**Applicant:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Award/Contract Description:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Award/Contract Period:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Review Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

1. **Determine if the applicant had prior experience with same or similar awards/contracts**

1. Has the entity had federal or state grants similar to this award? Yes/No
2. Has the entity had at least 3 year’s experience with federal grants? Yes/No

2. **Determine the results of previous audits/monitoring**

1. Did the applicant receive an audit last year? Yes/No/NA
2. Was the same or similar award/contract monitored last year? Yes/No/NA
3. Was the audit and/or monitoring report without findings? Yes/No/NA (*\*No to this question may signify medium or high risk)*

3. **Determine if the applicant has new personnel or new or substantially changed systems (NOTE: It may not be possible to provide answers for 2016 applications)**

1. Has the applicant’s grant/contract-related staff remained unchanged during the previous year? Yes/No
2. Has the applicant’s fiscal agent remained unchanged during the previous year? Yes/No
3. Is the applicant’s accounting system the same as the previous year? Yes/No

4. **Determine if the entity has been consistently on time and/or accurate in the submission of the following (NOTE: Answered by Coordinator managing award from previous year):**

1. Applications Yes/No
2. Amendments Yes/No/NA
3. Reporting Yes/No
4. Budgets/revisions Yes/No/NA

**RATING SCALE**

|  |  |  |
| --- | --- | --- |
| 0 – 3 No’s | Applicant is considered low | **LOW** |
| 4 – 6 No’s | Applicant is considered medium risk | **MED** |
| 7 – 12 No’s | Applicant is considered high risk | **HIGH** |

**Based on the rating scale in the Risk Assessment Form, applicants will be placed in one of the following risk areas:**

**High Risk**

1. Require 100% documentation for reimbursement.
2. Withhold full or partial payments pending quarterly reports.
3. Review the corrective actions and determine if they followed up on the corrective actions.
4. Provide training and technical assistance on program-related matters.
5. Consider taking enforcement action against the non-compliant applicant.

**Medium Risk**

1. Schedule a financial review with the applicant.
2. Require 100% documentation for reimbursement.
3. Withhold full or partial payments pending quarterly reports.
4. Provide training and technical assistance on program-related matters.

**Low Risk**

1. Provide standard monitoring.
2. Require 100% documentation for reimbursement.
3. Withhold full or partial payments pending quarterly reports.
4. Provide training and technical assistance on program-related matters.