Serve Washington
Programmatic Risk-Based Assessment

<u>Purpose</u>:   To achieve its management objectives, Serve WA will conduct an annual risk assessment of all subgrantees resulting in an assigned risk level of high, medium, or low.

<u>Policy/Procedure</u>: Refer to Serve WA Policy 1.02 (Subgrantee Monitoring) and Serve WA Procedure 2.01 (Risk Assessment). 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 programs, with less time-intensive monitoring strategies applied, as appropriate, to lower risk programs.

<u>Risk Assessment</u>: ServeWA staff will assess the risk associated with each subgrantee on an annual basis (around July/August) using weighted risk factors. Based on this risk assessment, staff will visit with each subgrantee, as appropriate, according to identified risk factors and risk categories.

<u>Note</u>: 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:	**insert**
Program Name:	**insert**
Risk-Based Assessment Performed By:	**insert**
Program Year:	**insert**
Date of Last ☐ Site Visit or ☐ Desk Review:	**insert**
Total Score/Level: **0**	Risk Level: **insert**

Risk Level	Monitoring Plan/Site Visit Guidelines
High (66-90)	<u>Monitoring Plan</u>: Serve WA monitoring staff will focus on those factors contributing to the risk factor of these programs. Staff will prepare a status report for each program in this category summarizing achievements, activities, and any continuous improvement and compliance issues. Based on this report, Serve WA may revise previously approved monitoring/site visit plans as appropriate. All first-year programs will receive a minimum of two (2) site visits in year one. <u>Site Visits</u>: Serve WA staff will conduct a minimum of two (2) site visits per year. The first visit will be conducted within 3 months of the program start date and the second visit conducted approximately 6-8 months into the program year.
Medium (31-65)	<u>Monitoring Plan</u>: Serve WA monitoring staff will focus on those factors contributing to the risk factor of these programs. Staff will prepare a status report for each program in this category summarizing achievements, activities, and any continuous improvement and compliance issues. Based on this report, Serve WA may revise previously approved monitoring/site visit plans as appropriate. All programs will receive a minimum of one (1) site visit during each three-year cycle, regardless of their assigned risk level. <u>Site Visits</u>: ServeWA staff will conduct a minimum of one (1) visit per year. The visit will be conducted within 6 months of the program start date.
Low (18-30)	<u>Monitoring Plan</u>: Monitoring programs in this category will occur through desk monitoring. Staff will prepare a hybrid status report for each program in this category summarizing achievements, activities, and any continuous improvement and compliance issues. <u>Site Visits</u>: The desk review will be conducted within 8 months of the program start date. One (1) visit per year *may* be conducted by ServeWA staff if warranted as a result of desk monitoring or if the program has not received a site visit in the current three year grant cycle.

ORGANIZATIONAL EFFECTIVENESS	0
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 (use FGO assessment score from grant-making)	
Single Audit with no material findings	1
Audit of Financial Statements with no material findings	2
Single Audit or Audit of Financial Statements with some findings	3
Single Audit or Audit of Financial Statements with significant 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 (or new program with no experience)	5
4. Staff Experience with SERVE WA 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 (or new program and therefore new staff)	5
5. Staff Experience with SERVE WA 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 (or new program and therefore new staff)	5
6. Results of Prior Program Year Monitoring or Other Site Visits	
No significant findings, concerns, or recommendations	1
Some minor findings, concerns, or recommendations	2
Some moderate findings, concerns, or recommendations	3
Some significant findings, concerns, or recommendations	4

Numerous findings, concerns, or recommendations OR has not received a site visit in the last 24 months (or new program with no prior results)	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 (or new program with no prior results)	5

Comments on Organizational Effectiveness:

PROGRAM COMPLIANCE	0
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 (or new program with no prior results)	5
9. SERVEWA/Program Contact	
Program Director and/or staff always respond to SERVEWA requests in a timely manner	1
Program Director and/or staff usually respond to SERVEWA requests in a timely manner	2
Program Director and/or staff respond to SERVEWA requests, but not in a timely manner	3
Program Director and/or staff rarely respond to SERVEWA requests	4
Program Director and/or staff generally do not respond to SERVEWA requests (or new program with no prior results)	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 (or new program with no prior results)	5

Comments on Program Compliance:

MEMBER MANAGEMENT	0
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% (or new program with no prior results)	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% (or new program with no prior results)	5
13. Timeliness in <u>Enrolling</u> Members into My AmeriCorps Portal **(eGrants S&N Report: Enrollment Approval Cycle Time)**	
All Members enrolled timely	1
Majority of Members enrolled on final day nearing noncompliance	3
Members enrolled late resulting in noncompliance and disallowed members hours (or new program with no prior results)	5
14. Timeliness in <u>Exiting</u> Members into My AmeriCorps Portal **(eGrants S&N Report: Exit Approval Cycle Time)**	
All Members exited timely	1
Majority of Members exited on final day nearing noncompliance	3
Members exited late resulting in noncompliance (or new program with no prior results)	5
15. Member Timekeeping	
Member timekeeping meets requirements in 100% of desk monitoring reviews	1
Member timekeeping meets requirements in 90% of desk monitoring reviews	2
Member timekeeping meets requirements in 80% of desk monitoring reviews	3
Member timekeeping meets requirements in 70% of desk monitoring reviews	4
Member timekeeping meets requirements in 60% or less of desk monitoring reviews OR has not received a timekeeping review within the previous 24 months (or new program with no prior results)	5

Comments on Member Management:

FINANCIAL MANAGEMENT	0
16. Financial Reporting	
Timely submission; reporting is accurate 100% of the time	1
Timely submission; reporting is accurate a majority of the time	2
Timely submission; reporting is often inaccurate	3
Late submission; reporting is accurate a majority of the time	4
Late submission; reporting is often inaccurate, OR did not submit (or new program with no prior results)	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 (or new program with no prior results)	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 (or new program with no prior results)	5

Comments on Financial Management:

Date Completed: insert

Program Officer
Signature: _____
                                                                        Date

Senior Program Officer
Signature: _____
                                                                        Date