Risk Assessment KEY

Purpose

To provide an equitable process and criteria to effectively assess risk and monitor compliance and progress of AmeriCorps State programs in Montana, and to satisfy the requirements of 2 CFR 200.332. Risk assessment considers the organization and the program performance. Risk determination will aid the Governor's Office of Community Service (GOCS) in providing 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 needs and opportunities as they arise. At the discretion of GOCS staff, the risk level of a program may be reconsidered at any time.

Procedure

Using this assessment, GOCS will annually evaluate each Montana AmeriCorps program, which will then be assigned a risk level of Low, Medium, or High. 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 program with a high-risk rating, with less intensive monitoring, as appropriate, of programs with a lower risk rating. Risk assessment will be conducted for each program with results provided to the sponsoring organization and retained in the file housed at GOCS.

Notes:

First year AmeriCorps programs 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. Corrective action may be applied any time in the performance period or the life of the grant. Compliance monitoring for fixed award grants will primarily focus on programmatic requirements but may include fiscal policies and procedures.

GOCS staff name(s) & Date of Risk Assessment: _____

Sponsoring Organization: _____

Subrecipient Program Name & Grant Number: _____

Total Score & Assessed Risk Level: _____

High Risk determination (14+ 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 monitoring and corrective action will be conducted as needed to track compliance efforts. 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 monitoring will be conducted. 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 and/or fiscal components. May be in person or desk review. Ongoing training and technical assistance will be provided formally and informally.

Consider all questions pertaining to the last full grant year unless otherwise specified.

Items from previous years monitoring (circle one)? Yes, list below, or No. ◯

Section One — *Organizational Capacity and Staffing*

Risk Factors	Yes	No	Comment
Is the subrecipient 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	*If yes, for how long?*
In the last year, has the program had turnover in key program staff?	1	0	*If yes, briefly describe.*
Do primary *programmatic* staff have greater than 5 years combined experience with AmeriCorps State & National grants?	0	1	
Do primary *financial* staff have greater than 5 years combined experience with federal grant management?	0	1	
Does the program communicate updates, issues & good ideas to GOCS?	0	1	
In the last year, has GOCS received any complaints regarding the program?	2	0	
Has the organization demonstrated cooperation with GOCS, for example: returns phone calls, emails promptly, shares credit for success, cordial and professional even during disagreements, follows through on commitments?	0	1	
Additional concerns?	1	0	Briefly describe.
Section Total points			

Section Two — *Program Management*

Risk Factors	Yes	No	Comment
Has it been more than two years since the last compliance monitoring visit?	1	0	
Does the program submit financial reports on time?	0	2	
Does the program submit financial reports accurately?	0	2	
Has the program met their budgeted match? *Budgeted match:*	0	2	% met: *Fixed Award = N/A*

Risk Factors	Yes	No	Comment
If the budgeted match was not met, was the required match met?	0	1	*Fixed Award = N/A*
Does the program submit progress reports on time?	0	2	
Does the program submit accurate progress reports?	0	2	
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%? *Enrollment rate:*	2	0	If less than 100%, briefly explain:
In the last full program year, were all members enrolled in eGrants within 8 days?	0	2	If no, briefly describe:
In the last full program year, was the program's retention rate over 90%? *Retention rate:*	0	1	If less than 90% briefly explain:
Has the program demonstrated member retention *below* 90% 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 GOCS & Commissioners to events such as orientation, service projects or end of service, and at least 30 days in advance?	0	1	
Additional concerns?	1	0	Briefly describe.
Section Total points			

Notes:

Section and overall totals	
Organizational Capacity & Staffing Section	of 11
Program Management Section	of 26
Total Points	