



**State of Arizona
Department of Education**

Adult Education Services

Arizona Adult Education Fiscal Risk Assessment

The Arizona Department of Education Adult Education Services (ADE/AES) is responsible for oversight of the operations of the Federal award supported activities. ADE/AES must monitor activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by ADE/AES must cover each program, function or activity.

Fiscal Risk Assessment	High Risk	Medium Risk	Low Risk
Federal Award:			
<i>High Risk</i> – \$750K or above <i>Medium Risk</i> – \$250K to 749K <i>Low Risk</i> – less than \$250k	10	5	0
Single Audit Findings:			
<i>High Risk</i> – 2 or more Findings <i>Medium Risk</i> – 1 Finding <i>Low Risk</i> – No Findings	10	5	0
Adult Ed Fiscal Monitoring Findings:			
<i>High Risk</i> – 2 or more Findings <i>Medium Risk</i> – 1 Finding <i>Low Risk</i> – No Findings	10	5	0
Unresolved Corrective Actions:			
<i>High Risk</i> – No requested corrective actions have been resolved <i>Medium Risk</i> – 1 or more requested corrective actions remain unresolved <i>Low Risk</i> – Any requested corrective actions have been resolved	10	5	0

Fiscal Risk Assessment	High Risk	Medium Risk	Low Risk
Length of Time Since Last Comprehensive Fiscal Monitoring			
<i>High Risk</i> – more than three years since last monitoring	10	5	0
<i>Medium Risk</i> – between one and three years since last monitoring			
<i>Low Risk</i> – less than one year since last monitoring			
Grants Management Enterprise (GME) Draw Down of State Funds:			
<i>High Risk</i> – All Funds not drawn down or spent by 6/30	10	5	0
<i>Medium Risk</i> – More than 50% of funds drawn down and spent in last quarter			
<i>Low Risk</i> – All funds drawn down and spent on a regular basis less than 50% in last quarter			
Grants Management Enterprise (GME) Draw Down of Federal Funds:			
<i>High Risk</i> – All Funds drawn with unspent Federal funds 6/30	10	5	0
<i>Medium Risk</i> – More than 50% of funds drawn down and spent in last quarter			
<i>Low Risk</i> – All funds drawn down and spent on a regular basis less than 50% in last quarter			
Grants Management Completion Reports (CR) Submission:			
<i>High Risk</i> – Any CR report submitted more than 100 days after year end	10	5	0
<i>Medium Risk</i> – CR report submitted between 91 and 100 days after year end			
<i>Low Risk</i> – All CR reports submitted within 90 days after year end			
Detailed Expenditure (DE) Reports Submission:			
<i>High Risk</i> – Any DE report submitted more than 135 days after year end	10	5	0
<i>Medium Risk</i> – DE reports submitted between 135 and 120 days after year end			
<i>Low Risk</i> – All DE reports submitted within 120 days after year end			
Detailed Expenditure (DE) Reports Accuracy:			
<i>High Risk</i> – Any DE report submitted with a 25% or greater variation from completion reports	10	5	0
<i>Medium Risk</i> – Any DE report submitted with a 10% to 25% variation from completion reports			
<i>Low Risk</i> – Any DE report submitted with a less than 10% variation from completion reports			

Kathy Hoffman, Superintendent of Public Instruction

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Arizona Adult Education Risk Assessment Description

The Arizona Department of Education Adult Education Services (ADE/AES) is responsible for oversight of the operations of the Federal award supported activities. ADE-AES must monitor activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by ADE/AES must cover each program, function or activity.

Programmatic Risk Assessment	High Risk	Medium Risk	Low Risk
Program’s Number of Years Funded under WIOA			
<i>High Risk</i> – less than two years <i>Medium Risk</i> – two– four years <i>Low Risk</i> – more than four years	10	5	0
Program Performance, MSG:			
<i>High Risk</i> – MSG for all FY20 PoPs is 15% or more below negotiated target <i>Medium Risk</i> – MSG for all PoPs is between 5-14% below negotiated target <i>Low Risk</i> – MSG for all PoPs is within 4% of negotiated targets.	10	5	0
Program Performance Trends, MSG:			
<i>High Risk</i> – MSG for all FY20 PoPs is 15% or more above or below previous FY’s performance <i>Medium Risk</i> – MSG for all PoPs is between 5-14% above or below previous year’s performance <i>Low Risk</i> – MSG for all PoPs is within 4% of previous year’s performance	10	5	0
Program Scope, Overall Student Enrollment:			
<i>High Risk</i> – Student enrollment is less than 75% of projected targets <i>Medium Risk</i> – Student Enrollment is between 76% - 89% of projected targets <i>Low Risk</i> – Student enrollment is within 10% of projected targets or exceeds targets.	10	5	0

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Programmatic Risk Assessment	High Risk	Medium Risk	Low Risk
Program Scope, IET:			
<i>High Risk</i> – Programs who serve less than 50% of their target IET population <i>Medium Risk</i> – Programs who serve 51%-70% of their target IET population <i>Low Risk</i> – Programs who serve more than 70% of their target IET population. (If not funded for IET, zero points)	10	5	0
Program Personnel:			
High Risk: Change in program administrator within two years Medium Risk: Change in program administration between two and three years Low Risk: Three or more years with no change in program administrator	10	5	0
Program Activities, Progress Testing:			
<i>High Risk</i> – In a fiscal year, programs have less than 65% of participants progress-tested <i>Medium Risk</i> – In a fiscal year Programs have 65% -74% participants progress-tested <i>Low Risk</i> – In a fiscal year Programs have 75% or more participants progress tested	10	5	0
Unresolved Corrective Actions:			
<i>High Risk</i> – No requested corrective actions have been resolved by due date <i>Medium Risk</i> – 1 or more requested corrective actions remain unresolved by due date <i>Low Risk</i> – Any requested corrective actions have been resolved	10	5	0
Timely Submission of Reports:			
<i>High Risk</i> – 6 or more required reports (including monthly data) are submitted past the due date <i>Medium Risk</i> – 2 – 5 required reports (including monthly data) are submitted past the due date <i>Low Risk</i> – 1 or fewer reports (including monthly data) are submitted past the due date	10	5	0
Length of Time Since Last Comprehensive Fiscal Monitoring			
<i>High Risk</i> – more than three years since last monitoring <i>Medium Risk</i> – between one and three years since last monitoring <i>Low Risk</i> – less than one year since last monitoring	10	5	0