



# Adult Education Services

## Arizona Adult Education Fiscal and Programmatic Risk Assessment

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

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

<b>Fiscal Risk Assessment</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Length of Time Since Last Comprehensive Fiscal Monitoring</b>			
<b>High Risk</b> – More than three years since last comprehensive fiscal monitoring. <b>Medium Risk</b> – Between one and three years since last comprehensive fiscal monitoring. <b>Low Risk</b> – Less than one year since last comprehensive fiscal monitoring.	10	5	0
<b>Grants Management Enterprise (GME) Expenditure of State Grant Funds:</b>			
<b>High Risk</b> – Funds not requested for or expended by 6/30. <b>Medium Risk</b> – More than 50% of funds not requested for or expended by the fourth quarter. <b>Low Risk</b> – All funds requested for and expended by 6/30.	10	5	0
<b>Grants Management Enterprise (GME) Expenditure of Federal Funds:</b>			
<b>High Risk</b> – Funds not requested for or expended by 6/30. <b>Medium Risk</b> – More than 50% of funds not requested for or expended by the fourth quarter. <b>Low Risk</b> – All funds requested for and expended by 6/30.	10	5	0
<b>Grants Management Completion Reports (CR) Submission:</b>			
<b>High Risk</b> – Completion report submitted more than 60 days after September 28 <sup>th</sup> . <b>Medium Risk</b> – Completion report submitted more than 30 days after September 28 <sup>th</sup> . <b>Low Risk</b> – Completion report submitted by September 28 <sup>th</sup> .	10	5	0
<b>Detailed Expenditure (DE) Reports Submission:</b>			
<b>High Risk</b> – Detailed expenditure report submitted more than 60 days after September 28 <sup>th</sup> . <b>Medium Risk</b> – Detailed expenditure report submitted more than 30 days after September 28 <sup>th</sup> . <b>Low Risk</b> – Detailed expenditure report submitted by September 28 <sup>th</sup> .	10	5	0
<b>Detailed Expenditure (DE) Reports Accuracy:</b>			
<b>High Risk</b> – Detailed expenditure report submitted with 25% or greater variation. <b>Medium Risk</b> – Detailed expenditure report submitted with 10% to 25% variation. <b>Low Risk</b> – Detailed expenditure report submitted with less than 10% variation.	10	5	0

<b>Programmatic Risk Assessment</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Program's Number of Years Funded under WIOA</b>			
<b>High Risk</b> – less than two years. <b>Medium Risk</b> – two – four years. <b>Low Risk</b> – more than four years.	10	5	0
<b>Program Performance, MSG Rate:</b>			
<b>High Risk</b> – MSGs for all previous year PoPs was 15% or more below negotiated target. <b>Medium Risk</b> – MSGs for all PoPs is between 5-14% below negotiated target. <b>Low Risk</b> – MSGs for all PoPs is within 4% of negotiated targets.	10	5	0
<b>Program Performance Trends, MSG Rate:</b>			
<b>High Risk</b> – MSG for all FY20 PoPs is 15% or more above or below previous FY's performance. <b>Medium Risk</b> – MSG for all PoPs is between 5-14% above or below previous year's performance. <b>Low Risk</b> – MSG for all PoPs is within 4% of previous year's performance.	10	5	0
<b>Program Scope, Overall Student Enrollment:</b>			
<b>High Risk</b> – Student enrollment is less than 75% of projected targets. <b>Medium Risk</b> – Student enrollment is between 76% - 89% of projected targets. <b>Low Risk</b> – Student enrollment is within 10% of projected targets or exceeds targets.	10	5	0
<b>Program Scope, IET Enrollment:</b>			
<b>High Risk</b> – Programs who serve less than 50% of their target IET population. <b>Medium Risk</b> – Programs who serve 51%-70% of their target IET population. <b>Low Risk</b> – Programs who serve more than 70% of their target IET population. (If not funded for IET, zero points)	10	5	0

<b>Programmatic Risk Assessment</b>	<b>High Risk</b>	<b>Medium Risk</b>	<b>Low Risk</b>
<b>Program Personnel:</b>			
<b>High Risk:</b> Change in program administrator within last two years.	10	5	0
<b>Medium Risk:</b> Change in program administration between two and three years.			
<b>Low Risk:</b> Three or more years with no change in program administrator.			
<b>Unresolved or Repeated Monitoring Findings:</b>			
<b>High Risk</b> – No findings have been resolved by due date OR findings have been repeated.	10	5	0
<b>Medium Risk</b> – 1 or more requested corrective actions remain unresolved by due date.			
<b>Low Risk</b> – Any requested corrective actions have been resolved.			
<b>Timely Submission of Reports:</b>			
<b>High Risk</b> – 6 or more required reports (including monthly data) are submitted past the due date.	10	5	0
<b>Medium Risk</b> – 2 – 5 required reports (including monthly data) are submitted past the due date.			
<b>Low Risk</b> – 1 or fewer reports (including monthly data) are submitted past the due date.			
<b>Length of Time Since Last Onsite Programmatic Monitoring</b>			
<b>High Risk</b> – more than three years since last onsite monitoring.	10	5	0
<b>Medium Risk</b> – between one and three years since last onsite monitoring.			
<b>Low Risk</b> – less than one year since last onsite monitoring.			