



2012 -2013 AMERICORPS RISK ASSESSMENT



AmeriCorps Program:

Program Director:

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| Date Created: | Responsible ServeNebraska Officials: |
| 1 st Quarter Review Date: | |
| 2 nd Quarter Review Date: | |
| 3 rd Quarter Review Date: | |
| 4 th Quarter Review Date: | |

RISK RATING

All programs in their initial year of operation are considered High Risk

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|-----------------|---|---|---|---|---|---|--------------------|---|---|----|----|----|----|------------------|----|----|----|----|----|-----|
| Low Risk | | | | | | | Medium Risk | | | | | | | High Risk | | | | | | |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20+ |

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| COMMENTS: | |
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RISK BASED MONITORING

| Action | Low Risk | Medium Risk | High Risk |
|--|----------|-------------|-----------|
| Pre-award Risk Assessment | √ | √ | √ |
| Start-Up Document Review | √ | √ | √ |
| A-133 Audit Review | √ | √ | √ |
| Quarterly Progress Reports | √ | √ | √ |
| Monthly Periodic Expense Reports | √ | √ | √ |
| Quarterly Federal Financial Reports | √ | √ | √ |
| Annual Program Evaluation | √ | √ | √ |
| | | | |
| Start-Up Orientation & Review | √ | √ | √ |
| Staff Launch Training Attendance | √ | √ | √ |
| Statewide AmeriCorps Member Kick-Off Attendance | √ | √ | √ |
| Onsite Programmatic Site Visit | √ | √ | √ |
| Member File Review | √ | √ | √ |
| Programmatic Site Visit Follow-Up | | √ | √ |
| Program Leader Surveying | √ | √ | √ |
| Site Supervisor Survey | √ | √ | √ |
| Member Survey | √ | √ | √ |
| Fiscal Officer Orientation & Interview | √ | √ | √ |
| Fiscal File Review | √ | √ | √ |
| Onsite Fiscal Site Visit | √ | √ | √ |
| Fiscal Desk Audit (in lieu of onsite visit) * | √ | | |
| Technical Assistance to Maximize Compliance | | √ | √ |

* This option will be available to Low Risk programs which had no identified concerns in the prior year financial review. In no cases will any program go more than 2 years without an onsite fiscal site visit.

NOTE: ServeNebraska may, based on an individual program’s dynamics, opt to perform additional compliance checks beyond the oversight listed above for the risk-assessment rating. ServeNebraska may also request additional oversight or technical assistance if risk management or compliance issues are considerable and/or recurring.

| AMERICORPS PROGRAM PERFORMANCE | |
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| (Scored for organizations which have 1+ years management experience) | SCORE |
| Grant Complexity 0: Centrally located, one primary team & objective. 1: Any one of the following: Multi-site; intermediary / sub-grantee; large geographical service area; new programmatic focus; significantly increased funds or slot count. 2: Any two of the above factors in item #1 | |
| Progress Reporting 0: Timely submission with effective reporting 1: Timely submission with some errors in reporting 2: Late or no-submission of reports 3: Often inaccurate or incomplete reporting | |
| Program objectives: 0: Met or exceeded all objectives 1: Met most objectives with accompanying explanation 2: Met some objectives with accompanying explanation 3: Met few objectives; no explanation given for those not met. | |
| Member Enrollment 0: 100% enrollment for prior year. 1: 90% enrollment in prior year 2: 80% enrollment in prior year 3: 79% or below in prior year | |
| Member Retention 0: 90% or above in prior year 1: 80% in prior year 2: 79% or below in current year | |
| Site Visit Findings: 0: No compliance issues 1: Some compliance issues. Response submitted in timely manner. 2: Many compliance issues. Response submitted in timely manner. 3: Many compliance issues are recurring or not addressed. | |
| Financial Reporting 0: Always on time and accurate 1: On time, occasionally needs technical assistance for fully accurate reports 2: On time, frequently needs technical assistance for fully accurate reports 3: Late or no submission of reports | |
| Fiscal Management 0: No fiscal management concerns 1: Some fiscal management compliance issues cited. Response submitted in timely manner. 2: Many fiscal management compliance issues cited. Response submitted in timely manner 3: Fiscal management compliance issues are recurring or not addressed | |
| Program/Fiscal Staff Development 0: Attends all ServeNebraska events. Outside Staff development is ongoing. 1: Attends ServeNebraska events. Relies largely on ServeNebraska’s staff for assistance. 2: Attends few or no ServeNebraska events. No evidence of outside staff development. | |
| Program/Fiscal Staff Communication with ServeNebraska 0: Communication is prompt and timely 1: Communication is intermittent. 2: Communication is often delayed or nonproductive | |
| COMMENTS | |
| Subheading: | |
| Subheading: | |

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| ORGANIZATIONAL RISK: (Scored for all organizations) | SCORE |
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| Size of Grant: 0: Less than \$50,000 1: Less than \$100,000 2: Less than \$200,000 3. More than \$200,000 | |
| Governmental Grant Experience 0: Many years of experience managing federal funds 1: Limited experience managing federal funds 2: No experience managing federal funds | |
| Organizational Complexity 0: Organization with divided and well defined staff roles with systems in place: 1: Organization with delineation between administrators and program personnel defined staff roles with systems in place; 2: Organization with staff that “does everything” | |
| Program/Fiscal Staff Expertise: 0: Key staff is very experienced with organization and national service 1: Key staff is experienced within organization and services provided 2: Key staff is new to both the organization and/or to national service | |
| Supervisor to AmeriCorps member ratio 0: Ratio is adequate 1: Number of staff is likely adequate 2: Number of staff is of concern | |
| A-133 Audit or Independent Audit 0: No audit findings 1: Few audit findings with no AmeriCorps program questioned costs 2: Some audit findings with some AmeriCorps program questioned costs 3: Many significant audit findings and/or many AmeriCorps program questioned costs | |
| COMMENTS | |
| Subheading: | |
| Subheading: | |
| TOTAL: 0 | |