



**U.S. FISH AND WILDLIFE SERVICE
Financial Assistance Recipient Risk Assessment**

FWS Form 3-2462

Instructions:

Complete this form once a Fiscal Year (FY) for each recipient to be awarded one or more awards from the program in the open FY. Enter a numerical rating of “1” (Low), “2” (Medium), or “3” (High) in the “Rating” box for each risk category below. Use the information provided in the rating descriptions for each category to assist you in assigning a rating. Enter in the "Basis for Rating and Other Comments" boxes the factors that contributed to the rating entered for each category. Provide enough detail to give an independent reviewer a clear understanding of the rationale used to determine the rating. Identify any external document(s) that support the rating and specify the location of the document(s), when applicable. This form will calculate a “Risk Rating Score” and a “Risk Level”. Enter a description of any factors that require changing the risk level calculated by the form in the “Other Factors Impacting Risk Level”. Enter the changed risk level in the “Revised Risk Level” field, when applicable. See also the Service’s [“Recipient Risk Assessment Guidance”](#).

Review Details

Recipient Name:

Recipient Type:

Recipient DUNS:

Completed for Fiscal Year:

Date Completed:

Completed By-Name:

Completed By-Program:

Completed By-Region:

CATEGORY 1: Potential for Implementation Problems

Rating:

Category 1 Rating Descriptions	Rating
Project has no identifiable challenges. No past implementation issues. Typical project period for the program or project type. Well-qualified recipient. Project not complex. No sub-recipients anticipated. Recipient has all equipment required for project.	1 (Low)
New project for recipient. One or more sub-recipients anticipated. Longer than typical project period. Unproven recipient. Has had some issues with implementation on other awards. Some challenges or potential challenges identified, such as recent staff turnover or reorganization that could affect implementation. Does not have all equipment required for the performance of the project but, as noted in its application package, has plans in place to obtain necessary equipment in advance of need.	2 (Medium)
Project has multiple sub-recipients. Complex project. Multiple partners. Large construction project. Has had significant issues with implementation on other awards. Significant challenges identified. Does not have all equipment required. Has not secured resources, which may delay activities.	3 (High)

Basis for Category 1 Rating

CATEGORY 2: Financial Management CapabilitiesRating:

Category 2 Rating Descriptions	Rating
Has received an award in the past, has a financial system in place that meets 2 CFR 200 requirements, and has never had any funds management issues.	1 (Low)
Has received an award in the past, has a financial system in place that meets 2 CFR 200 requirements, but has had funds management issues. Was responsive to FWS communications on issues. Issues were resolved.	2 (Medium)
Recipient is a commercial organization or individual. Has never received a Federal award. Has received an award, but has had significant funds management issues, such as routinely submitting incorrect financial reports, requesting more than immediate cash needs, major variances between budget and actual expenditures, difficulty maintaining required matching funds, or disallowed costs. One or more reports of waste, fraud or abuse currently under investigation or determined to be valid. Was not responsive to FWS communications on issues. Issues not resolved.	3 (High)

Basis for Category 2 Rating**CATEGORY 3: Performance Track Record**Rating:

Category 3 Rating Descriptions	Rating
Met all proposed objectives on past award(s). Any delays or non-performance were unavoidable; is on track to meet objectives on current award(s).	1 (Low)
Had some performance delays or other issues on past award(s) but was responsive to FWS communications on issues. Issues were resolved.	2 (Medium)
Has had no past or current award with the FWS. Has had a past award but failed to complete project objectives. Is significantly behind schedule on current award(s). Failures are within recipient's control to correct. Failed to comply with award terms and conditions. Was not responsive to FWS communications. Issues were never resolved.	3 (High)

Basis for Category 3 Rating**CATEGORY 4: Staffing**Rating:

Category 4 Rating Descriptions	Rating
Recipient is an individual. Recipient provided details on experience and qualifications of key project personnel. All personnel appear qualified to meet the project objectives. No past issues with recipient in regards to key personnel qualification. No key project personnel missing.	1 (Low)
Recipient provided information detailing the experience and qualifications for some key project personnel. All of the identified personnel appear qualified to meet the project objectives, but missing some key project personnel.	2 (Medium)
Recipient has not yet identified/hired any key project personnel; one or more of the personnel identified do not appear qualified to meet the project objectives; or one or more key personnel left the project and replacement(s) have not been identified.	3 (High)

Basis for Category 4 Rating

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CATEGORY 5: Delivery ExperienceRating:

Category 5 Rating Descriptions	Rating
Has delivered the same or similar project with Federal funds for at least five years.	1 (Low)
Has delivered the same or similar project with Federal funds for at least two years.	2 (Medium)
Has delivered the same or similar project with Federal funds for less than two years or has never had a Federal award.	3 (High)

Basis for Category 5 Rating

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CATEGORY 6: Award Administration and Reporting ComplianceRating:

Category 6 Rating Descriptions	Rating
Has never received an award from the program. Has had an award, and was timely in submission of revision and other prior approval requests, required reporting, and due date extension requests, when applicable	1 (Low)
Has had an award, and was generally timely in submission of revision and prior approval requests, required reporting, and due date extension requests. Was responsive to written notifications and requests from the FWS.	2 (Medium)
Has had an award, and was consistently late in in submission of revision and prior approval requests, required reporting, and due date extension requests. Was slow to respond to written notifications and requests from the FWS.	3 (High)

Basis for Category 6 Rating

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CATEGORY 7: A-133 Single Audit ConsiderationsRating:

Category 7 Rating Descriptions	Rating
A commercial organization, foreign entity, or individual exempt from A-133 single audit requirements. A government or non-profit entity that did not have any Qualified or Adverse/Disclaimer opinions, significant internal control deficiencies, or findings for noncompliance on their most report available on the Single Audit Clearinghouse (SAC).	1 (Low)
A government or non-profit entity that has not had any Adverse/Disclaimer opinions, more than two significant internal control deficiencies, or more than two findings for non-compliance on single audits conducted in the last five years as of the date of review and as available on the SAC.	2 (Medium)
A government or non-profit entity that has had an Adverse/Disclaimer opinion, more than two significant internal control deficiencies, or more than two findings for non-compliance on single audits conducted in the last five years as of the date of review and as available on the SAC.	3 (High)

Category 7 Rating Descriptions	Rating
Recipient is currently working on a corrective action plan related to a previous or current award funded by the program.	

Basis for Category 7 Rating

CATEGORY 8: Other Audits Required by Funding Program Legislation

Rating:

Category 8 Rating Descriptions	Rating
Has never received an award from the program. Pending award will be funded in full with Resource Management funds. Pending award will be funded by other funding source, but authorizing legislation for those funds does not impose additional audit requirements. Authorizing legislation requires audit but recipient has had no significant internal control deficiencies or findings for noncompliance.	1 (Low)
Authorizing legislation requires audit and recipient had less than two significant internal control deficiencies and less than two findings for noncompliance.	2 (Medium)
Authorizing legislation requires audit and recipient had more than two significant internal control deficiencies and more than two findings for noncompliance.	3 (High)

Basis for Category 8 Rating

RISK RATING SCORE:

RISK LEVEL:

Other Factors Impacting Risk Level

REVISED RISK LEVEL:

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