**Risk Triage Q&A (10/6/15)**

How does the risk level get originally assigned?

* During the contract assistance request workflow, Agency Approvers (Cathy M and Myrna) complete a risk scoresheet and assign the risk level prior to approving a request. A scoresheet is not done for amendments as they carry the same risk level as the parent contract (unless there are significant changes to scope, or the parent contract was not scored). The [Risk Triage Analysis Tool](file:///X:\Agency_Files\Process%20Documentation\Agency-wide%20Processes\Contracts%20CI%202014\Implementation%20Plan\3%20Define%20Flexibility%20and%20Consisstency%20boundaries\Risk%20factor%20-%20criteria%20matrix-4a.pdf) is used for reference.

What gets done with the scoresheet once completed by Agency Approvers?

* The completed scoresheet is attached to the workflow. Once the request gets assigned to a Contract Specialist, they should share and discuss the scoresheet with the Project Manager (PM) at the kickoff meeting. The risk level is agreed upon or changed and justified on the form. If lowered, a conversation with the Agency Approver is required. Implications for contract/grant development are discussed and agreed upon. The scoresheet is stored and updated in OnBase.
* If criteria change during the course of contract/grant development, the scoresheet should be revisited and risk level updated and justified accordingly. (For example, changing standard clauses would elevate a LOW risk level to at MEDIUM.)

What changes based on risk level?

* Level of effort and accountability. See below.

**LOW**

Contract Specialist

* Responsible for: contract type, contract templates, SWIFT and routing, 3rd party peer review optional, unless assigned by Contract Supervisor. CS still reviews and comments. Accountable to: procurement requirements and template language.

Project Manager

* Responsible for: work plan language (not template), budget, Gantt/timeline. (PM makes the final decisions on these documents.) Accountable to: program needs, communication with vendor, *an understandable scope so you can manage the work, dollar amounts match.*

Approvers (Pilot will refine tolerance level)

* MPCA: Minor/occasional formatting mistakes forgiven, quick review, average quality work
* Admin: Same as MPCA, plus minor mistakes tolerated as long as intent is clear, and the contract/grant is complete, enforceable and not illegal.

Escalation: No escalation needed. If escalation needed, not LOW

Notes:

* + If using templates, there are no modifications, other than pre-approved insurance modifications (tbd). If modifications needed, not LOW.
  + LOW risk does not equal low quality. MPCA standards for written documents should be followed.

**MEDIUM**

Contract Specialist

* + Responsible for: same as LOW, plus changes to terms & conditions, including insurance modifications, peer review optional when using standard templates; peer review is required if not using or if changing standard templates (or as assigned by Contract Supervisor). Accountable to: same as LOW.

Project Manager

* Responsible for: same as LOW, plus plain language beyond template. Accountable to: same as LOW.

Approvers (will refine)

* MPCA: Minor formatting mistakes forgiven, quick review, average quality work
* Admin: Same as MPCA, plus minor mistakes tolerated as long as intent is clear, and the contract/grant is complete, enforceable and not illegal.

Escalation: CS and CM escalate contract issues to Contract Unit Supervisor and Program Supervisor (who will bump to MPCA Approvers if needed.) A meeting with CS, CM and other relevant staff is recommended over emails, etc.

Notes:

* Final review of templates – shared responsibility of CS and CM (if template modified, CS is accountable)
* Any template changes are clearly documented and required approvals provided to Approvers when routing for approvals/signatures.

**HIGH**

Contract Specialist

* + Responsible for: same as MED, plus serve as Project Manager for contract/grant development, communication with vendor. Accountable to: same as MED

Project Manager

* Responsible for: input and consultation on scope/work plan, budget, Gantt/timeline. Accountable to: program needs *(to make sure right stuff is in there)* and Contract Specialist *(must agree that content is adequate)*

Approvers

* MPCA: No formatting issues, intent clear and not illegal, content complete, in-depth review, high quality work
* Admin: Same as MPCA Approvers, plus notification and/or review by PT management.

Escalation: CS and CM escalate contract issues to MPCA Approvers. A meeting with CS, CM and other relevant staff is recommended over emails, etc.

Notes:

* HIGH risk does not equal RUSH or high priority.

How do Approvers find out about risk level?

* In SWIFT: Finalize in OnBase and attach Scoresheet as an attachment in SWIFT. (Should not be visible to vendor).
* Out of SWIFT: Finalize in OnBase and place Scoresheet with other contract/grant documents in ROUTING IN. Mary E will place scoresheet as 2nd page in routing packet and note RISK level on cover page.
* When you have the Risk Triage Scoresheet unity form open, use the Send to | File to save it to your desktop as a TIF file.