

Pre-Site Visit Checklist and Program Risk Assessment

Grant Year: _____

Date of Assessment: _____

Date of Last Site Visit: _____

Program Director: _____

Program Name: _____

Type of Visit Conducted Last Year: _____

Risk Level is determined based on the following factors:

Programmatic Issues to determine risk level	Yes	No			Comments	
Stable program staff for a period of at least one year?						
Program has been in existence and running smoothly for at least one year?						
Ability to clearly report program progress and outcomes via progress reports?						
Program is in 100% compliance with the most up-to-date Policies and Procedures?						
Goals consistently met as stated in performance measures?						
Consistently able to recruit at least 90% of granted members						
History indicates ability to retain at least 80% of recruited members?						
Financial Issues to determine risk level	Low	Medium	High			Comments
Where is the program on the financial risk assessment? <i>(If the program's only risks are fiscal, these factors will be assessed in a separate financial site visit)</i>						

Full Site Visit (High Risk): Includes Program Director interview, Site Supervisor interview, member interview, audit of 20% of member files, tour of program site, visit to partner site (if applicable), review of all documents listed on the Pre-Site Visit Checklist, verification via online system(s) of timely enrollment / exit of members and upkeep of member time logs, analysis of progress towards current program objectives.

Reduced Site Visit or Extended Desk Audit (Medium Risk): The Program Officer will identify areas providing specific programmatic challenges. The program will either receive a reduced site visit, or be required to provide specific documentation so an extended desk audit can be performed. For example, if the program mainly struggles with maintaining compliant members files, the Program Officer may either conduct a visit to audit additional files, or request that copies of the files be sent to the State Commission for review. If there are questions that need to be answered through interviewing program staff, members, or Site Supervisors, a phone interview might be used. In addition to specifically selected procedures, all the requirements of the desk audit for low risk programs must also be followed.

Desk Audit Only (Low Risk): Includes audit of 20% of member files, review of all documents listed on Pre-Site Visit Checklist, verification via online system(s) of timely enrollment / exit of members and upkeep of member time logs, and analysis of progress towards current program objectives.

Additional comments:

Description of and rationale for of monitoring procedure selected:

Additional compliance issues to consider/address:

Programmatic Progress Reports	Yes	No	Comments				
Submitted by due date?							
Submitted by approved extension date?							
Submitted late without an extension?							
Were there legitimate extenuating circumstances for late submission?							
Are there any outstanding or recurring issues?							
Site Visits	Yes	No	Comments				
Number of member files audited?	NA	NA					
Number of compliance issues cited at last visit?	NA	NA					
Number of compliance issues resolved since last visit?	NA	NA					
Was resolution/corrective completed on time?							
Overall Program Issues	Yes	No	Comments				
Did the program meet its PMs from the last program year?							
Has there been any staff turnover since the last site visit?							
Have there been any recurring issues that are still unresolved? (E.g., program staff, partner sites, members, safety concerns)							
Additional Comments	Yes	No	Comments				
	NA	NA					
Member Slots			FT	HT	RHT	QT	MT
How many slots were granted for the current program year?							
How many of these slots have been filled thus far?							
How many slots were granted in the previous year?							
How many of these slots were filled?							
How many members have left the program this year with no award?							
How many pro-rated ed-awards have been issued this program year?							

