



**NEMO WORKFORCE DEVELOPMENT BOARD**



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**RISK ASSESSMENT**

NAME OF SUBCONTRACTOR

ASSESSMENT FOR PERIOD OF

	0=N/A	1= LOW RISK	2=MEDIUM RISK	3=HIGH RISK
	Assertion	Response from Subcontractor		Evaluation Risk
1	What is the turnover rate for key management in the past three years?			
2	What is the turnover rate for staff in the past three years?			
3	Has any member of your Board, Key Management, or staff been placed under investigation or been a party to an investigation/indictment in the past 3 years?			
4	Are background checks completed on all employees?			
5	Is there regular training offered to your staff, including professional development? Please include records.			
6	Do you utilize any participants or volunteers in the office setting? If so, do they sign the confidentiality and non-discrimination agreements?			
7	Are CPR's, project amendment requests, prior approval requests, reports, monitoring responses to the WDB, corrective action plans, and other reports requested submitted on time?			

	Assertion	Response from Subcontractor	Evaluation Risk
8	Does the Subrecipient have sufficient internal controls in place per OMB Guidelines.		
9	Subrecipients are required to submit required single audit report to the Single Audit Clearinghouse on time. Did the Subrecipient have any Qualified or Adverse/Disclaimer opinions, significant internal control deficiencies or findings for non-compliance? Was the full report sent to the WDB within 30 days of Clearinghouse submission?		
10	Subrecipients are responsible to monitor program and financial internally. Do you have written monitoring policies and procedures?		
11	Does the Subrecipient have an internal programmatic and financial monitoring schedule?		
12	Are there written monitoring reports? If so, when are they submitted?		
13	Are written reports reviewed? Who is responsible for signing off on the reports?		
14	How are WDB, State, and Federal policies and procedures communicated to staff?		
15	Do monitoring policies and procedures include action taken on findings and non-compliance?		
16	Is there an EEO/Affirmative Action Plan?		
17	Are all 14 Elements being offered and what percentage are being utilized?		
18	Are the in-school and out-of-school percentages being met? If not, describe the plan to meet this.		
19	Is the Work Experience percentage being met? If not, describe your plan.		

	Assertion	Response from Subcontractor	Evaluation Risk
20	Do you have any participants who met the 5% rule? If so, what is the percentage?		
21	Percentage of participants placed in training? Is this consistent with the benchmarks stated in your contract?		
22	Are you contracted for any specialized grants? If so, are they offered to all eligible participants? (Specify the grant)		
23	Are there any outstanding programmatic monitoring issues with the WDB or Inter-Agency(Specify)? Describe your plan to resolve these.		
24	Are there any outstanding financial monitoring issues with the WDB or Inter-Agency (Specify)? Please describe your plan to resolve these.		
25	Are there any programmatic monitoring issues that tend to be continuous problems with the WDB or Inter-Agency (Specify)? Please describe which ones and what action has been taken by the Agency to resolve this issue.		
26	Have there been any disallowed costs in the past three years? If so, please describe.		
27	Has there been any corrective action/performance improvement plans put into place in the past 3 years by the WDB or the Agency? If so, describe and explain the status?		
28	Are performance measures being met? If not, please submit your action plan.		

	Assertion	Response from Subcontractor	Evaluation Risk
29	Are program enrollments on target with benchmarks in contract? If not, please submit your action plan.		
<b>TOTAL EVALUATION RISK COLUMN</b> ▶▶			

<b>RISK RATING AVERAGE (TOTAL EVALUATION RISK SCORE FROM ABOVE DIVIDED BY 29 CATEGORIES)</b> ▶▶		
Enter <b>Low</b> if the number in the Risk Rating Average box above is between 0 and 1.49	▶▶▶	
Enter <b>Medium</b> if the number is between 1.5 and 2.49	▶▶	
Enter <b>High</b> if the number is between 2.50 and 3.00	▶▶	
Are there any other factors that might impact the Preliminary Risk Level. If so, please describe in line below:		
If no such factors exist, enter "No other Factors"		▶▶
<b>FINAL RISK ASSESSMENT</b>		

*This Risk Assessment will be completed by the WDB Staff and sent to the Subrecipient. The Subrecipient will have 10 business days to respond to the WDB office. This becomes a part of the annual fiscal and programmatic monitoring and is also reviewed for pre-award and post-award.*