

MISSOURI COMMUNITY SERVICE COMMISSION
AMERICORPS PROGRAMMATIC RISK-BASED ASSESSMENT



Purpose: To allow Commission staff to effectively monitor compliance and progress of AmeriCorps*State projects in Missouri and to provide an adequate level of both on-site and off-site technical assistance based on the systematically assessed capacity of the sub-grantee to administer the project.

Procedure: Using the guidelines outlined below, each Missouri AmeriCorps project 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 the most time-intensive monitoring of the highest risk projects, with less time-intensive monitoring strategies applied, as appropriate, to lower risk projects.

Risk Assessment: On at least an annual basis Commission staff will assess the risk associated with each sub-grantee using the weighted risk factors outlined above. Based on this risk assessment, staff will draft a monitoring/site visit plan for each grantee as appropriate to the identified risk factors and risk categories outlined below. This draft plan will be presented to the Program Committee of the Missouri Community Service Commission for approval, discussion and feedback prior to implementation.

Note: This form is NOT applicable to first year programs; all first year programs will be considered high risk and will receive a minimum of two (2) site visits per year.

Subgrantee Name:	
Risk-Based Assessment Performed by:	
Date Risk-Based Assessment Performed:	
Total Score/Level:	Score: _____ Level: High Medium Low

Risk Level	Monitoring Plan Guidelines
High (74 & over)	<p><u>Monitoring Plan:</u> Commission staff monitoring will focus on those factors contributing to the risk factor of these programs. Commission staff will prepare and provide to the Program Committee, at least quarterly, a status report for each project in this category detailing any continuous improvement or compliance issues. Based on this report, the Program Committee may revise previously approved monitoring/site visit plans as appropriate.</p> <p><u>Site Visits:</u> Commission staff will conduct a minimum of two (2) site visits per year. The first visit will be conducted within 2 months (or earlier as appropriate to the situation) of the program start date and the second visit conducted approximately 6-8 months into the program year. Both visits will include, at a minimum, a review of member files, review of program's evaluation process, tools and accomplishment data, and interviews with program staff and members. Visits will focus intensively on those areas contributing to the High Risk designation of the program.</p>
Medium (45 to 73)	<p><u>Monitoring Plan:</u> Commission staff monitoring will focus on those factors contributing to the risk factor of these programs. Commission staff will prepare and provide to the Program Committee, at least semi-annually, a status report for each project in this category summarizing achievements, activities, and any continuous improvement and compliance issues. 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.</p> <p><u>Site Visits:</u> Commission staff will conduct a minimum of one (1) visit per year which will, at a minimum, consist of a review of member files, review of accomplishment data, tour of service site(s), and interviews with program staff and members. Additional visits may be conducted on an as-needed and/or requested basis.</p>
Low (20 to 44)	<p><u>Monitoring Plan:</u> Monitoring of projects in this category will be mainly through use of eGrants/My America Portal and OnCorps including member time logs, member rosters, progress reports and financial reports (including required back-up documentation).</p> <p><u>Site Visits:</u> One (1) visit per year <i>may</i> be conducted by Commission staff to review accomplishment data and a random sample of member and/or financial files. Additional visits may be conducted as-needed.</p>

PROGRAM EFFECTIVENESS	SCORE
1. Legal Applicant (Grant Agreement signatory and/or Parent Organization)	
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
2. Experience with AmeriCorps	
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
3. Program Performance Measures	
Program exceeded all performance measures	1
Program met all AND exceeded 50% or more performance measures	2
Program met all performance measures	3
Program met 50% or more performance measures	4
Program met fewer than 50% of performance measures and/or reporting was lacking	5
4. 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 18 months	5
5. Implementation of corrective actions of findings at 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
6. Member Enrollment	
Member enrollment rate percentage is 100%	1
Member enrollment rate percentage is 90% or greater	2

For all questions, refer to AmeriCorps Programmatic Risk-Based Assessment worksheet for further explanation and/or notes.

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
7. Member Retention	
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
8. Program Policies and Procedures	
All Program policies and procedures are adequate and up to date	1
Most Program policies and procedures are adequate and up to date	3
Few Program policies and procedures are adequate and up to date, or none are written	5
MEMBER MANAGEMENT	
9. Member Success	
All Members earned an education award	1
95% of Members earned an education award	2
90% of Members earned an education award	3
85% of Members earned an education award	4
70% of Members earned an education award	5
10. Timeliness in <u>enrolling</u> Members into My AmeriCorps Portal & OnCorps Reports	
All Members enrolled within 30 days of activation date	1
95% of Members enrolled within 30 days of activation date	2
90% of Members enrolled within 30 days of activation date	3
85% of Members enrolled within 30 days of activation date	4
70% of Members enrolled within 30 days of activation date	5
11. Timeliness in <u>exiting</u> Members into My AmeriCorps Portal & OnCorps Reports	
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
12. Member timekeeping in OnCorps Reports	
Member timekeeping meets requirements in 100% of desk monitoring reports	1
Member timekeeping meets requirements in 90% of desk monitoring reports	2
Member timekeeping meets requirements in 80% of desk monitoring reports	3

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Member timekeeping meets requirements in 70% of desk monitoring reports	4
Member timekeeping meets requirements in fewer than 70% of desk monitoring reports	5
13. Member Satisfaction	
Averaged site visit member survey applicable questions combined score is 75 or greater	1
Averaged site visit member survey applicable questions combined score is 50 - 74	3
Averaged site visit member survey applicable questions combined score is lower than 50	5
PROGRAM COMPLIANCE	
14. Reimbursement Requests – Notice of Funds Withheld	
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
15. Program Director/Staff participate regularly in required trainings	
Program Director and/or necessary staff attend 4 or more required trainings	1
Program Director and/or necessary staff attend 3 or more required trainings	2
Program Director and/or necessary staff attend 2 or more required trainings	3
Program Director and/or necessary staff attend 1 or more required trainings	4
Program Director and/or necessary staff attend NO (zero) required trainings	5
16. MCSC/Program contact	
Program director and/or staff always respond to MCSC requests in a timely manner	1
Program director and/or staff usually respond to MCSC requests in a timely manner	2
Program director and/or staff respond to MCSC requests, but not in a timely manner	3
Program director and/or staff rarely respond to MCSC requests	4
Program director and/or staff generally do not respond to MCSC requests	5
17. Match Requirement	
Program exceeded match requirement by 10% or greater	1
Program met match requirement	3
Program did not meet match requirement	5
18. 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
19. Program Progress and Performance Measure Reporting	
Timely submission; reporting mostly exceeds requirements	1
Timely submission; reporting mostly meets requirements	2

For all questions, refer to AmeriCorps Programmatic Risk-Based Assessment worksheet for further explanation and/or notes.

Timely submission; reporting mostly does not meet requirements	3
Late submission; reporting mostly meets requirements	4
Late submission; reporting mostly does not meet requirements, or mostly did not submit	5
20. 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

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