SERVE ALASKA
AMERICORPS PROGRAMMATIC RISK-BASED ASSESSMENT

Purpose: To allow Commission staff to effectively monitor compliance and progress of current AmeriCorps*State Applicants and to provide an adequate level of both on-site and off-site technical assistance based on the systematically assessed capacity. For new applicants, this assessment will help guide the potential risk of an organization to administer an AmeriCorps program.

Procedure: Using the guidelines outlined below, each AmeriCorps applicant will be analyzed and assigned a risk level (high, medium or low). The monitoring strategy will specifically address issues contributing to the assigned risk categories for each program, which may include issues other than those specifically listed below. The overall monitoring strategy will allow for gaging the an organization's ability to administer an AmeriCorps program, assigning time-intensive monitoring of the highest risk programs, with less time-intensive monitoring strategies applied, as appropriate, to lower risk programs

Risk Assessment: Commission staff will assess the risk associated with each applicant during the RFP process, using the weighted risk factors outlined below. Staff will provide the Commission board with the results for use in assessing the viability of the organization to administer a program. If funded, this assessment will guide Commission staff in monitoring each subgrantee, as appropriate, according to the identified risk factors and risk categories outlined below

Note: All new subgrantees will receive a minimum of two visits during year one, and one visit during years two and three, regardless of their assigned risk level. ☐ Check if applicable.

Legal Applicant:	
Program Name:	
Risk-Based Assessment Performed By:	
Program Year:	2013-2014
Date of Last Site Visit:	
Total Score: **(Insert Score)**	Risk Level: **(Insert Level)**

Risk Level	Monitoring Plan Guidelines
High (66-90)	Monitoring Plan: Commission monitoring staff will focus on those factors contributing to the risk factor of these programs. Based on this risk assessment, the Commission may revise previously approved monitoring/site visit plans as appropriate. Site Visits: Commission staff will conduct a minimum of two (2) programmatic and/or financial management site/desk audits per year. The first will be conducted within 3 months (or earlier as appropriate to the situation) of the program start date and the second audit conducted approximately 6-8 months into the program year. Each audit may include a review of member files; review of program's evaluation process, tools and accomplishment data; interviews with program staff and/or members; or a review of financial management systems. Audits will focus intensively on those areas contributing to the high risk designation for the program.
Medium (31-65)	Monitoring Plan: Commission monitoring staff will focus on those factors contributing to the risk factor of these programs. Any follow-up necessary as a result of prior compliance or continuous improvement issues, including site visit or audit findings will be conducted via email whenever possible. Site Visits: Commission staff will conduct a minimum of one (1) audit per year, which may consist of a review of member files; review of accomplishment data; tour of service site(s); interviews with program staff and members; or a review of financial management systems. Additional audits may be conducted on an as-need and/or requested basis.
Low (18-30)	Monitoring Plan: Monitoring programs in this category will be occur primarily through desk monitoring, using eGrants member enrollment and exit timeliness compliance, member timesheets, member position descriptions, and member service agreements. Other items may be reviewed. Site Visits: One (1) visit per year *may* be conducted by Commission staff if warranted or if the program has not received a site visit in the current three year grant cycle.

ORGANIZATIONAL EFFECTIVENESS	SCORE
1. Legal Applicant Experience Managing Federal Funds	
Over ten years experience	1
Five to ten years experience	2
Two to five years experience	3
Less than two years experience	4
No past experience	5
2. Audit Requirement	
A-133 audit with no material findings	1
Non A-133 Audit with no material findings	2
A-133 or non A-133 audit with some findings	3
A-133 or non A-133 audit with significant material findings	4
No audit performed	5
3. Legal Applicant Experience Managing AmeriCorps Grants	
Legal Applicant has > 3 yrs experience with national service/AmeriCorps; demonstrates active interest in Program to the Commission	1
Legal Applicant has 1-2 yrs experience with national service/AmeriCorps; demonstrates active interest in Program to the Commission	2
Legal Applicant has limited experience with national service/AmeriCorps; demonstrates active interest in Program to the Commission	3
Legal Applicant has limited experience with national service/AmeriCorps; no interest in Program is apparent to the Commission	4
Legal Applicant hinders Program cooperation with AmeriCorps provisions/regulations	5
4. Staff Experience with Serve Alaska AmeriCorps*State Program Administration	
2nd (3-year) grant cycle and above; original program director	1
2nd (3-year) grant cycle and above; not original program director	2
1st (3-year) grant cycle; original program director	3
1st (3-year) grant cycle; not original program director	4
High turnover of program director and/or staff (more than 2 key staff turnovers within 18 months)	5
5. Staff Experience with Serve Alaska AmeriCorps*State Fiscal Administration	
2nd (3-year) grant cycle and above; original financial director	1
2nd (3-year) grant cycle and above; not original financial director	2
1st (3-year) grant cycle; original financial director	3
1st (3-year) grant cycle; not original financial director	4
High turnover of financial director and/or staff (more than 2 key staff turnovers within 18 months)	5
6. Results of Prior Program Year Monitoring or other Site Visits	
No significant findings	1
Some minor findings	2
Some moderate findings	3
Some significant findings	4
Numerous significant findings OR has not received a site visit within the previous 24 months	5

7. Implementation of Corrective Actions of Findings from Past Monitoring Visits	
No corrective actions needed	1
Corrective actions completed within 30 days	2
Corrective actions implemented but incomplete after 30 days	3
Corrective actions incomplete after 60 days	4
Corrective actions not addressed	5

Comments on Organizational Effectiveness:

PROGRAM COMPLIANCE (Use PY12-13)	SCORE
8. Program Director/Staff Participate Regularly in Required Trainings/Meetings	
Program Director and/or necessary staff attend all required trainings/meetings	1
Program Director and/or necessary staff attend most required trainings/meetings	2
Program Director and/or necessary staff attend some required trainings/meetings	3
Program Director and/or necessary staff rarely attend required trainings/meetings	4
Program Director and/or necessary staff do not attend required trainings/meetings	5
9. Serve Alaska/Program Contact	
Program Director and/or staff always respond to Serve Alaska requests in a timely manner	1
Program Director and/or staff usually respond to Serve Alaska requests in a timely manner	2
Program Director and/or staff respond to Serve Alaska requests, but not in a timely manner	3
Program Director and/or staff rarely respond to Serve Alaska requests	4
Program Director and/or staff generally do not respond to Serve Alaska requests	5
10. Program Progress and Performance Measure Reporting **(Monthly Status Reports and Semi-Annual Reports)**	
Timely submission; reporting exceeds requirements	1
Timely submission; reporting meets requirements	2
Timely submission; reporting does not meet requirements	3
Late submission; reporting meets requirements	4
Late submission; reporting does not meet requirements, OR did not submit	5

Comments on Program Compliance:

MEMBER MANAGEMENT (Use PY12-13)	SCORE
11. Member Enrollment (eGrants S&N Report: Enrollment Rate Calculation)	
Member enrollment rate percentage is 100%	1
Member enrollment rate percentage is 90% or greater	2
Member enrollment rate percentage is 80% or greater	3
Member enrollment rate percentage is 70% or greater	4
Member enrollment rate percentage is less than 70%	5
12. Member Retention (eGrants S&N Report: Retention Rate Calculation)	
Member retention percentage is 100%	1
Member retention percentage is 90% or greater	2
Member retention percentage is 80% or greater	3
Member retention percentage is 70% or greater	4
Member retention percentage is less than 70%	5
13. Timeliness in Enrolling Members into My AmeriCorps Portal **(eGrants S&N Report: Enrollment Approval Cycle Time)**	
All Members enrolled within 30 days of enrollment date	1
95% of Members enrolled within 30 days of enrollment date	2
90% of Members enrolled within 30 days of enrollment date	3
85% of Members enrolled within 30 days of enrollment date	4
70% of Members enrolled within 30 days of enrollment date	5
14. Timeliness in Exiting Members into My AmeriCorps Portal **(eGrants S&N Report: Exit Approval Cycle Time)**	
All Members exited within 30 days of completion date	1
95% of Members exited within 30 days of completion date	2
90% of Members exited within 30 days of completion date	3
85% of Members exited within 30 days of completion date	4
70% of Members exited within 30 days of completion date	5
15. Member Criminal History Check	
Member Criminal History checks meets requirements in 100% of desk monitoring reviews	1
Member Criminal History checks meets requirements in 90% of desk monitoring reviews	2
Member Criminal History checks meets requirements in 80% of desk monitoring reviews	3
Member Criminal History checks meets requirements in 70% of desk monitoring reviews	4
Member Criminal History checks meets requirements in 60% or less of desk monitoring reviews OR has not received a Criminal History checks review within the previous 24 months	5

Comments on Member Management:

FINANCIAL MANAGEMENT (Use PY12-13)	SCORE
16. Financial Reporting	
Financial reporting is timely for 100% of required reports	1
Financial reporting is timely for 90% of required reports	2
Financial reporting is timely for 80% of required reports	3
Financial reporting is timely for 70% of required reports	4
Financial reporting is timely for fewer than 70% of required reports	5
17. Reimbursement Requests – Notice of Funds Withheld Pending Corrections	
Program receives zero (0) notice of funds withheld from the Commission	1
Program receives 1-2 notices of funds withheld from the Commission	3
Program receives three or more notices of funds withheld from the Commission	5
18. Match Requirement	
Program met or exceeded match requirements or not applicable if a fixed amount grant	1
Program met statutory match requirements but fell short of the contracted match contributions	3
Program did not meet match requirements	5

Comments on Financial Management:

Date Completed: (Insert Date)

Program Officer
Signature: _____
                                                                    Date

Executive Director
Signature: _____
                                                                    Date