



## Montana Office of Community Service

## Risk Assessment KEY

**Purpose** To provide an equitable process and criteria to effectively assess risk and monitor compliance and progress of AmeriCorps\*State projects in Montana. Risk assessment considers the organization and the program performance. Risk determination will aid the Office of Community Service (OCS) to provide exceptional technical assistance, both onsite and offsite, based on program needs. Training and technical assistance will be based on the risk assessment as well as both needs and opportunities as they arise. At the discretion of OCS staff, the risk level of a program may be reconsidered at any time.

**Procedure** Using this assessment, the Governor's Office of Community Service (OCS) will evaluate each Montana AmeriCorps project which will then be assigned a risk level of High, Medium or Low. Compliance monitoring will be uniform while also addressing issues contributing to the risk categories for each program. The overall monitoring strategy will allow for more in-depth monitoring of a project with a high risk rating, with less intensive monitoring, as appropriate, of projects with a lower risk rating. Risk assessment will be conducted annually for each program with the results both provided to the sponsoring organization and retained in the file housed at OCS.

**Notes:** First year AmeriCorps programs/projects are considered high risk and are subject to both financial and programmatic compliance monitoring. Programs that have not been monitored 2 years or more may be subject to compliance monitoring, regardless of risk determination. Compliance monitoring for fixed award grants will primarily focus on programmatic requirements but may include fiscal policies and procedures.

OCS staff name & Date of Risk Assessment: \_\_\_\_\_

Sponsoring Organization: \_\_\_\_\_

Subgrantee/Program Name: \_\_\_\_\_

Total Score & Assessed Risk Level: \_\_\_\_\_

**High Risk determination (14- 34 points):** Commission staff will conduct at least one site visit a year to include programmatic and fiscal components. Monitoring will focus on the aspects that influenced the risk determination. Additional site monitoring will be conducted as needed to track compliance efforts. Programs assessed as high risk may be given a corrective action plan to work toward compliance. Ongoing training and technical assistance will be provided formally and informally.

**Medium Risk determination (8-13 points):** Commission staff will conduct at least one site visit a year to include programmatic and fiscal components. Monitoring will focus on the aspects that influenced the risk determination and may be in person or a desk review. Ongoing and if needed, additional onsite, monitoring will be conducted to track compliance. Ongoing training and technical assistance will be provided formally and informally.

**Low Risk determination (1-7 points):** Commission staff will conduct at least one site visit per three year period to include programmatic or fiscal components, or a combination of the two. May be in person or desk review. Ongoing training and technical assistance will be provided formally and informally.

Responses pertain to the last grant year unless otherwise specified.

Items from previous years monitoring?

**Section One      *Organizational Capacity and Staffing***

Risk Factors	Yes	No	Comment
Is this subgrantee in their first three year cycle?	2	0	
Has the organization received AmeriCorps*State funds through the Governor's Office of Community Service for more than 3 years?	0	1	<i>If yes, for how long?</i>
In the last year, has the program had turnover in key program staff?	1	0	<i>If yes, briefly describe.</i>
Do primary <i>programmatic</i> staff have greater than 5 years combined experience with AmeriCorps State and National grants?	0	1	
Does lead <i>financial</i> staff have greater than 5 years combined experience with grant management?	0	1	
Does the program communicate updates, issues & good ideas to OCS?	0	1	
In the last year, has OCS received any complaints regarding the program?	2	0	
Organization has demonstrated cooperation with OCS, for example, returns phone calls and emails promptly, shares credit for success, cordial and professional even during disagreements, follows through on commitments.	0	1	
Additional concerns?	1	0	Briefly describe.
<b>Total points</b>			

**Section Two      *Program Management***

Risk Factors	Yes	No	Comment
Has it been more than two years since the last compliance monitoring visit?	1		
Does the program submit financial reports on time?		2	

<b>Program Management continued: Risk Factors</b>	<b>Yes</b>	<b>No</b>	<b>Comment</b>
Does the program submit financial reports accurately?	0	1	
Has the program met their budgeted match? What is budgeted match?	% met	2	Fixed Award = N/A
If the budgeted match was not met, was the required match met?	1	1	Fixed Award = N/A
Does the program submit progress reports on time?	0	2	
Does the program submit accurate progress reports?	0	1	
Does program staff attend all required trainings, including bimonthly conference calls?	0	2	
In the last full program year, was program's enrollment rate less than 100%? <i>Enrollment rate:</i>	2	0	If less than 100%, briefly explain:
In the last full program year, were all members enrolled in eGrants within 30 days?	0	2	If no, briefly describe:
In the last full program year, was the program's retention rate over 95%? <i>Retention rate:</i>	0	1	If less than 95% briefly explain:
Has the program demonstrated member retention below 95% for more than 2 years?	2	0	
In the last full program year, were all members exited in eGrants within 30 days?	0	2	If no, briefly describe
Does the program demonstrate progress toward performance measures?	0	1	If no, briefly describe
Does the program invite OCS & Commissioners to events such as orientation, service projects or end of service?	0	1	
Additional concerns?	1	0	Briefly describe.
<b>Total points</b>			

**Notes:**

<b>Section and overall totals</b>	
Organizational Capacity & Staffing	of 11
Program Management	of 24
<b>Total Points</b>	