

DWD Regulatory Oversight & Compliance Division: PY2018 Risk Assessment Tool

Purpose	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.
Directions	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.

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

ROC Division Team	Bruce Hall, Carmen Upchurch, Jennifer Long, Larry Upchurch, Olivia Smith & Tom Brown	
Pre-Monitoring Assessment Date	Tuesday, July 31, 2018	
Pre-Monitoring Overall Risk Rating (max 70 pts)	0	LOW / MOD / HIGH RISK
Post-Monitoring Assessment Date	Wednesday, August 01, 2018	
Post-Monitoring Overall Risk Rating (max 70 pts)	0	LOW / MOD / HIGH RISK

Risk Range Criteria (out of max 70 pts)	Point Range	Percentage Range
	0-7 points	≤ 10% = Low
	8-14 points	> 10% - 20% = Moderate
	15+ points	> 20% = High

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

RISK CATEGORY 1: REORGANIZATION SINCE PY2017			
Risk Factor Rating	Risk Factor Rating Description		
0	• Zero changes in MGT/FA/OSO/SP		
1	• 1 change in MGT/FA/OSO/SP		
2	• 2+ changes in MGT/FA/OSO/SP		
Risk Factor	Risk Factor Description		Risk Score
1 Staff-to-the-Board	Pre-RAT:		0
	Post-RAT:		0
2 Fiscal Agent	Pre-RAT:		0
	Post-RAT:		0
3 One-Stop Operator	Pre-RAT:		0
	Post-RAT:		0
4 Service Provider(s)	Pre-RAT:		0
	Post-RAT:		0
5 Staff Turnover	Pre-RAT:		0
	Post-RAT:		0
Pre-Monitoring Total		0	Post-Monitoring Total 0

RISK CATEGORY 2: GRANT ADMINISTRATION			
Risk Factor Rating	Risk Factor Rating Description		
0	• Zero new grants/programs & Zero negative PY2017 observations & Zero PY2017 findings & Zero PY2017 Single Audit issues or concerns		
1	• 1-2 new grants/programs -or- 1-2 negative PY2017 observations -or- 1 PY2017 resolved minor compliance issue/finding (no questioned costs)		
2	• 3+ new grants/programs -or- 3+ negative PY2017 observations -or- 2+ PY2017 resolved minor compliance issues/findings (no questioned costs) -or- 1+ resolved PY2017 compliance issue(s)/finding(s) w/questioned costs -or- 1+ unresolved compliance issue or finding(s)		
Risk Factor	Risk Factor Description		Risk Score
6 EO & Nondiscrimination	Pre-RAT:		0
	Post-RAT:		0
7 Administration	Pre-RAT:		0
	Post-RAT:		0
8 Fiscal Management	Pre-RAT:		0
	Post-RAT:		0
9 New Grants/Programs	Pre-RAT:		0
	Post-RAT:		0
10 Reporting to DWD	Pre-RAT:		0
	Post-RAT:		0
11 Single Audits	Pre-RAT:		0
	Post-RAT:		0
12 Subrecipient Monitoring	Pre-RAT:		0
	Post-RAT:		0
13 Prior DWD Monitoring Findings	Pre-RAT:		0
	Post-RAT:		0
14 Prior Federal Monitoring Findings	Pre-RAT:		0
	Post-RAT:		0
15 Program Operations	Pre-RAT:		0
	Post-RAT:		0
16 Data Validation	Pre-RAT:		0
	Post-RAT:		0
17 Management Info Systems & Indiana Career Connect	Pre-RAT:		0
	Post-RAT:		0
18 Business Services & Employer Engagement	Pre-RAT:		0
	Post-RAT:		0
Pre-Monitoring Total		0	Post-Monitoring Total 0

RISK CATEGORY 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, IFA, etc.		
2	• >10% WDB vacancies -or- 3+ concerns w/vacancies, org structure, oversight, local plan implementation, infrastructure, IFA, etc.		
Risk Factor	Risk Factor Description		Risk Score
19 WDB Composition & Structure	Pre-RAT:		0
	Post-RAT:		0
20 WDB Staff Organizational Structure	Pre-RAT:		0
	Post-RAT:		0
21 WDB Oversight of Operations/OSO/SPs	Pre-RAT:		0
	Post-RAT:		0
22 Implementation of Local Plan https://www.in.gov/dwd/lp.htm	Pre-RAT:		0
	Post-RAT:		0
23 WDB Website	Pre-RAT:		0
	Post-RAT:		0
24 WDB Minutes, Bylaws & Articles	Pre-RAT:		0
	Post-RAT:		0
25 Contracts for Staff-to-the-Board, Fiscal Agent & RCEO	Pre-RAT:		0
	Post-RAT:		0

26	MOUs	Pre-RAT:		0
		Post-RAT:		0
			<i>Pre-Monitoring Total</i>	0
			<i>Post-Monitoring Total</i>	0

<i>RISK CATEGORY 4: WIOA PERFORMANCE</i>		
<i>Risk Factor Rating</i>	<i>Risk Factor Rating Description</i>	
0	• 91-100% of Negotiated Goal	
1	• 90% of Negotiated Goal	
2	• <90% of Negotiated Goal	
<i>Risk Factor</i>	<i>Risk Factor Description</i>	<i>Risk Score</i>
27	Employment Rate - 2nd Quarter After Exit (Federal)	0
28	Employment Rate - 4th Quarter After Exit (Federal)	0
29	Median Earnings (Federal)	0
30	Credential Attainment (Federal)	0
31	Measurable Skill Gains (Federal)	0
32	Effectiveness in serving employers (Federal)	0
33	Engagement (Regional)	0
34	Wage Gains (Regional)	0
35	Job Connectedness Rate (Regional)	0
		<i>Risk Assessment Total Score</i>
		0