**PENNSYLVANIA - Risk Assessment Form**

Subrecipient Name

Federal Award Identification

Application Number

Federal Fiscal Year

Awarding Agency

Reviewer Name

1. **Budget Amount \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

* $1 - $25,000 1 point
* $25,001 - $100,000 2 points
* $100,001 - $1,000,000 3 points
* $1,000,001 + 4 points

**Score \_\_\_\_\_\_**

1. **Prior Experience**

Subrecipient Total Years with same or similar\* award ­­­­\_\_\_\_\_\_\_\_

\*If similar, provide additional supporting information describing similarities

0 Years 3 points

1 – 3 Years 2 points

4 + Years 1 points

**Score \_\_\_\_\_\_**

1. **Personnel**
   1. Project Director \_\_\_\_\_\_\_\_\_\_\_\_
      1. Years experience with same or similar\* award? \_\_\_\_\_

\*If similar, provide additional supporting information describing similarities

0 Years 3 points

1 – 3 Years 2 points

4 + Years 1 points

**Score \_\_\_\_\_\_**

1. **Audit History**
   1. Single Audit Completed during the current records retention period? (Yes/No/NA) \_\_\_\_\_\_

Yes (Finding Open - General) 2 points

Yes (Finding Closed) 1 points

No 2 point

N/A 1 point

**Score \_\_\_\_\_\_**

**\***If No, move to automatic Level 2 monitoring unless total score indicates Level 3

1. **Federal Monitoring History**
   1. Was federal monitoring completed by the NHTSA Region II office during the current records retention period? (1 Yes/2 No) \_\_\_\_\_\_

**Score \_\_\_\_\_\_**

**Total Score** \_\_\_\_\_\_\_\_

**Monitoring Guidelines**

Total Score:

5 - 7 Low Risk – Standard Monitoring

* Quarterly report/performance/liquidation/equipment review
* Conduct at least 1 formal monitoring review (phone or on-site)
* Supporting claim documentation review for at least one claim per quarter

8 - 9 Medium Risk\*

* Low Risk monitoring elements
  + Formal monitoring review must be on-site
* Conduct a financial review with subrecipient
* Consider withholding full or partial payments pending single audit results or submission of quarterly reports
* Provide training and technical assistance as needed

10 - 14 High Risk\*

* Medium Risk monitoring elements
* Conduct at least 1 formal on-site monitoring review and consider at least one additional formal monitoring review (phone or in person)
* Consider requiring 100% documentation for reimbursement

\*The focus of additional monitoring elements for Medium and High Risk subrecipients is subjective and should be unique to the elevated areas of risk identified during the Risk Assessment review.