

Serve Idaho Program Risk Assessment Worksheet

Program: _____
Grant # _____
Grant Year: _____
Date: _____
Review Person(s): _____

Organizational Criteria

1. The organization is a new Corporation for National and Community Service recipient. *Other than the grant currently in place, the recipient/sponsor has never previously had a direct grant or sponsorship agreement from CNCS.*

Yes (+1 point) No but have 3+ yrs experience (-1 point) No

Source Documentation:

- Self-identification by the approved applicant
- eGrants query results

2. The organization is new to the Corporation for National and Community Service and has not been awarded a grant by another federal agency within the previous two- (2) calendar years.

Yes (+2 Points) No

Source Documentation

- Grant Award Application
- eGrants – Grants Officer Certification Screen
- SF-990 (tax form)
- Financial Management Survey (for award amount over \$100,000)

3. The organization has had key staff changes in the past 4 months or a pattern of changes since the last risk assessment. Or one or more key staff positions have been left unfilled, with or without attempt to refill the position.

Yes please explain (+1 Point) No

Source Documentation

- Outcomes from site visits
- Routine correspondence with the grantee
- Budget changes that reduce staffing levels or eliminate key staff positions

4. The organization has experienced a change since the post-award grant period or is in the process of changing the legal applicant or fiscal agent.

Yes please explain (+2 Points) No NA

Source Documentation

- Notification from the program that a change has or will take place.
- Outcomes from site visits
- A grant award that implemented a legal applicant / responsible party change.

Programmatic Criteria

5. The program has low quality and/or inadequate performance measures.

Yes please explain (+2 Points) No

Source Documentation

- Review of the progress report
- Review the application for funding

6. This is a multi-site program.

Yes (+1 Point)

No

Source Documentation

- Grant application
- Notice of Grant Award / Memorandum of Agreement

7. The program failed to meet the recruitment and retention policy at the end of the previous grant year.

Yes (+2 Point)

No

NA

Source Documentation

- Progress report
- eGrants
- Correspondence with the program confirming the problem exists

8. The program possesses an innovative and untested design and/or is carried out by a new or non-typical partnership of organizations without a track record of successful collaboration.

YES please explain (+2 Points)

NO program has strong partnerships/collaborations (-1 point)

No

Source Documentation

- Proposal narrative

9. The program has had major changes in the types of 1. Participants, partners, or target beneficiaries. 2. Service areas or 3. Project scope, both geographic and programmatic?

- Yes please explain (+2 Points) No NA

Source Documentation

- Progress reports
- Outcomes from site visits and other meetings
- Requests for amendments to the grant/award
- Routine correspondence or communications with the recipient

Financial Criteria

10. The agency has received over \$3,000,000 in federal grants, has two or more active awards from the Corporation or has 500 or more participant positions awarded to them.

- Yes please explain (+1 Point) No

Source Documentation

- Current budgets
- Current awards
- eGrants query
- A-133 Audit report

11. The program 1. After one year has not used at least 50% of the total, cumulative grant funding. 2. After two years has not obligated at least 75% of the total, cumulative grant funding. 3. After one year or more the grantee's rate of expending funds is less than 50% of the amount of funds obligated. (Formula: amount obligated/2 = threshold. If amount expended to date < threshold, then risk factor is yes).

- Yes please explain (+1 Points) No NA

Source Documentation

- FSR
- Draw request log

12. The program has not met the financial requirement of this grant.

- Yes please explain (+3 Points) No NA

Source Documentation

- Current budget(s) or award(s)
- HHS/PMS Query
- Financial Status Report (FSR)
- Federal Cash Transaction Report

Compliance Criteria

13. The program has not received a site visit in the most recent 18 consecutive months.

- Yes please explain (+1 Points) Yes 1st year of funding (+3 Points) No NA

Source Documentation

- Site Visit letter

14. The program has received complaints from AmeriCorps members and/or site supervisors.

- Yes please explain (+2 Points) No NA

Source Documentation

- Host site/AmeriCorps member site visit checklists

15. The program has not participated in the Serve Idaho Conference Annual Conference/CNCS National Conference/Program Director meetings.

- Yes please explain (+2 Points) No NA

Source Documentation

- Program Director Meeting check in sheet
- Serve Idaho Staff will verify conference attendance

16. The program's progress report does not meet Serve Idaho's guidelines. 1. The report was incomplete. 2. The program did not meet their performance measurements. 3. The report was not submitted by the established due date.

- Yes please explain (+3 Points) No NA

Source Documentation

- Progress report
- eGrants for the due date and submission date

17. The program's Financial Status Report 1. Has not included sufficient details to track expenditures and matching funds. 2. Shows a problem with the rate at which the program draws down funds. 3. All required fields on the FFR have not been completed. 4. The FFR was not submitted by the established due date.

- Yes please explain (+3 Points) No NA

Source Documentation

- Financial Status Report
- eGrants for the due date and submission date

18. The programs reported match was significantly below the budgeted minimum requirements.

- Yes please Explain (+2 Points) No it exceeds it (-1 Point) No NA

Source Documentation

- Financial Status Reports

19. The program has failed to correct non-compliance issues and/or did not acknowledge a direct official notification or mandate by Serve Idaho.

- Yes please Explain (+2 Points) No (-1 Points) NA

Source Documentation

- Serve Idaho Comments from site visits
- Correspondence in the program files

20. The program has significant questioned costs in the A-133 audit/Financial Audit or open audit findings.

Yes please explain (+3 points)

No

NA

Source Documentation

- A-133 Audit
- Financial Audit

Risk Categories and Corresponding Basic Monitoring Plan Guidelines

Program Name: _____

Date: _____

Low Risk: 0-1 Points or lower

Monitoring Plan: Monitoring of projects in this category will be mainly through use of member time logs, member rosters, progress reports and financial reports (including required back-up documentation). AmeriCorps Program Directors in this category may be asked to develop a mentoring relationship with a new or high-risk program as part of the monitoring strategy.

Site Visits: One site visit per year may be conducted by Serve Idaho staff. Serve Idaho staff will review accomplishment data, a random sample of member and/or financial files. The information will be shared with the Serve Idaho Commissioners. Host site and Member site visit may be conducted throughout the year as mutually arranged between Serve Idaho Staff, the AmeriCorps Program Director and the Commission members.

Medium Risk: 2-3 Points

Monitoring Plan: Serve Idaho staff monitoring will focus on those factors contributing to the risk factor of these programs. Serve Idaho staff will prepare a status report for each program 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.

Site Visits: Commission staff will conduct a minimum of one (1) site 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 site visits may be conducted on an as-need and/or requested basis.

High Risk: 4-5 Points or higher

Monitoring Plan: Serve Idaho staff will focus on those factors contributing to the risk factor of these programs. Serve Idaho 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.

Site Visits: Commission staff will conduct a minimum of two (2) site visits per year. The first staff site 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 site 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. Site visits will focus intensively on those areas contributing to the High Risk designation of the program.