



MD Boating Infrastructure Grant (BIG)  
Subrecipient Risk Assessment

**Applicant Information: (An applicant of BIG grant is a potential Subrecipient to DNR)**

Applicant Name: \_\_\_\_\_

Applicant EIN: \_\_\_\_\_ Applicant DUNS: \_\_\_\_\_

Applicant Authorized Representative: \_\_\_\_\_

Applicant Authorized Representative Phone: \_\_\_\_\_

Applicant Authorized Representative Email: \_\_\_\_\_

Assessment Completed by: \_\_\_\_\_

Assessment Date: \_\_\_\_\_

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**A. Subrecipient type:**

- Subrecipient is a state/local government agency (1 point)
- Subrecipient is a nonprofit organization (2 points)
- Subrecipient is a commercial organization, i.e private marina (3 points)

**B. Performance history:**

- Subrecipient has an existing or previous grant(s) with DNR i.e. CVA, BIG, BA, CZM, etc. (1 point)
- New Subrecipient of BIG program (2 point)
- New Subrecipient of DNR (3 points)

1. Is the Subrecipient on the Federal or State suspended / Debarment List?  
 Yes (if checked, no need to go further)       No
2. Has the Subrecipient or principals thereof ever been suspended or debarred from receiving state or federal grants or contracts?       Yes (2 points)       No (1 point)
3. Has the subrecipient ever had a government contract, project, or agreement terminated?  
 Yes (2 points)       No (1 point)
4. Has the Subrecipient ever had a tax liability offset by the state Treasury Department?  
 Yes (2 points)       No (1 point)
5. Past project(s)/grant(s) completed on time:       Yes (1 point)       No (2 points)

If no, please provide overview below:

### C. Financial stability

6. Mark all applicable items

- Turnover in key staff in the past 12 months (i.e. city clerk, financial manager, superintendent, etc.) (2 points)
- Provided financial statement of the past three years with the application. (-1 point)
- Has attached a current fee schedule with the application. (-1 point)

7. Amount of grant award requested (federal share) for this project:

- \$800,000 + (4 points)
- \$500,000 - \$799,999 (3 points)
- \$200,000 - \$499,999 (2 points)
- \$1 - \$199,999 (1 point)

8. Meeting matching requirements: Mark all that apply.

- Provide commitment letter from funding partners (-1 point)
- Have funds in a reserved account (attached record with application) (-1 point)
- Have budgeted funds for project (attached approved budget appropriation) (-1 point)

### D. Quality of management systems:

9. The subrecipient has a current facility operation, maintenance and emergency response plan and attached with the application.       Yes (1 point)                       No (2 points)
10. The subrecipient has a financial management system in place to track and record program expenditures (Examples: QuickBooks, Visual Bookkeeper, Peachtree, or a Customer Proprietary System)                       Yes (1 point)                       No (2 points)
11. The subrecipient's accounting system has the ability to track revenues and expenditures separately from other expenditure and revenue sources (including the matching funds) (i.e. separate accounts/work orders for each approved project) *Attach chart of accounts/work order listing with particular accounts/work orders noted.*  
 Yes (1 point)                       No (2 points)
12. The subrecipient maintains appropriate internal controls (Reconciliation checks and balances are in place, duties are segregated, the final approval for payment is made by a different individual than the check/warrant signer)       Yes (1 point)                       No (2 points)
13. The subrecipient has current procurement Policies. *Attach procurement policies*  
 Yes (1 point)                       No (2 points)

### E. Audit findings/reports:

- Subject to single audit and had no material findings in the past three years (1 point)

- Not subject to single audit, has little or no material findings from previous audit (i.e. other comprehensive audit, Internal Audit). (1 point)
- Has material findings from any types of previous audit(s) (2 points)

14. A copy of the most recent audit report attached with the application.

- Yes (-1 point)
- No (1 point)

**F. Legal assessment:**

15. Mark all that apply

- The subrecipient has or previously had a lawsuit(s) filed against them within the last 5 years (such as EEO, DBE, contractor suing for payment, etc.) (1 point)
- Subrecipient staff have been arrested, convicted of a felony or are currently under criminal investigation. (1 point)
- The subrecipient has violations of Federal criminal law involving fraud, bribery or gratuity violations potentially affecting the Federal award. (1 point)
- The subrecipient has a conflict of interest policy in place (pursuant to 200 CFR 200.112) and attached a copy with the grant application. (-1 point)

**G. Potential for Implementation problems:**

16. From the date of the BIG grant application submission,

- Subrecipient has owned/operated project facility for more than 5 years (1 point)
- Subrecipient owns/operates project facility in the past 3 – 5 years (2 points)
- Subrecipient owns/operates project facility less than 3 years (3 points)

17. Partnership and management

- Subrecipient directly manages the project facility and there are no separate marina management company involved, low or no staff turnover or reorganization that could affect implementation. (1 point)
- Subrecipient has one or more marina management companies involved in the past three years; some challenges or potential challenges identified, such as recent staff turnover or reorganization that could affect implementation (2 points)

18. Complexity/readiness

- Proposed project is not complex and has no identifiable challenges; has MDE/ACOE permit in hand or doesn't require a MDE/ACOE permit. (1 point)

Proposed project is complex and has longer than typical project period for the program or project type; has not submitted an application for MDE/ACOE permit at the time of grant submission. (2 points)

**Risk Assessment (scores from above section A thru G, question #1 thru #18)**

The risk score determines the order in which state staff will evaluate and monitor the grant program.

- **High Risk** A score over 20 requires **intensive monitoring** (site monitoring visit or desk review, regular site visit and administrative reviews)
- **Medium Risk** A score between 10 and 20 requires evaluation of areas that need improvement. Desk review upon closeout of projects as needed; continued quarterly progress report monitoring and project closeout monitoring.
- **Low Risk** A score below 10 generally identifies that the program is at **lower** risk for potential waste, mismanagement, noncompliance or fraud. Continued quarterly progress report monitoring and project closeout monitoring.

**The following is not applicable for first risk assessment analysis but for ongoing monitoring:**

1. Subrecipient timeliness in document submission:

(Applications, Amendments, Fiscal/Financial Reporting, Budgets/revisions, Closeout and corrective action plan (if applicable)).

- On time submission of all documents (1 point)
- Rarely late or sometimes late on some documents (2 points)
- Consistently late on some or all documents (3 points)

Comments: If applicable, explain reason for late submissions.

2. Subrecipient timely response to program/fiscal questions:

- Always timely in response (1 point)
- Sometimes late in response (2 points)
- Consistently late in response (3 points)

Comments: If applicable, explain reason for late submissions.

3. When was the last onsite monitoring visit?

4. What policy or procedures have changed since the last compliance review? Please identify the effective date of the changes.

5. Monitoring Plan Considerations:

If additional requirements or specific subaward conditions were ever imposed, did the subrecipient comply?  Yes (1 point)  No (2 points)

If no, please provide overview.

6. Is the facility still serving its original intended purpose?  Yes (1 point)  No (2 points)

If no, please explain.

7. Has any conversion of BIG funded dockage/slips occurred since last assessment?

Yes (2 points)  No (1point)

Comments: If yes, please provide overview.

8. Has subrecipient established a separate account for user fees collected from BIG funded dockage/slips?  Yes (1 point)  No (2 points)

If no, please provide overview.

9. Did the Subrecipient have required corrective action(s) that resulted from monitoring or audits?

Yes (1point)  No (2 points)

If no, please provide overview.

10. Corrective Action Plans (CAP) and Resolution

(CAP's are required when a project is not meeting deliverables/milestones. The subrecipient submits a CAP that outlines the course of action proposed to get back on schedule/budget).

- No CAPs past or current (1 point)
- Has had CAPs but been resolved on time (3 points)
- Has Caps and not resolved on time (5 points)

**Total scores from question#1 to #10 of this section: \_\_\_\_\_**

**(A total score of 10 or above requires a change of current monitoring)**

Change current level of monitoring?   Yes   No   If yes, please explain: