

## Federal Grants Monitoring Policies Appendix

### Purpose

The purpose of monitoring is to ensure that LEAs are in compliance with federal grant administration requirements. LEAs are selected for Onsite and Desktop Monitoring based on the outcomes of the risk assessment. LEAs that are selected will be notified about the specific procedures and actions that need to be taken prior to monitoring. For more information regarding the monitoring process, go to the [IDOE Title Grants and Supports Monitoring](#) web page.

### Risk Assessment Factors

A measure of the likelihood of a grantee achieving overall program objectives, including financial reporting and compliance, within defined requirements related to statutes, regulations, and grant management practices.

**EDGAR 200.205** suggests considering the following when evaluating risk:

1. Financial Stability
2. Quality of management systems and ability to meet the management standards prescribed in this part
3. History of performance: Applicant's record in managing federal awards. If it is a prior recipient of Federal awards, including:
  - Timeliness of compliance with applicable reporting requirements
  - Conformance to the terms and conditions of previous federal awards
  - If applicable, the extent to which any previously awarded amounts will be expended prior to future awards
4. Reports & findings from audits performed under Subpart F-Audit: Requirements of this part or the reports and findings of any other available audits
5. Applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities

### IDOE Risk Assessment

Indiana Department of Education conducts an annual risk assessment for all federal grants by evaluating each LEA in the following areas:

- Grant application quality (e.g. alignment to the comprehensive needs assessment, substantial percentage of funds to support student achievement)
- Timeliness of compliance with applicable reporting requirements
- Programmatic and fiscal monitoring history and findings

- Total federal award amount
- Excess carryover