

**DWD Regulatory Oversight & Compliance Division: PY2019 Risk Assessment Tool**

<b>Purpose</b>	This Risk Assessment Tool (RAT) is one of several instruments used by the DWD ROC Division in fulfilling the monitoring requirements specified in WIOA and OMB Uniform Guidance (2 CFR Part 200). The RAT is designed to assist with the evaluation of each WDB's risk of noncompliance with state and federal statutes, regulations, and terms and conditions of subawards. This helps ensure subawards have proper payments for reasonable, necessary, allocable, and authorized purposes to achieve performance goals.
<b>Directions</b>	ROC Division staff will assign a Pre-Monitoring and Post-Monitoring score for each Risk Factor in each of the four (4) Risk Categories, then tally the scores to determine the WDB's Overall Pre-Monitoring and Post-Monitoring Risk Rating. Pre-Monitoring assessment is based on the ROC Division's knowledge of, history with, and learned information about the WDB, its service providers and contractors, and its programs and activities, and is conducted prior to the on-site monitoring visit to help guide the scope of monitoring of each WDB. Post-Monitoring assessment is based on information gathered during the monitoring process, which may impact or mitigate a Pre-Monitoring Risk Factor score, and is conducted at the close of monitoring. Appropriate explanation(s), as warranted, will be provided within the Comprehensive Monitoring Report.

<b>LWDA</b>	?????
<b>WDB Name</b>	?????
<b>Grant Recipient</b>	?????
<b>Staff-to-the-Board</b>	?????
<b>Fiscal Agent</b>	?????
<b>One-Stop Operator</b>	?????
<b>Service Provider(s)</b>	?????

<b>Compliance Team</b>	Bruce Hall, Larry Upchurch, Jennifer Long, Jennifer Greinmann, Tom Brown & Carmen Upchurch		
<b>Prior Year (PY2018) Overall Risk Rating</b>	LOW / MOD / HIGH RISK		
<b>PRE-Monitoring Assessment Date</b>			
<b>PRE-Monitoring Overall Risk Rating (max 118 pts)</b>	0	LOW / MOD / HIGH RISK	
<b>POST-Monitoring Assessment Date</b>			
<b>POST-Monitoring Overall Risk Rating (max 118 pts)</b>	0	LOW / MOD / HIGH RISK	

<b>Risk Range Criteria (out of max 70 pts)</b>	<b>Point Range</b>	<b>Percentage Range</b>
	0-12 points	≤ 10% = Low
	13-24 points	> 10% - 20% = Moderate
	25+ points	> 20% = High

<b>Risk Score Summary</b>	<b>Risk Category</b>	<b>Pre-Monitoring Total</b>	<b>Post-Monitoring Total</b>
	1 - Reorganization	0	0
	2 - Grant Administration	0	0
	3 - WDB Governance	0	0
	4 - WIOA Performance	0	0

<b>RISK CATERGORY 1: REORGANIZATION SINCE PY2018</b>			
<b>Risk Factor Rating</b>	<b>Risk Factor Rating Description</b>		
0	• Zero changes in MGT/FA/OSO/SP		
1	• 1 major change in MGT/FA/OSO/SP		
2	• 2+ major changes in MGT/FA/OSO/SP		
<b>Risk Factor</b>	<b>Risk Factor Description</b>		<b>Risk Score</b>
1	Staff-to-the-Board	Pre-RAT: Post-RAT:	0 0
2	Fiscal Agent	Pre-RAT: Post-RAT:	0 0
3	One-Stop Operator	Pre-RAT: Post-RAT:	0 0
4	Service Provider(s)	Pre-RAT: Post-RAT:	0 0
5	Workone Staff Turnover	Pre-RAT: Post-RAT:	0 0
		<b>Pre-Monitoring Total</b>	0
		<b>Post-Monitoring Total</b>	0

<b>RISK CATERGORY 2: GRANT ADMINISTRATION</b>			
<b>Risk Factor Rating</b>	<b>Risk Factor Rating Description</b>		
0	• Zero new grants/programs & Zero PY2018 concerns & Zero PY2018 findings & Zero PY2018 Single Audit issues or concerns		
1	• 1-2 new grants/programs -or- 1-2 PY2018 concerns -or- 1 PY2018 resolved minor compliance issue/finding (no questioned costs)		
2	• 3+ new grants/programs -or- 3+ PY2018 concerns -or- 2+ PY2018 resolved minor compliance issues/findings (no questioned costs) -or- 1+ resolved PY2018 compliance issue(s)/finding(s) w/questioned costs -or- 1+ unresolved compliance issue or finding(s)		
<b>Risk Factor</b>	<b>Risk Factor Description</b>		<b>Risk Score</b>
6	Administration	Pre-RAT: Post-RAT:	0 0
7	EO & Nondiscrimination	Pre-RAT: Post-RAT:	0 0
8	Fiscal Management	Pre-RAT: Post-RAT:	0 0
9	New Grants/Programs	Pre-RAT: Post-RAT:	0 0
10	Prior DWD Monitoring Risk	Pre-RAT: Post-RAT:	0 0
11	Prior DWD Findings	Pre-RAT: Post-RAT:	0 0
12	Prior Federal Findings	Pre-RAT: Post-RAT:	0 0
13	Program Operations	Pre-RAT: Post-RAT:	0 0
14	Reporting to DWD	Pre-RAT: Post-RAT:	0 0
15	Single Audits	Pre-RAT: Post-RAT:	0 0
16	Subrecipient Monitoring	Pre-RAT: Post-RAT:	0 0
17	SME Employer Engagement	Pre-RAT: Post-RAT:	0 0
18	SME Federal Bonding	Pre-RAT: Post-RAT:	0 0
19	SME Field Ops - Admin & Personnel	Pre-RAT: Post-RAT:	0 0
20	SME Field Ops - Budget	Pre-RAT: Post-RAT:	0 0
21	SME Field Ops - JVSG	Pre-RAT: Post-RAT:	0 0
22	Foreign Labor Cert H2A/H2B	Pre-RAT: Post-RAT:	0 0
23	SME Grant Acctg - Cash Draws	Pre-RAT: Post-RAT:	0 0
24	SME Grant Acctg - Fin Reporting	Pre-RAT: Post-RAT:	0 0
25	SME ICC & Systems	Pre-RAT: Post-RAT:	0 0
26	SME Legislative Affairs	Pre-RAT: Post-RAT:	0 0
27	SME Mgt Srvc - Inventory	Pre-RAT: Post-RAT:	0 0
28	SME Mgt Srvc - Property Leases	Pre-RAT: Post-RAT:	0 0
29	SME Mktg & Comm	Pre-RAT: Post-RAT:	0 0

30	SME MSFW	Pre-RAT:		0
		Post-RAT:		0
31	SME Perf & BI - Data Validation	Pre-RAT:		0
		Post-RAT:		0
32	SME Perf & BI - WIOA & WP	Pre-RAT:		0
		Post-RAT:		0
33	SME Perf & BI - RPM	Pre-RAT:		0
		Post-RAT:		0
34	SME Policy	Pre-RAT:		0
		Post-RAT:		0
35	SME Procurement	Pre-RAT:		0
		Post-RAT:		0
36	SME Rapid Response	Pre-RAT:		0
		Post-RAT:		0
37	SME RESEA	Pre-RAT:		0
		Post-RAT:		0
38	SME SAE & SEAL	Pre-RAT:		0
		Post-RAT:		0
39	SME TAA	Pre-RAT:		0
		Post-RAT:		0
40	SME WIOA Surveys	Pre-RAT:		0
		Post-RAT:		0
41	SME WIOA Youth	Pre-RAT:		0
				0
			Pre-Monitoring Total	0
			Post-Monitoring Total	0

RISK CATERGORY 3: WDB GOVERNANCE				
Risk Factor Rating		Risk Factor Rating Description		
0		• Zero concerns w/vacancies, org structure, oversight, local plan implementation, infrastructure, IFA, etc.		
1		• ≤10% WDB vacancies -or- 1-2 concerns w/vacancies, org structure, oversight, local plan implementation, infrastructure, MOUs/IFAs, etc.		
2		• >10% WDB vacancies -or- 3+ concerns w/vacancies, org structure, oversight, local plan implementation, infrastructure, MOUs/IFAs, etc.		
Risk Factor		Risk Factor Description		Risk Score
42	WDB Composition & Structure	Pre-RAT:		0
		Post-RAT:		0
43	WDB Staff Organizational Structure	Pre-RAT:		0
		Post-RAT:		0
44	WDB Oversight of Operations/OSO/SPs	Pre-RAT:		0
		Post-RAT:		0
45	Review of Local Plan <a href="https://www.in.gov/dwd/lp.htm">https://www.in.gov/dwd/lp.htm</a>	Pre-RAT:		0
		Post-RAT:		0
46	WDB Website	Pre-RAT:		0
		Post-RAT:		0
47	WDB Minutes, Bylaws & Articles	Pre-RAT:		0
		Post-RAT:		0
48	Contracts & MOUs	Pre-RAT:		0
		Post-RAT:		0
			Pre-Monitoring Total	0
			Post-Monitoring Total	0

RISK CATERGORY 4: WIOA PERFORMANCE							
Risk Factor Rating		Risk Factor Rating Description					
0		• 91-100% of Negotiated Goal					
1		• 90% of Negotiated Goal					
2		• <90% of Negotiated Goal					
Risk Factor		Actual			Risk Factor Description		Risk Score
			Actual	Goal	Met?		
49	WIOA Employment Q2 After Exit	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
50	WIOA Employment Q4 After Exit	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
51	WIOA Credential Attainment	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
52	WIOA Median Earnings	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
53	WIOA Measurable Skill Gains	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
54	Wagner-Peyser Employment Q2 After Exit	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
55	Wagner-Peyser Employment Q4 After Exit	ADULT	R?????				0
			Statewide				
		DW	R?????				
			Statewide				
	YOUTH	R?????					
			Statewide				
	ADULT	R?????					
			Statewide				

