

MCSC 2015-2016 Programmatic Risk-Based Assessment

Sub-Grantee:	
Program Director:	
Date of Review:	
Assessment Performed by:	
TOTAL SCORE	0.00

Purpose:	To allow Commission staff to effectively monitor compliance and progress of AmeriCorps*State projects in Missouri for the previous program year 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.
Findings: (Please summarize any findings here)	
Other Reviewer Comments:	

Ratings:

0-9 = Very Good: skilled and knowledgeable, expert = Low Risk
 10-19 = Good: skilled and knowledgeable, but not an expert = Low to Moderate Risk
 20-29 = Average: has some skill or knowledge = Moderate Risk
 30-39 = Poor: has a little skill or knowledge = Moderate to High Risk
 40-99 = Very Poor: very little skill or knowledge = High Risk

Assessment	Score	
Performance Measures (Including Both Programmatic and MO Specific)		
Program exceeded all performance measures.		0
Program met all performance measures.		1
Program met 80% or more of performance measures.		2
Program met 50% or more performance measures.		3
Program met fewer than 50% of performance measures and/or reporting was lacking.		4
Comments:		
Monitoring and Site Visits (Enter "1" for as many as apply)		
No findings.		0
Inadequate or lack of AmeriCorps signage.		1
Members not wearing AmeriCorps gear or identification.		1
Missing AmeriCorps logo on printed materials.		1
Forms missing original signature (i.e. rubber stamp)		1
Members engaging in "Prohibited Activities" while serving.		1
Members performing activities outside their assigned direct service (i.e. service description).		1
Lack of proof of citizenship.		1
The results of criminal record checks are not maintained in a separate locked file.		1
Members not receiving a living allowance and/or incorrect amount.		1
Eligible Members not receiving health insurance as contracted.		1
Eligible Members not receiving child care benefits as contracted.		1
Lack of proof of accompaniment.		1
Member contracts, enrollment forms, etc. signed after Member start date.		1
Access to general Member files is not limited to appropriate program staff.		1
Member files do not contain all items listed on "Member File Checklist".		1
Member files are not kept in a secure area.		1
Any documents, such as medical records, correspondence from the Member, or other official records regarding the Member of		1
Comments:		
NSCHC-AmeriCorps Member		
All Member files reviewed had compliant checks		0
Some Member files had noncompliant checks		1
All Member files had noncompliant checks		2
Comments:		

NSCHC-Staff		
All staff had compliant checks		0
Some staff had noncompliant checks		1
All staff had noncompliant checks		2
Comments:		
Implementation of Corrective Actions - Findings		
No corrective actions needed		0
Corrective actions completed within 30 days		1
Corrective actions initiated but incomplete after 30 days		2
Corrective actions initiated but incomplete after 60 days		3
Unresolved findings and program is non-responsive or unable to resolve problems		4
Comments:		
Member Enrollment-Current Year		
Member enrollment rate = 100%		0
Member enrollment rate => 90%		1
Member enrollment rate => 80%		2
Member enrollment rate => 70%		3
Member enrollment rate < 70%		4
Comments:		
Member Retention-Current Year		
Member retention rate = 100%		0
Member retention rate => 90%		1
Member retention rate => 80%		2
Member retention rate => 70%		3
Member retention rate < 70%		4
Comments:		
Member Success-Previous Year		
Members earning an education award = 100%		0
Members earning an education award => 90%		1
Members earning an education award => 80%		2
Members earning an education award => 70%		3
Members earning an education award < 70%		4
Comments:		
Timeliness - Enrolling Members into My AmeriCorps Portal and OnCorps Reports-Current Year		
Members enrolled within 30 days of activation date = 100%		0
Members not enrolled within 30 days of activation date		2
Comments:		
Timeliness - Exiting Members from My AmeriCorps Portal and OnCorps Reports-Previous Year		
Members exited within 30 days of completion date = 100%		0
Members not exited within 30 days of completion date		2

Comments:		
Member Timekeeping - OnCorps Reports		
Member timekeeping meets requirements in 100% of desk monitoring reports		0
Member timekeeping meets requirements in 90% of desk monitoring reports		1
Member timekeeping meets requirements in 80% of desk monitoring reports		2
Member timekeeping meets requirements in 70% of desk monitoring reports		3
Member timekeeping meets requirements in less than 70% of desk monitoring reports		4
Comments:		
End-of-Term Evaluation-Previous Year		
End-of-Term evaluation completed in 30 days		0
End-of-Term evaluation not completed within the 30 day timeframe		1
Comments:		
Change of Status-Current Year		
Change of Status completed in 30 days		0
Change of Status not completed within the 30 day timeframe		1
Comments:		
Member Satisfaction		
Member survey score is 90 or above		0
Member survey score is 80 - 89		1
Member survey score is 70 - 79		2
Member survey score is 60 - 69		3
Member survey score is less than 60		4
Comments:		
Letters of Non-Compliance		
Program received 0 notices of non-compliance		0
Program received 1 notice of non-compliance		1
Program received 2 notices of non-compliance		2
Program received 3 notices of non-compliance		3
Program received 4 or more notices of non-compliance		4
Comments:		
Program Director/Staff Participation		
Program Director/Staff attended 100% of required trainings/meetings		0
Program Director/Staff attended 75%-99% of required trainings/meetings		1
Program Director/Staff attended 50%-74% of required trainings/meetings		2
Program Director/Staff attended 25%-49% of required training/meeting		3
Program Director/Staff attended less than 25% of required training/meeting		4
Comments:		
Communication		
Program director and/or staff always respond to MCSC requests within the requested time		0
Program director and/or staff respond to MCSC requests the majority of the time and usually within timeframe		1

Program director and/or staff respond to MCSC requests, but not within the requested time		2
Program director and/or staff rarely respond to MCSC requests		3
Program director and/or staff never respond to MCSC requests		4
Comments:		
Required Match		
Program exceeded match requirements		0
Program met match requirements		1
Program did not meet match requirements but were only off by 1-2 percentage points		2
Program did not meet match requirements by greater than 2 percentage points due to circumstances beyond their control (i.e. disaster)		3
Program did not meet match requirements with no explanation		4
Comments:		
Budget Transfers-Current Year		
Program submits requests to appropriate PO for budget transfers (if N/A, enter 0)		0
Program does not submit requests to appropriate PO for budget transfers		1
Comments:		
Audits		
Audit with no material findings or recommendations		0
Audit with some minor recommendations		1
Audit with some minor findings		2
Audit with significant material findings related to the AmeriCorps program		3
No audit submitted, or submitted late		4
Comments:		
Timeliness - Program Progress and Performance Measures Reporting-Current Year		
Timely submission (by due dates or extension granted)		0
Reports are on time 90% of the time		1
Reports are on time 80% of the time		2
Reports are continually late but requests extensions		3
Late submissions (no extensions requested or granted)		4
Comments:		
Timeliness - Required Documentation-Current Year		
Timely submission of both grant agreement and Member Contracts		0
Timely submission of either Grant Agreement or Member Contract		1
Late submissions (no extensions requested or granted)		2
Comments:		
Meaningful - Program Progress and Performance Measures Reporting-Current Year		
Progress reports are meaningful and comprehensive		0
Progress reporting needs improvement in that information reported does not accurately reflect the progress of the program.		1
Comments:		
AFRs - Financial Reporting		
AFRs submitted on time and are accurate 100% of the time		0

AFRs submitted on time and are accurate most of the time		1
AFRs submitted on time, but are not accurate; or are accurate, but not on time		2
AFRs are not submitted on time, are not accurate, but requests for corrections are timely		3
AFRs reports are never submitted on time, are not accurate, and corrections are not timely		4
Comments:		
PERs - Financial Reporting-Current Year		
PERs submitted on time and are accurate 100% of the time		0
PERs submitted on time and are accurate most of the time		1
PERs submitted on time, but are not accurate; or are accurate, but not on time		2
PERs are not submitted on time, are not accurate, but requests for corrections are timely		3
PERs are never submitted on time, are not accurate and corrections are not timely		4
Comments:		
Member Timesheets-Current Year		
All Members are on track to complete their terms of service as contractually agreed		0
90% or more of Members are on track to complete their terms of service as contractually agreed		1
80-89% of Members are on track to complete their terms of service as contractually agreed		2
70-79% of Members are on track to complete their terms of service as contractually agreed		3
Less than 70% of Members are on track to complete their terms of service as contractually agreed		4
Comments:		
Outstanding Member Hours-Current Year		
Program ensures that Member hours are within threshold limits		0
Member hours are above threshold, but program director provided explanation and has developed a plan with Member(s).		1
Member hours are above threshold and currently working with program to resolve issue		2
Member hours are above the threshold and program is non-responsive		3
Comments:		
Staff Turnover-Previous and Present Year		
No recent key staff turnover		0
Recent key staff turnover		1
Comments:		