

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: \_\_\_\_\_

**Instructions:**

1. Read the "Recipient Risk Assessment Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FASOPOL-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 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, and recipient managed those well. Summaries of past project results are available in our program database.*

**Category 1: POTENTIAL FOR IMPLEMENTATION PROBLEMS**

**Rating:**

**Category 1 Rating Descriptions**

<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:**

--

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

**Rating:**

**Category 2 Rating Descriptions**

<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 2 CFR 200, 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 2 CFR 200, 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.

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

<b>3=High:</b>	Recipient has never received a Federal financial assistance award (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.
----------------	---

**Basis for Rating and Other Comments:**

**Category 3: PERFORMANCE TRACK RECORD**

**Rating:**

**Category 3 Rating Descriptions**

<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 has 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>1=Low:</b>	Recipient is an individual; or Non-individual 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>1=Low:</b>	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other agency for at least five years.
<b>2=Medium:</b>	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other agency for at least two years.

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

<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 agency for less than two years.
----------------	--

**Basis for Rating and Other Comments:**

--

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

**Rating:**

**Category 6 Rating Descriptions**

<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 no past or current award from the program; or 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:**

--

**Category 7: SINGLE AUDIT**

**Rating:**

**Category 7 Rating Descriptions**

<b>1=Low:</b>	Recipient is a For-Profit, Foreign Entity, or Individual not subject to single audit; or Recipient is a government or non-profit entity and their application indicates that they were not required to submit a Single Audit report for their most recently closed fiscal year; or Recipient completed a Single Audit for at least one of their two most recently closed fiscal years and 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 Single Audits conducted in the last five years.
<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 Single Audits conducted in the last five years. Recipient currently working under a Corrective Action Plan related to a current or previous award funded by the program.

**Basis for Rating and Other Comments:**

--

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

**Rating:**

**Category 8 Rating Descriptions**

<b>1=Low:</b>	Recipient has no past or current award from the program; or program authorizing legislation does not require recipients to conduct a formal audit; or Program does require an audit and recipient has had no significant internal control deficiencies or findings for non-compliance.
<b>2=Medium:</b>	Program does require an audit and recipient has had less than two significant internal control deficiencies and less than two findings for non-compliance.
<b>3=High:</b>	Program does require an audit and recipient has had more than two significant internal control deficiencies and more than two findings for non-compliance.

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

**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/FASOPOL-NewAwards>.

**NOTE:** To save a locked or "flattened" version of a completed PDF fillable form, print the file to PDF by selecting File>Print>Adobe PDF printer (from the Printer drop down list). Following these steps will remove all fillable features and save the unique data entered on the form at the time it is printed.

Username

[Forgot Username?](#)

Password

[Forgot Password?](#)

Log In

[Create an Account](#)

# Search Results

## Quick 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

Point Reyes Bird Observatory

DUNS: 119744100

Has Active Exclusion?: No

Expiration Date: 03/23/2018

Purpose of Registration: All Awards

CAGE Code: 1KRM6

DoDAAC:

Delinquent Federal Debt? No

Status: Active

View Details

Glossary

Search Results

Entity

Exclusion

Search Filters

By Record Status

By Record Type



- Search Records

Data Access

Check Status

About

Help
- Disclaimers

Accessibility

Privacy Policy
- FAPIS.gov

GSA.gov/IAE

GSA.gov

USA.gov

# Entity Dashboard

[Entity Overview](#)

Entity Registration

Core Data

Assertions

Reps & Certs

POCs

Exclusions

Active Exclusions

Inactive Exclusions

Excluded Family Members

RETURN TO SEARCH

Username

Password

Log In

[Forgot Username?](#)

[Forgot Password?](#)

[Create an Account](#)

## Point Reyes Bird Observatory

DUNS: 119744100 CAGE Code: 1KRM6  
Status: Active

3820 Cypress Dr Ste 11  
Petaluma, CA, 94954-6964 ,  
UNITED STATES

Expiration Date: 03/23/2018

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
Initial Registration Date:	03/04/2002
Submission Date:	03/23/2017
Activation Date:	03/23/2017
Expiration Date:	03/23/2018

##### Physical Address:

Address Line 1:	3820 Cypress Dr Ste 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/NCAE Code

CAGE:	1KRM6
-------	-------

Does this entity have an Immediate Owner?	No
---	----

Does this entity have any Predecessors?	No
---	----

#### 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. Additional small business information may be found in the [SBA's Dynamic Small Business Search](#) if the entity completed the SBA Supplemental Pages during registration.

#### 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, FAR 52.209-8, or 2.C.F.R. 200 Appendix XII. Their responses are not displayed in SAM. They are sent to FAPIIS.gov for display as applicable. Maintaining an active registration in SAM demonstrates the registrant responded to the proceedings questions.

### SAM Search Authorization

I authorize my entity's non-sensitive information to be displayed in SAM public search results: Yes



Search Records  
 Data Access  
 Check Status

Disclaimers  
 Accessibility  
 Privacy Policy

FAPIIS.gov  
 GSA.gov/IAE  
 GSA.gov  
 USA.gov

IBM v1.P.64.20170330-1550

WWW8

About  
Help



Username

Password

[Log In](#)

[Forgot Username?](#)

[Forgot Password?](#)

[Create an Account](#)

## Advanced Search - Exclusion



**Single  
Search**



**Multiple  
Names**

All ▼

Name

All ▼

Name

All ▼

Name

All ▼

Name

All ▼

Name

All ▼

Name

Exclusion Status

Selecting "All" displays both Active and Inactive Exclusions.

**SEARCH**

**CLEAR**

You may only perform a search with the criteria contained in one accordion.



**SSN/TIN  
Search**



[Search Records](#)  
[Data Access](#)  
[Check Status](#)  
[About](#)  
[Help](#)

[Disclaimers](#)  
[Accessibility](#)  
[Privacy Policy](#)

[FAPIS.gov](#)  
[GSA.gov/IAE](#)  
[GSA.gov](#)  
[USA.gov](#)

IBM v1.P.2.20170623-1606

WWW4

This is a U.S. General Services Administration Federal Government computer system that is "FOR OFFICIAL USE ONLY." This system is subject to monitoring. Individuals found performing unauthorized activities are subject to disciplinary action including criminal prosecution.

**SAM Search Results**  
**List of records matching your search for :**  
**Classification: Individual, Firm, Special Entity Designation, Vessel**  
**Entity Name: ellie cohen**  
**Entity Name: karen carlson**  
**Entity Name: padmini srinivasan**  
**Functional Area: Performance Information**  
**Record Status: Active**

<b>EXCLUSION</b> KAREN CARLSON BLEDSOE		Status:Active
DUNS:		CAGE Code:
Classification: Individual	Address: --	
	City: GROVELAND	
State/Province: FLORIDA	ZIP Code: 34736	
Country: UNITED STATES	Excluding Agency: HEALTH AND HUMAN SERVICES, DEPARTMENT OF	
Activation Date: Aug 18, 2016	Termination Date: --	

No exclusion found for Karen Carlson associated with this entity.

*Gerry McChesney*

6/27/2017

**Data Collection Form for Reporting on**  
**Audits of States, Local Governments, Indian Tribes, Institutions of Higher Education and Nonprofit**  
**For Fiscal Periods Beginning on or after December 26, 2014**

**PART I: GENERAL INFORMATION**

REPORTID: 690412 VERSION:1

<b>1. Fiscal Period End Date</b> 3/31/2016	<b>2. Type of Uniform Guidance Audit</b> Single Audit
<b>3. Audit Period Covered</b> Annual	
<b>4. Auditee Identification Numbers</b>	
a. Auditee Employer Identification Number (EIN) 94-1594250	d. Auditee Data Universal Numbering System (DUNS) Number 11-974-4100
b. Are multiple EINS covered in this report? No	e. Are multiple DUNS covered in this report? No
<b>5. Auditee Information</b>	<b>6. Primary Auditor Information</b>
a. Auditee name POINT REYES BIRD OBSERVATORY DBA POINT BLUE CONSERVATION SCIENCE	a. Audit Firm/Organization Name ARMANINO LLP
b. Auditee address (Number and street) 3820 CYPRESS DRIVE #11	b. Audit Firm/Organization EIN 94-6214841
Auditee City PETALUMA	c. Audit Firm/Organization address (Number and street) 12657 ALCOSTA BLVD. #500
Auditee State CA	Audit Firm/Organization City SAN RAMON
Auditee ZIP Code 94954-6964	Audit Firm/Organization State CA
c. Auditee Contact Name PADMINI SRINIVASAN	Audit Firm/Organization ZIP Code 94583-4427
Auditee Contact Title CHIEF FINANCIAL OFFICER	d. Primary Auditor Contact Name PAUL O'GRADY
d. Auditee Contact Telephone (707)781-2555	Primary Auditor Contact Title PARTNER
e. Auditee Contact E-mail PSRINIVASAN@POINTBLUE.ORG	e. Primary Auditor Contact Telephone (925)790-2600
	f. Primary Auditor Contact E-mail PAUL@AMLLP.COM
	7. Was a secondary auditor used? No

<b>Form SF-SAC</b>	<b>REPORTID: 690412    VERSION:1</b>
<b>Part III: INFORMATION FROM THE SCHEDULE OF FINDINGS AND QUESTIONED COSTS - Continued</b>	
<b>2. FINANCIAL STATEMENTS</b>	
<b>a. Financial Statement Information</b>	
i. What were the results of the auditor's determination of whether the financial statements of the auditee were prepared in accordance with generally accepted accounting principles (GAAP): Select any combination:	
<b>Unmodified Opinion</b>	
ii. What was the special purpose framework? (Select only one)	
<b>N/A</b>	
iii. Was the special purpose framework used a basis of accounting required by state law or tribal law?	
<b>N/A</b>	
iv. What was the auditor's opinion on the special purpose framework? (Select any combination)	
<b>N/A</b>	
b. Is a "going concern" emphasis-of-matter paragraph included in the auditor's report?	
<b>No</b>	
c. Is a significant deficiency in internal control disclosed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>No</b>	
d. Is a material weakness in internal control disclosed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>No</b>	
e. Is a material noncompliance disclosed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>No</b>	
<b>3. FEDERAL PROGRAMS</b>	
a. Does the auditor's report include a statement that the auditee's financial statements include departments, agencies, or other organizational units expending \$750,000 or more in Federal awards that have separate Uniform Guidance audits which are not included in this audit? (AICPA Audit Guide)	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Yes</b>	
b. What is the dollar threshold used to distinguish Type A and Type B programs? (Uniform Guidance § 200.518(b)(1))	
\$ _____	
<b>\$750,000</b>	
c. Did the auditee qualify as a low-risk auditee? (Uniform Guidance § 200.520)	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Yes</b>	
d. Indicate which Federal Agency(ies) have prior audit findings shown in the Summary Schedule of Prior Audit Findings related to <u>direct</u> funding. <i>Mark (X) all that apply or None.</i>	
<p>If an agency has been selected (see the full list of agencies in Appendix I of the instructions), it will appear in a list in this section. For example, if 39. General Services Administration, 99. Miscellaneous, 68. National Gallery of Art, and 07. Office of National Drug Control Policy are selected, the list will appear in this section as "39, 99, 68, 07".</p>	
<b>00 - None</b>	