

## Risk Assessment Review Form

Program Name: \_\_\_\_\_ Program Year: \_\_\_\_\_

Current Date: \_\_\_\_\_ Prepared by: \_\_\_\_\_

<b>Risk Factors</b>	Check if applicable	<b>Assessment</b>
No AmeriCorps Experience (Includes PD's who are new and do not have experience running an AmeriCorps program)		<b>High Risk (19)</b>
No Experience with Federal Programs		<b>High Risk (19)</b>
No current A-133		<b>High Risk (19)</b>

<b>Risk Factors</b>	Rating * 0 = Standard Met	<b>Standard</b>
Financial Reporting		Correct and on time (0-5)
Progress Reporting		Complete and on time (0-5)
Key AMC Agency Staff		Turnover no more than one in 6 mos. (0-10)
Program Staff Experience		AmeriCorps or Program Management (0-5)
Retention		85% through 3 <sup>rd</sup> quarter (0-10)
Enrollment Levels		100% (0-15)
Document Review		No compliance issues found (0-15)
Compliance Issues		Resolution on schedule (0-10)
Participation in Statewide Events		100% (0-3)
Participation in Service Days		2 per year (0-3)
Program Director's Meetings		100% attendance (0-4)
Community Partnerships		Strong indicators (0-3)
Member Complaints		None received at Commission (0-3)
Contact with Commission		Semi-monthly (0-3)
A-133		Non-material findings only (0-5)
Match		Match requirements met (0-5)
<b>TOTAL</b>		

**\*Rating Schedule**

High Risk = 19+

Mid-Range Risk = 10-18

Low Range Risk = less than 10

## **Monitoring Plan Guidance**

On at least an annual basis and as new projects are funded, Commission staff will assess the risk associated with each sub-grantee using the Risk Assessment Review Form. Monitoring of sub-grantees will be based on risk assessed and follow the guidelines described below.

### **High Risk (19+)**

Monitoring Plan: Commission staff focus on those factors contributing to the risk rating. Commission staff in coordination with AmeriCorps program set benchmarks for continuous improvement and compliance to determine progress. Reports are provided to the Commission, the program and Commission's Executive Director quarterly.

Site Visit Schedule: Commission staff will conduct one complete administrative site visit within three months of program year start. Visit will include review of program documents, sampling of member files, review of Core Area interview questions (See AmeriCorps Program Site Visit Monitoring Tool) and determination of the need for a full financial review site visit. A second site visit is conducted within 6 months of program start and includes a field site interview.

### **Mid-Range Risk (10-18)**

Monitoring Plan. Commission staff focus on those factors contributing to the risk rating. Commission staff in coordination with the AmeriCorps program set benchmarks for continuous improvement and compliance to determine progress.

Site Visit Schedule. Commission staff will conduct one administrative site visit per year that includes review of program documents, review of a sample of member files, and a review of all Core Area interview questions regarding program management. (See AmeriCorps Program Site Visit Monitoring Tool) Determination of the need for a second site visit will be made following the report of the first administrative visit.

### **Low Range Risk (less than 10)**

Monitoring Plan. Commission staff will utilize desk-monitoring techniques to ensure ongoing quality. Desk monitoring will include review of WBRS reports and at least semi-monthly phone contact.

Site Visit Schedule. Commission staff will conduct one administrative site visit per year which includes review of program documents, member file sampling, and an interview with the AmeriCorps manager on issues of program management and the status of recruitment and retention.