



Purpose: 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.

Policy/Procedure: 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.

Risk Assessment: 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 (which is based on their most recent year's 'performance') staff will visit subgrantees, as appropriate, according to identified risk factors and risk categories. All programs will receive on-site monitoring at least once during their three-year project period. Timing of on-site monitoring will be based on risk level.

Note: All new subgrantees will be considered high risk and visited within the first quarter of program operations. ☐ Check if applicable.

Legal Applicant:	insert
Program Name:	insert
Risk-Based Assessment Performed By:	insert
Program Year:	insert
Date of Last <input type="checkbox"/> Site Visit or <input type="checkbox"/> Desk Review:	insert
Total Score/Level: 0	Risk Level: insert

Risk Level	Monitoring Plan
High (66-84)	<u>Monitoring Plan:</u> Monitoring programs in this category will occur through a site visit. Note: All new subgrantees will be considered high risk and visited within the first quarter of program operations. <u>Site Visits:</u> Serve WA staff will conduct one site visit. The visit will be conducted within 3 months of the program start date.
Medium (31-65)	<u>Monitoring Plan:</u> Monitoring programs in this category will occur through a desk monitoring. <u>Site Visits:</u> Serve WA staff will conduct one desk monitoring.
Low (17-30)	<u>Monitoring Plan:</u> Programs will not require annual monitoring. <u>Site Visits:</u> Note that one onsite visit is required during a three-year project period.

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 (such as non-AmeriCorps)	3
Single Audit or Audit of Financial Statements with significant findings (such as AmeriCorps)	4
No audit performed	5
3. Legal Applicant Experience Managing AmeriCorps Grants	
Legal Applicant has > 3 yrs experience with national service/AmeriCorps	1
Legal Applicant has 1-2 yrs experience with national service/AmeriCorps	2
Legal Applicant has limited experience with national service/AmeriCorps	3
4. Staff Experience with SERVE WA AmeriCorps Program Administration	
2nd (3-year) grant cycle of organization and above; same program director	1
2nd (3-year) grant cycle of organization and above; new program director	2
1st (3-year) grant cycle of organization; same program director	3
1st (3-year) grant cycle of organization; new program director	4
High turnover of multiple integral program staff positions	5
5. Staff Experience with SERVE WA AmeriCorps Fiscal Administration	
2nd (3-year) grant cycle and above; same financial director	1
2nd (3-year) grant cycle and above; new financial director	2
1st (3-year) grant cycle; same financial director	3
1st (3-year) grant cycle; new financial director	4
High turnover of multiple integral fiscal staff positions	5
6. Results of Most Recent Program Year Monitoring or Other Site Visits (not otherwise covered in this assessment)	
No significant findings or concerns	1
Some minor findings or concerns (relative to low number affected, or general human error)	2
Some moderate findings or concerns (relative to larger system-wide issue, system failure)	3
Some significant findings or concerns (resulting in disallowed costs)	4
Numerous findings and/or concerns (or new program with no prior results)	5
7. Implementation of Corrective Actions of Findings from Most Recent Past Monitoring Visit	
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. SERVE WA/Program Contact	
Program Director and/or staff always respond to SERVE WA requests in a timely manner	1
Program Director and/or staff usually respond to SERVE WA requests in a timely manner	2
Program Director and/or staff respond to SERVE WA requests, but not in a timely manner	3
Program Director and/or staff rarely respond to SERVE WA requests	4
Program Director and/or staff generally do not respond to SERVE WA requests (or new program with no prior results)	5
10. Program Progress and Performance Measure Reporting (Semi-Annual Reports)	
Timely submission; reporting meets requirements	1
Timely submission; reporting does not meet requirements	2
Late submission; reporting meets requirements	3
Late submission; reporting does not meet requirements, OR did not submit (or new program with no prior results)	4

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 Enrolling Members into My AmeriCorps Portal (eGrants S&N Report: Enrollment Approval Cycle Time)	
All/Majority of Members enrolled timely, within the 8-day enrollment period	1
Majority of Members enrolled near the end of 8-day enrollment period requirement	3
Multiple Members enrolled late (or new program with no prior results)	5
14. Timeliness in Exiting Members into My AmeriCorps Portal (eGrants S&N Report: Exit Approval Cycle Time)	
All/Majority of Members exited timely, within the 30-day exit period	1
Majority of Members exited near the end of the 30-day exit period requirement	3
Multiple Members exited late (or new program with no prior results)	5

Comments on Member Management:

FINANCIAL MANAGEMENT	0
15. Financial Reporting (Invoice Packages, FFR, etc.)	
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
16. 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
17. 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 budgeted match contributions	3
Program did not meet match requirements (or new program with no prior results)	5

Comments on Financial Management:

Date Completed:

Program Officer
Name:

Date Reviewed:

Director of Programs
Name: