

U.S. Fish and Wildlife Service  
**Financial Assistance Recipient Risk Assessment**

Date Completed: \_\_\_\_\_

FY: \_\_\_\_\_

Recipient Name: \_\_\_\_\_

Recipient Type (select from drop down): \_\_\_\_\_

Recipient DUNS: \_\_\_\_\_

Completed By-Name: \_\_\_\_\_

Completed By-Program: \_\_\_\_\_

Region: \_\_\_\_\_

**Instructions:**

1. Read the "Recipient Risk Assessment Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>.
2. Complete this form once a Fiscal Year (FY) for each recipient who will be awarded one or more grant or cooperative agreement awards from the program in the open FY. The results of this risk assessment will apply to all awards to the recipient in the open FY.
3. For each category below, enter a numerical rating of 0=Not applicable (N/A), 1=Low, 2=Medium or 3=High in the Rating box. Use the information provided under the Rating Description sections to assist you in assigning a rating to each category. If not a new recipient, consider the recipient's performance on all currently open and recently closed awards, when applicable to the risk category.
4. For each category below, specify in the "Basis for Rating and Other Comments" field the factors that contributed to the rating entered. Provide enough detail to give an independent reviewer a clear understanding of the rationale used to determine the rating. If documents exist to support your rating (e.g., performance report on previous award) identify the document(s) and specify the location of the document(s). Here is an example of the type of detail to be entered in the "Basis for Rating and Other Comments" fields:

Category 1 Rating = 1; "Basis for Rating and Other Comments" field reads: *The recipient has successfully implemented awards under our program in the past. Some projects include sub-recipients and construction, but awards with these complexities have been well managed. Summaries of past project results are available in our program database.*

**Category 1: POTENTIAL FOR IMPLEMENTATION PROBLEMS**

Rating: \_\_\_\_\_

**Category 1 Rating Descriptions**

<b>0=N/A:</b>	Not a valid response.
<b>1=Low:</b>	Project has no identifiable challenges; no past issues; typical project period for the program or project type; well-qualified recipient; project not complex; no sub-recipients; recipient has all equipment required for the performance of the project.
<b>2=Medium:</b>	New project for recipient; one or more sub-recipients; longer than typical project period for the program or project type; unproven recipient; 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; recipient 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.
<b>3=High:</b>	Project has multiple sub-recipients; complex project; multiple partners; construction project; recipient has had significant issues with implementation on other awards; significant challenges identified; recipient does not have all equipment required for the performance of the project and has not secured sufficient resources to make sure lack of equipment does not significantly delay planned project activities.

**Basis for Rating and Other Comments:**

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**Category 2: FINANCIAL MANAGEMENT SYSTEM AND FUNDS MANAGEMENT RECORD**

Rating: \_\_\_\_\_

**Category 2 Rating Descriptions**

<b>0=N/A:</b>	Recipient is a Commercial Organization, Foreign Entity, or Individual.
<b>1=Low:</b>	Recipient has received a Federal financial assistance award in the past, has a financial management system in place that meets the applicable funds management requirements in 43 CFR Part 12, and the program has never identified any funds management issues on previous awards to recipient.
<b>2=Medium:</b>	Recipient has received an award in the past, has a financial system in place that meets the applicable funds management requirements in 43 CFR Part 12, but has had funds management issues on a current or previous award(s). Recipient was responsive to USFWS communications or requests for information or action in regards to identified issues. Issues were resolved.

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<b>3=High:</b>	Recipient has never received a Federal financial assistance award and does not have experience managing Federal funds, or recipient has received an award in the past and has had significant funds management issues on a current or previous award(s), 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, disallowed costs, among others. One or more reports of waste, fraud or abuse currently under investigation or determined to be valid. Recipient was not responsive to USFWS communications or requests for information or action in regards to identified issues. Issues were never resolved.
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**Basis for Rating and Other Comments:**

**Category 3: PERFORMANCE TRACK RECORD**

**Rating:**

**Category 3 Rating Descriptions**

<b>0=N/A:</b>	Not a valid response.
<b>1=Low:</b>	Recipient met all proposed outcomes and/or deliverables on previous award(s); on schedule to meet proposed outcomes and/or deliverables on current award(s). Recipient met most proposed outcomes and/or deliverables on previous award(s) and reason(s) for delay or non-performance was (were) unavoidable; on schedule or only slightly delayed to meet proposed outcomes and/or deliverables on current award(s).
<b>2=Medium:</b>	Recipient may have had issues related to compliance with award terms and conditions on current or past award(s) but recipient was responsive to USFWS communications or requests for information or action related to the issues. Issues were resolved.
<b>3=High:</b>	Recipient has no past or current award with the USFWS or failed to deliver proposed outcomes and/or deliverables on previous award(s); reason(s) for delay or non-performance was (were) unavoidable; significantly behind schedule or failing to meet maintenance of effort required on current award(s) due to failures within recipient's control to correct. Recipient significantly failed to comply with award terms and conditions. Recipient was not responsive to USFWS communications or requests for information or action related to the issues. Issues were never resolved.

**Basis for Rating and Other Comments:**

**Category 4: STAFF LEVEL AND KEY STAFF QUALIFICATIONS**

**Rating:**

**Category 4 Rating Descriptions**

<b>0=N/A:</b>	Recipient is an Individual.
<b>1=Low:</b>	Recipient provided information detailing the 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 staff qualification. The project is fully staffed.
<b>2=Medium:</b>	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 other key project personnel have not yet been hired.
<b>3=High:</b>	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.

**Basis for Rating and Other Comments:**

**Category 5: DELIVERY EXPERIENCE**

**Rating:**

**Category 5 Rating Descriptions**

<b>0=N/A:</b>	Not a valid response.
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<b>1=Low:</b>	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other Federal agencies for at least five years.
<b>2=Medium:</b>	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other Federal agencies for at least two years.
<b>3=High:</b>	Recipient has never delivered the funded project/program or similar projects/programs, or has delivered the funded project/program or similar projects/programs for USFWS or other Federal agencies for less than two years.

**Basis for Rating and Other Comments:**

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**Category 6: AWARD ADMINISTRATION AND REPORTING COMPLIANCE**

**Rating:**

**Category 6 Rating Descriptions**

<b>0=N/A:</b>	Recipient has no past or current award from the program.
<b>1=Low:</b>	Recipient has been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable.
<b>2=Medium:</b>	Recipient has mostly been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. When out of compliance, recipient was responsive to written notifications and requests from the USFWS regarding late or incomplete requests or reports.
<b>3=High:</b>	Recipient has consistently been late in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. Recipient is seldom or not at all responsive to written notifications and requests from the USFWS regarding late or incomplete requests or reports.

**Basis for Rating and Other Comments:**

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**Category 7: A-133 SINGLE AUDIT**

**Rating:**

**Category 7 Rating Descriptions**

<b>0=N/A:</b>	Recipient is a Commercial Organization, Foreign Entity, or Individual.
<b>1=Low:</b>	Recipient is a government or non-profit entity and their application indicates that they were not required to submit an A-133 report for their most recently closed fiscal year; recipient completed A-133 audit for at least one of their two most recently closed fiscal years. Recipient submitted required A-133 report to the Single Audit Clearinghouse on time. Recipient did not have any Qualified or Adverse/Disclaimer opinions, significant internal control deficiencies or findings for non-compliance.
<b>2=Medium:</b>	Recipient has not had any Adverse/Disclaimer opinions, more than two significant internal control deficiencies, or more than two findings for non-compliance on A-133 audits conducted in the last five years. Recipient was late in submitting required A-133 report to the Single Audit Clearinghouse.
<b>3=High:</b>	Recipient has had an Adverse/Disclaimer opinion, more than two significant internal control deficiencies, or more than two findings for non-compliance on A-133 audits conducted in the last five years. Recipient has a history of not submitting A-133 reports to the Single Audit Clearinghouse on time. Recipient currently working under an A-133 Corrective Action Plan related to a current or previous award funded by the program.

**Basis for Rating and Other Comments:**

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**Category 8: OTHER AUDITS REQUIRED BY FUNDING PROGRAM LEGISLATION**

Rating:

**Category 8 Rating Descriptions**

<b>0=N/A:</b>	Recipient has no past or current award from the program; or previous/current/pending award funded in full with Resource Management funds. If previous/current/pending award funded by other types of funds, program authorizing legislation does not require recipients to conduct a formal audit.
<b>1=Low:</b>	Recipient has had no significant internal control deficiencies or findings for non-compliance.
<b>2=Medium:</b>	Recipient has had less than two significant internal control deficiencies and less than two findings for non-compliance.
<b>3=High:</b>	Recipient has had more than two significant internal control deficiencies and more than two findings for non-compliance.

**Basis for Rating and Other Comments:**

**RISK RATING AVERAGE** (auto-calculated based on numerical scores entered in Rating boxes above):

**Instructions:** In the Preliminary Risk Level box below, enter the preliminary risk level that corresponds with the risk rating average calculated above, as follows:

Enter "**Low**" if the number in the Risk Rating Average box above is between **0-1.49**

Enter "**Medium**" if between **1.5-2.49**

Enter "**High**" if between **2.5-3**

**PRELIMINARY RISK LEVEL** (Low, Medium or High):

**OTHER FACTORS IMPACTING RISK LEVEL:**

**Instructions:** Consider if there are any other factors that impact, either by raising or lowering, the recipient's preliminary risk level. If there are such factors, describe each factor and explain how each raised or lowered the preliminary risk level in the text box below, and then enter either "Low", "Medium" or "High" in the Final Risk Level box below.

If no such factors exist, enter "No other factors impact the preliminary risk level" in the text box below, and then enter the same value as entered in the Preliminary Risk Level box above in the Final Risk Level box below.

**FINAL RISK LEVEL** (Low, Medium or High):


**Instructions:** Based on the result of this risk assessment, incorporate the required monitoring activities into all notices of award to the recipient in the open FY following the "Recipient Risk Assessment Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>.

[View assistance for Search Results](#)

## Search Results

Your search returned the following results...

**Notice:** This printed document represents only the first page of your SAM search results. More results may be available. To print your complete search results, you can download the PDF and print it.

Entity	<b>Point Reyes Bird Observatory</b>	Status: <b>Active</b> 
<b>DUNS: 119744100</b>	<b>CAGE Code: 1KRM6</b>	<a href="#">View Details</a>
<b>Has Active Exclusion?: No</b>	<b>DoDAAC:</b>	
<b>Expiration Date: 07/21/2016</b>	<b>Delinquent Federal Debt? No</b>	
<b>Purpose of Registration: All Awards</b>		

### Glossary

#### [Search](#)

#### [Results](#)

Entity

Exclusion

#### [Search](#)

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By Record  
Status

By  
Functional  
Area - Entity  
Management

By  
Functional  
Area -  
Performance  
Information

SAM | System for Award Management 1.0

IBM v1.P.34.20150710-1415

**Note to all Users:** This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.



USER NAME

PASSWORD

LOG IN

[Forgot Username?](#)[Forgot Password?](#)[Create an Account](#)

# Entity Dashboard

[Entity Overview](#)[Entity Record](#)[Core Data](#)[Assertions](#)[Reps & Certs](#)[POCs](#)[Reports](#)[Service Contract Report](#)[BioPreferred Report](#)[Exclusions](#)[Active Exclusions](#)[Inactive Exclusions](#)[Excluded Family Members](#)

RETURN TO SEARCH

Point Reyes Bird Observatory

DUNS: 119744100 CAGE Code: 1KRM6

Status: Active

3820 Cypress Dr No 11

Petaluma, CA, 94954-6964 ,

UNITED STATES

Expiration Date: 07/21/2016

Purpose of Registration: All Awards

## Review Core Data

Current Record

VIEW SELECTED RECORD

DUNS Number:  
D&B Legal Business Name:  
Doing Business As:

119744100  
Point Reyes Bird Observatory  
Point Blue Conservation Science

[\[Expand All\]](#) | [\[Collapse All\]](#)

### Business & TIN Information:

#### Business Information:

Business Start Date: 06/05/1965  
Fiscal Year End Close Date: 03/31  
Company Division Name:  
Company Division Number:  
Corporate URL: www.pointblue.org  
Congressional District: CA 02  
Registration Date: 03/04/2002  
Activation Date: 07/22/2015  
Expiration Date: 07/21/2016  
Renewal Date: 07/22/2015

#### Physical Address:

Address Line: 3820 Cypress Dr No 11  
Address Line: 3820 Cypress Dr No 11  
City: Petaluma  
State/Province: CA  
Country: UNITED STATES  
ZIP/Postal Code: 94954 - 6964

#### Mailing Address:

Address Line 1: 3820 CYPRESS DRIVE #11  
Address Line 2:  
City: PETALUMA  
State/Province: CA  
Country: UNITED STATES  
ZIP/Postal Code: 94954 - 6964

### CAGE/NCAGE Code

CAGE: 1KRM6

### General Information

Doing Business As: Point Blue Conservation Science  
Country of Incorporation: UNITED STATES  
State of Incorporation: CA  
Correspondence Flag:

### Business Types

Check the registrant's Reps & Certs, if present, under FAR 52.212-3 or FAR 52.219-1 to determine if the entity is an SBA-certified HUBZone small business concern. In addition, entities can provide supplemental small business information about themselves in [SBA's Dynamic Small Business Search](#).

### Entity Structure

Corporate Entity (Tax Exempt)

**Profit Structure**

Non-Profit Organization

**Entity Type**

Business or Organization

**Purpose of Registration**

All Awards

**Financial Information**

Do you accept credit cards as a method of payment? Yes

**Account Details:**

CAGE Code: 1KRM6

**Electronic Funds Transfer:****Automated Clearing House (ACH):****Executive Compensation Questions**

Registrants in the System for Award Management (SAM) respond to the Executive Compensation questions in accordance with Section 6202 of P.L. 110-252, amending the Federal Funding Accountability and Transparency Act (P.L. 109-282). This information is not displayed in SAM. It is sent to USAspending.gov for display in association with an eligible award. Maintaining an active registration in SAM demonstrates the registrant responded to the questions.

**Proceedings Questions**

Registrants in the System for Award Management (SAM) respond to Proceedings questions in accordance with FAR 52.209-7 or FAR 52.209-8. This information is not displayed in SAM. It is sent to FAPIIS.gov for display as applicable. Maintaining an active registration in SAM demonstrates the registrant responded to the questions.

**Information Opt-Out**

I authorize my entity's information to be displayed in SAM's Public Search: Yes

SAM | System for Award Management 1.0

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WWW1

**Note to all Users:** This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.



## Survey Sites Offline

The following survey sites are temporarily offline for maintenance and testing because of our ongoing IT security investigation:

- Federal Audit Clearinghouse (Due dates between 7/22 - 9/30/2015 are extended to 10/31/2015)
  - Contact: 1-800-253-0696 / [erd.fac@census.gov](mailto:erd.fac@census.gov)
- Survey of Sexual Victimization (Two week extension to respond)
  - Contact: 301-763-2586 / [greta.b.clark@census.gov](mailto:greta.b.clark@census.gov)
- Public Libraries Survey
  - Contact: 301-763-7356 / [patricia.mary.o.shea@census.gov](mailto:patricia.mary.o.shea@census.gov) for details on submitting your data through a secure FTP site
  - To access the Search & Compare Tool, visit:  
[http://www.ims.gov/research/public\\_libraries\\_in\\_the\\_united\\_states\\_survey.aspx](http://www.ims.gov/research/public_libraries_in_the_united_states_survey.aspx)
  -
- Annual Survey of State Government Finances
  - Contact: 301-763-5149 / [stephen.d.owens@census.gov](mailto:stephen.d.owens@census.gov)
  - Contact: 301-763-5635 / [cheryl.h.lee@census.gov](mailto:cheryl.h.lee@census.gov) for details on submitting your data through a secure FTP site
- North Carolina State Treasurer: Annual Financial Information Report (AFIR) - 2015
  - Contact: 301-763-5149 / [stephen.d.owens@census.gov](mailto:stephen.d.owens@census.gov)
- Maryland State Data Collections - FY 2015 Uniform Financial Reports (UFR)
  - Contact: 301-763-5149 / [stephen.d.owens@census.gov](mailto:stephen.d.owens@census.gov) if you require a copy of the blank FY 2015 County or Municipal UFR form.  
Completed FY 2015 UFR forms can be submitted to the same email address.

For more information about the IT security investigation, see the [Director's Blog](#).