | Applicant does not have a written procurement policy, but does meet federal procurement standards [*CFR §200.318*], does provide full and open competition that is free from restrictive practices [*CFR §200.319*] AND does maintain records sufficient to detail one or more of the elements of the history of each procurement (method used, selection, basis for price) | [ ]  | Applicant uses documented procurement procedures that meet federal standards [*CFR §200.318*], that provide full and open competition and are free from restrictive practices [*CFR §200.319*] AND the applicant maintains records sufficient to detail the history of each procurement process (method used, selection, basis for price) | [ ]  |

**COMMENTS on Administrative Risk:**

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| **APPLICANT:**       |
| **CVSSD:**       |

**2. STAFF ADMINISTRATION RISK ASSESSMENT**

| **Criteria** | **Description** | **High Risk** | **Description** | **Mod.****Risk** | **Description** | **Low Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **Executive staffing** | Executive/Program Director has less than one year tenure | [ ]  | Executive/Program Director has 1-2 years tenure | [ ]  | Executive/Program Director has more than 2 years tenure  | [ ]  |
| **Fiscal staffing** | Internal or external fiscal administrator has less than one year tenure | [ ]  | Internal or external fiscal administrator has 1-2 years tenure | [ ]  | Internal or external fiscal administrator has more than 2 years tenure  | [ ]  |
| **Staff training** | Less than 75% of staff providing direct client services meet the grant-funded training requirements | [ ]  | At least 75% of staff providing direct client services meet the grant-funded training requirements | [ ]  | All staff providing direct client services meet the grant-funded training requirements  | [ ]  |
| **Staff experience** | Less than 75% of staff in key positions (managers, coordinators, direct service providers) have at least one year of volunteer or paid experience in a related field | [ ]  | At least 75% of staff in key positions (managers, coordinators, direct service providers) have two or more years of volunteer or paid experience in a related field | [ ]  | All staff in key positions (managers, coordinators, direct service providers) have two or more years of volunteer or paid experience in a related field | [ ]  |
| **Staff turnover[[3]](#footnote-3)** | Staff turnover occurred in 25% or more of key positions (managers, coordinators, direct service providers) in the last year and the position(s) was vacant for more than 30 days | [ ]  | Staff turnover occurred in less than 25% of key positions (managers, coordinators, direct service providers) in the last year and no position(s) was vacant for more than 30 days | [ ]  | No staff turnover occurred in key positions (managers, coordinators, direct service providers) in the last year | [ ]  |

**COMMENTS on Staff Administration Risk:**

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| **APPLICANT:**  |
| **CVSSD:**  |

**3. PROGRAM ADMINISTRATION RISK ASSESSMENT**

| **Criteria** | **Description** | **High Risk** | **Description** | **Mod.****Risk** | **Description** | **Low Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **New or Continuing Grantee** | New Grantee (implementing first CVSSD federal grant) or continuing Grantee with at least 2 years of experience managing CVSSD federal grants and has a deficiency with two or more of the following competencies for managing federal grants: 1) understanding federal requirements; 2) translating a grant proposal into a program plan; 3) keeping records and documenting progress; 4) managing budget and finances; 5) using management systems;6) administering and managing subcontracts; 7) managing risk; 8) addressing weaknesses  | [ ]  | Continuing Grantee with at least 4 years of experience managing CVSSD federal grants and has a deficiency with no more than one of the following competencies for managing federal grants: 1) understanding federal requirements; 2) translating a grant proposal into a program plan; 3) keeping records and documenting progress; 4) managing budget and finances; 5) using management systems; 6) administering and managing subcontracts; 7) managing risk; 8) addressing weaknesses | [ ]  | Continuing Grantee with at least 6 years of experience managing CVSSD federal grants and has not demonstrated a deficiency with any of the following competencies for managing federal grants: 1) understanding federal requirements; 2) translating a grant proposal into a program plan; 3) keeping records and documenting progress; 4) managing budget and finances; 5) using management systems; 6) administering and managing subcontracts; 7) managing risk; 8) addressing weaknesses | [ ]  |
| **E-Grants** | Board Roster (as appropriate), Staff Roster, Agency/Organization Members, and Civil Rights Certification are only updated upon request | [ ]  | Board Roster (as appropriate), Staff Roster, Agency/Organization Members, and Civil Rights Certification are updated only when applications and financial reports are submitted | [ ]  | Board Roster (as appropriate), Staff Roster, Agency/Organization Members, and Civil Rights Certification are updated within 2 weeks of a change  | [ ]  |
| **Grant documents** | Less than 75% of the time during a grant cycle Applications, Modifications, Amendments, Financial Reports and Progress Reports are submitted in a timely and accurate manner | [ ]  | At least 75% of the time during a grant cycle Applications, Modifications, Amendments, Financial Reports and Progress Reports are submitted in a timely and accurate manner | [ ]  | At least 90% of the time during a grant cycle Applications, Modifications, Amendments, Financial Reports and Progress Reports are submitted in a timely and accurate manner  | [ ]  |
| **Meeting program requirements** | Applicant has implemented project(s), but has met less than 80% of program objectives specified in grant application(s) in the last 2 years OR applicant is implementing its first CVSSD grant (consider Common Outcome Measures if applicant does not have an award with performance measures) | [ ]  | Applicant has implemented project(s) and met at least 80% of program objectives specified in grant application(s) in the last 2 years (consider Common Outcome Measures if applicant does not have an award with performance measures) | [ ]  | Applicant has implemented projects and met project objectives specified in grant application(s) in the last 2 years (consider Common Outcome Measures if applicant does not have an award with performance measures) | [ ]  |

**COMMENTS on Program Administration Risk:**

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| **APPLICANT:**       |
| **CVSSD:**       |

1. Count all awards included in the Joint Non-Competitive and VOCA/CFA Non-Competitive Funding [↑](#footnote-ref-1)
2. Equipment means tangible personal property (including information technology systems) having 1) a useful life of more than one year and 2) a per-unit acquisition cost of $5,000 or greater (or your applicant’s capitalization policy, if it is less than $5,000). If the applicant does not have a capitalization policy in place, then use the Federal policy amount of $5,000. [↑](#footnote-ref-2)
3. Defined as any time an employee leaves the agency/organization, for any reason. [↑](#footnote-ref-3)