

CJCC Risk Assessment Job Aid: Government Agency

Purpose: To identify potential risks an organization may face and analyzing methods of response if exposure occurs. The goal of CJCC Risk Assessment Tool is help prioritize and schedule on-site visits to ensure any compliance challenges are being met with technical assistance and appropriate response.

Risk Assessment Login is your agencies VSSR login credentials.

If your agency does not have VSSR login credentials, please contact Bharat Bhatia bharat.bhatia@cjcc.ga.gov

Agency Name: Please provide the agency name reflected on your award document

Agency Type: Nonprofit, Government agency, University: Drop down box. Please note, depending on the agency type selected will determine what questions will populate on your risk assessment.

Agency UEI#: Unique Entity Identifier (UEI) is the primary means of identifying entities registered for federal awards government-wide in the System for Award Management (SAM). If you are unsure on how to locate your UEI#, please go to: SAM.gov.

Agency Staff Member Completing Assessment: Name of staff member completing the risk assessment

Please note:

Depending on the type of organization selected at the beginning of the assessment will determine what questions populate since some questions that apply to non-profit organizations may not apply to universities or government entities.

You are able to stop the survey at any time, but please ensure you press stop in order for your answers to be saved.

- A. How long has the applicant been a subgrantee with CJCC?
- B. Has the applicant had at least 3 years' experience with CJCC grants or federal grants?
- C. Has the agency received a direct award from a federal granting agency within the last three years?
- D. Has the applicant's CJCC funded grant staff remained unchanged during the previous calendar year?

Grant Staff	
<i>Employees on January 1, 2022</i>	
Employees on December 31, 2022	
<i>Employed entire Year</i>	
Resigned	
Terminated	

Questions to think about

- How many subawards have you managed in the last three years?
- How much experience has your staff had working with this program?
- Has there been high staff turnover or reorganization associated with this program?

To answer the charts above:

- Go off the **calendar year (January-December), not grant year.**

The goal of the charts is: **High** retention rate, **low** turnover rate

- E. Did your agency receive and spend over \$750,000 in federal funding in the agency's last fiscal year?
- F. Has the agency completed a single audit, no later than 9 months after the close of the agency's fiscal year, in accordance with OMB Circular A-133 in accordance with 2 CFR Part 200 Subpart F?
- G. Were any findings noted in the agencies single audit?
** Explanation Field if yes is selected
- H. Has your agency completed an audit (other than a single audit) in the previous fiscal year?
- I. Did your agency receive state funding in the agency last fiscal year?
- J. Did you submit your annual audit to the GA Dept of Audit and Accounts?
- K. Does your agency have grant funds identified separately in their accounting system?
- L. What is the total amount of your current awards from CJCC?
- M. Total dollar Grant Amount Received from CJCC for 2019

- N. Total dollar Grant Amount of CJCC funding spent 2019
- O. Total dollar Grant Amount Received from CJCC for 2020
- P. Total dollar Grant Amount of CJCC funding spent 2020
- Q. Total dollar Grant Amount Received from CJCC for 2021
- R. Total dollar Grant Amount of CJCC funding spent 2021
- S. Please report the total grant amount received from CJCC in 2019
- T. Please report the total non-CJCC grants received in 2019
- U. Please report total dollar amount from other funding sources such as private donations, fundraising events, etc. in 2019
- V. Please report the total grant amount received from CJCC in 2020
- W. Please report the total non-CJCC grants received in 2020
- X. Please report total dollar amount from other funding sources such as private donations, fundraising events, etc. in 2020
- Y. Please report the total grant amount received from CJCC in 2021
- Z. Please report the total non-CJCC grants received in 2021
- AA. Please report total dollar amount from other funding sources such as private donations, fundraising events, etc. in 2021
- BB. Does your agency or any of its employees have a potential personal or organizational conflict of interest related to the recipient of funds from any grantor?
***if yes, explanation field will populate*
- CC. Is the individual primarily responsible for fiscal and administrative oversight of grant awards familiar with the agencies grant management rules, principles and regulations including the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards?
- DD. Have you been designated a high-risk level by CJCC or other granting agency?
If yes, explanation field will populate
- EE. If awarded a direct federal award, did the agency receive monitoring/a site visit from a Federal Granting Agency in the past two calendar years?
- FF. Did the agency receive monitoring/site visit from CJCC in the past two calendar years?
- GG. What year did the agency receive monitoring/site visit from CJCC?
- HH. Did your agency have compliance issues in the last site visit report? Explanation field will populate if yes: Describe compliance issues requiring resolution.
- II. Have all compliance issues been resolved from the most recent site visit?

E: **Single audit.** A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with § 200.514

G: The auditor must follow-up on prior audit findings, perform procedures to assess the reasonableness of the summary schedule of prior audit findings prepared by the auditee in accordance with § 200.511(b), and report, as a current year audit finding, when the auditor concludes that the summary schedule of prior audit findings materially misrepresents the status of any prior audit finding. The auditor must perform audit follow-up procedures regardless of whether a prior audit finding relates to a major program in the current year.

M: Looking or requesting this information from your finance department will help answer this question. For example, if your organization receives multiple grant awards, you should be able to see where each expense being charged to the program is going too. Most accounting systems allow you to set up “Sub-Categories” reflecting the grant number.

O, Q,S: CJCC rewards only, please only include the federal amount, no match.

W, Z, CC: Grants received from other funding outside of CJCC.

EE: A conflict of interest is a transaction or relationship which presents or may present a conflict between a director's obligations to Organization and the Director's personal, professional, or business interests -including, but not limited to, financial interests.

II: Answer yes if your organization has received one of the following in **FY19, FY20, FY21**: Technical Assistance (TA), Desk Review, or site visits

KK: Were there any findings reported during your monitoring/site visit and have those been fixed? For example, if one of your findings was because your grant funds were not identified separately in your accounting system, did you and your finance department take the necessary steps to separating those out from other funding sources? Please explain in the textbox populated if selected yes.

JJ. Has the agency completed VSSR reporting on time for the past two years? Yes/No

MM: CJCC receives the VSSR data from our statistical analysis center which is then sent to our respective units for review. **Due dates are below:**

Quarter	Dates	Due Date
Quarter 1:	January 1-March 31	Due: April 20
Quarter 2:	April 1-June 30	Due: July 20
Quarter 3:	July 1-September 30	Due: October 20
Quarter 4:	October 1-December 31	Due: January 20

CJCC Risk Assessment Rating Scale:

High Risk: 80-150

- 1) CJCC could withhold full or partial payments if identified compliance issues are not corrected by the high-risk agency in a timely manner.
- 2) CJCC will schedule a meeting with the agency within the first month of the grant award.
- 3) CJCC will require mandatory attendance by agency's Authorized official, Financial Officer, and Agency Administrator for identified training needs.
- 4) CJCC will provide training and technical assistance on program related matters.
- 5) CJCC will consider taking enforcement action against non-compliant applicants.
- 6) CJCC may make a minimum of two visits to the sub-recipient during the grant year.
- 7) Agency leadership must attend Mandated Financial Management Training
<https://onlinegfmt.training.ojp.gov/>
- 8) Agency must submit all backup documentation for each SER submitted.
(monthly/quarterly)
- 9) Executive Director or Program Director will be required to attend all CJCC quarterly grantee meetings.

Moderate Risk: 48-80

- 1) CJCC will schedule a financial review with the agency.
- 2) CJCC could withhold full or partial payments if identified compliance issues are not corrected by the moderate risk agency in a timely manner.
- 3) CJCC will provide training and technical assistance on program related matters.

Low Risk: 16-47

- 1) CJCC will perform standard monitoring.