

## Risk Assessment & Monitoring Plan (RAMP) Form

### Instructions:

This form is to be completed for Federal sub-recipient contracts only ( $\geq \$25,000$ ).

This form is to be completed after completing and routing the CPAR and prior to contracting.

You must complete all 3 Sections of this form:

- Section 1: Service Level Risk Factors and Service Level Risk Strategies
- Section 2: Contractor Risk Factors and Contractor Risk Strategies
- Section 3: Monitoring Plan

### New Contract or Task Order:

- Complete the entire form and send the completed form to WDVA Contracts with your approved CPAR when you request a new contract.

### Amendment or TO Amendment:

- If you have changes to the original risk assessment completed with the new contract, complete the form and send the completed form to WDVA contracts with your approved CPAR when you request the amendment.
- If you do not have changes to the risk assessment form that you originally completed with the new contract, complete the top portion of the form and send that in with the amendment to WDVA Contracts with your approved CPAR.

### Risk Factor Considerations

<b>Risk Factors Based on the Subrecipient Organization</b>			
<b>Category</b>	<b>Low Risk</b>	<b>Medium Risk</b>	<b>High Risk</b>
Foreign vs. Domestic	U.S.-based	Foreign location w/ stable government and financial systems.	Foreign location w/ unstable government or financial systems or restricted location.
Subrecipient Organization Type	University or non-profit subject to federal audit requirements.	Non-profit not subject to federal audit requirements.	Industry or other for-profit organization not subject to federal or other audit regulations.
Maturity of Organization	Mature (more than 10 years).	Mature, but not research oriented.	Start-up, no fiscal controls in place.
Subrecipient Prior Experience w/ Similar Subawards or Awarding Agency	Subrecipient has prior experience with the same or similar subawards.  Subrecipient also receives awards directly.	Subrecipient does not have prior experience with type of award, OR  Subrecipient does not receive federal awards or is unfamiliar with awarding agency's requirements.	Subrecipient does not have prior experience with the type of research or programmatic deliverables required by subaward.
WDVA's Prior Experience w/ Subrecipient	Previous positive experience as WDVA subrecipient.	Previous experience as WDVA subrecipient but may have some minor concerns.	New subrecipient or negative experience.
Adequacy of Facilities	Work occurs in adequate, established space.		Subrecipients resources are inadequate.
Audit Results & Accounting/Procurement Systems	Has annual audit with unqualified opinion.	Has annual third-party financial audit.  Subrecipient has a new or substantially changed system or personnel for project administration.	Has not had a financial audit by a third-party, or current audit has material weaknesses, reportable conditions or findings.  Lack of policies, separation of duties, or system controls.
Audit Restrictions/Transparency	Auditors are able to perform testing on all awards.	Auditors can perform testing only on part of portfolio.	Auditors not able to perform testing and cannot provide audit reports.



**Risk Factors Based on the Subaward**

Category	Low Risk	Medium Risk	High Risk
Amount/Percentage Passed-Through	Lower funding levels or percentage of total funds allocated to subrecipient (e.g., <\$100k).	Funding allocated to subrecipient is a large part of the total award.	Funding level >\$500K or >49% of award.
Scope of Work & Project Deliverables	Easily met objectives.  Progress based on milestones or observable outcomes.	Subrecipient not meeting deliverables, resulting in a change in project scope.	Deliverables necessary in order to achieve project success.  No reporting until end of the project, no measurable milestones or outcomes.
Additional Approvals		Subrecipient has protocols in place to meet compliance requirements.	Compliance requirements are in place, but subrecipient does not have protocols to approve/monitor the requirements.  Project involves export-controlled material, data, or technical reports.
Relationship Between WDVA & Subrecipient	Subrecipient is a familiar collaborator.	Subrecipient experience with other state agencies.	No previous collaboration or relationship w/ WDVA or other state agencies.
Cost Sharing	Subrecipient has not made commitment to share costs.	Subrecipient has committed to fund project costs not paid by the award or subaward.	Subrecipient has committed to fund substantial project costs not paid by the award or subaward.
Rate of Subrecipient Spending on Award	Pace of spending is consistent with budgeted amounts per year.	Pace of spending slightly greater or less than budgeted amount per year.	Spending far outpaces or is severely below that which was in the submitted budget.

**Proceed to the next page to complete the risk assessment**



**Risk Assessment**

<b>Contractor Legal Name:</b>		<b>Assessment Date:</b>		<b>Type of Contract:</b>	
<b>Contract Manager:</b>		<b>Contract Term:</b>		<b>Assessment Staff:</b>	
<b>Service Description:</b>			<b>Contract Purpose:</b>		
<b>Overall risk based on completion of this form:</b>			<b>New Contract or Task Order</b> <b>Amendment Update</b> <b>Amendment No Changes</b>		
<b>Risk Scoring Metrics:</b>					
<b>0-49= Low</b>	<b>50-99= Medium</b>	<b>100+=High</b>			

	Consideration	Score
<b>Total contract amount with WDVA? \$</b>		
<b>What percentage do agency contracts represent in the recipient's budget?</b>		
<b>What percentage does this contract represent of DVA pass-through money?</b> <i>Obtain numbers from contract and from our budget.</i>		
<b>Voucher history?</b> <i>Assess contractor's compliance with voucher requirements including timeliness</i>		
<b>What type of service organization or contractor is this?</b>		
• Pharmacist	10 Points	
• General resident community services	5 Points	
• PTSD assistance unit /PTSD CHILDREN AND THE IMPACT ON	10 Points	
• Outreach counseling	10 Points	
• Specialized medical services	10 Points	
• Services to residents	10 Points	
• Mental health services	10 points	
• Information Technology	10 Points	
• Inter-Agency	0 Points	
• Statistical Analysis	10 Points	
• Other (e.g. Farm Outreach)	10 Points	
<b>How long has this business structure been in place?</b> <i>Newer organizations generally mean more risk</i>		
<b>Has there been any recent major business restructuring?</b>		
<b>Has the organization recently begun offering new activities, products, or services?</b>		
<b>Has the organization experienced recent downsizing or growth?</b>		
<b>Has there been a turnover of management or other key personnel in the recent past?</b>		
<b>Is the organization subject to accreditation requirements?</b>		
<b>Has the organization had any difficulty obtaining accreditation?</b>		
<b>How many months since the last on-site visit?</b>		
<b>Is this entity subject to a periodic financial audit?</b>		
<b>Have there been audit findings or exceptions in the last five years?</b>		
<b>Are there any unresolved audit issues?</b>		

Summarize or assess the political or economic forces affecting this organization. <i>More forces generally means more risk.</i>		
Have any regulatory changes occurred recently affecting this contractor? <i>Significant changes means more risk.</i>		
Have there been any lawsuits filed against the contractor in the last 12 months?		
Is the contractor in litigation or has litigation pending older than 12 months?		
Has the contractor experienced negative media exposure in the past 12 months?		
	<b>Total Risk Score=</b>	

Risk Scoring Metrics:		
0-49= Low	50-99= Medium	100+= High

**Proceed to the next page to complete the monitoring Plan**



**Examples of Monitoring Activities to Include in Subrecipient Monitoring Plan Based on Results of the Risk Assessment**

**Monitoring Activities to Consider for Organizational- and Subaward-Based Risk**

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li>• Require costs to be supported by adequate documentation such as vendor invoices, time and attendance records, receiving documents</li> <li>• Schedule site visits to review records and observe operations</li> <li>• Review supporting documentation to determine if program compliance requirements are being met, if program activities meet program objectives, and if activities are allowable</li> <li>• Tie receipt of technical reports to payments</li> </ul> | <ul style="list-style-type: none"> <li>• Arrange for limited-scope audits of certain activities</li> <li>• Establish specified frequency for technical reports (e.g. monthly, quarterly, annually)</li> <li>• Provide technical assistance and training</li> <li>• Add more stringent termination language for failure to comply with requirements</li> <li>• Seek guidance from WDVA Contracts Office for complex contract compliance issues</li> </ul> |
|---|--|

**Monitoring Plan**

Monitoring Item	Responsible Staff	Frequency <small>(how often you will be monitoring each item)</small>	Comments
<input type="checkbox"/> Review A-19s		<b>Other:</b>	
<input type="checkbox"/> Calls to the Contractor:		<b>Other:</b>	
<input type="checkbox"/> On-site Monitoring		<b>Other:</b>	
<input type="checkbox"/> Desk Review Monitoring		<b>Other:</b>	
<input type="checkbox"/> Review Audit Corrective Action Plan (CAP)		<b>Other:</b>	
<input type="checkbox"/> Subrecipient Specific: <ul style="list-style-type: none"> <li><input type="checkbox"/> Reviewing financial and performance reports required by the pass-through entity.</li> <li><input type="checkbox"/> Follow-up and ensuring subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.</li> <li><input type="checkbox"/> Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass-through entity as required by <a href="#">§200.521 Management Decision</a>.</li> </ul>		<b>Other:</b>	
<input type="checkbox"/> Other:		<b>Other:</b>	