**Monitoring Overview Presentation**

 **Boyton, Marsheta** 0:03  
And welcome to the Office of Monitoring Webinar that will provide an overview of the monitoring process.  
This session is designed for representatives from organizations who have been selected for a monitoring activity.  
The webinar is being recorded so please know that you will be able to return to it as a reference in the future.  
First, let's begin with introductions from our team.  
I will start by introducing myself and will then ask my colleague to do the same.  
My name is Marshita Boynton and I am a senior monitoring officer with AmeriCorps Office of monitoring.  
Kathy, hello.

 **Thompson, Cathy** 0:46  
I'm Kathy Thompson, senior monitoring officer as well with the Office of monitoring.

 **Boyton, Marsheta** 0:52  
Thank you, Kathy. Next slide please.  
Here is our agenda for the day. We will first go through the agency's objectives for monitoring activities.  
We'll then move into the process itself by providing an overview of the monitoring lifecycle.  
Start to finish.  
After that, we will discuss the next steps in the process in greater detail. We will provide an overview of using the secure folders, which is our document management system that we will use throughout the process.  
Towards the end, we will show you where you can access support and resources throughout the monitoring cycle. If you have questions, feel free to e-mail monitoring at americorps.gov.  
Next slide please.  
First, let's discuss the agency's objectives for our offices monitoring activities.  
So here is the why behind monitoring.  
As a quick reminder, the Office of monitoring is only a few years old.  
It was born out of the 2019 transformation and sustainability plan, which separated out monitoring activities from the rest of our grants management activities.  
Agency wide monitoring is a regulatory requirement.  
And every grantee should expect to be monitored at some point.  
The goals of monitoring are to, as you can see here, assess compliance with all requirements, statutory, regulatory and agency policy.  
Collect data from across the agency on streams and areas for growth.  
Also, continuously improve agencies monitoring procedures based on monitoring activities and results.  
And to ensure.  
For agency compliance with federal regulations.  
Next slide please.  
Continuing along with our objectives, I want to spend some time discussing what monitoring is and isn't.  
So what monitoring is monitoring is routine, targeted and required by regulations.  
Monitoring is also used to inform training and technical assistance offered by the agency and it is applied to the prime grantee.  
What monitoring is not monitoring is not a direct result of wrongdoing.  
You are not selected because your organization is in trouble.  
Monitoring is not an audit and it is not related to OIG or P.  
I I a activities.  
Monitoring is also not applied directly to sub recipients.  
Next slide please.  
We have gotten through the Y and now we'll move into the what?  
Here's the bird's eye view of what our remote monitoring process looks like.  
We have the activities broken up into three main phases.  
Pre monitoring, monitoring and post monitoring and close out pre monitoring includes notifying the grantee of the upcoming monitoring assignment requesting the required documents and supplemental documents.  
And scheduling interviews if applicable.  
Monitoring includes the review of your submitted documents and conducting any interviews if necessary. After the monitoring phase, grantees will receive a monitoring report which will know any findings. If there are findings, the post monitoring and close out phase will include the creation and submission of your corrective action.  
Plan.  
Cap our offices review of the of the CAP and ultimately your implementation of the CAP. Once all findings are addressed and brought into compliance, we will move to close out the monitoring activity.  
Next slide please.  
I want to talk a little bit about on site monitoring.  
On site monitoring has a very similar life cycle to remote monitoring and I want to highlight some of the differences here.  
So with your on site monitoring, you'll have 35 to 40 business days out from the plan on site, visit grantees have received initial notification.  
Next will be a request to visit on site that will include suggested dates and planning for.  
Insurance conference call with the MO to discuss the process and document request in more detail. The insurance conference takes place around 30 to 35 business days out from the on site visit.  
An additional call will take place 10 to 20 days prior to the visit to finalize the agenda and interviews. And of course a major difference is the compliance assessment itself, which will take place on site.  
Which is highlighted here in the green box.  
It is important to note that the on site portion is an opportunity for the monitoring officer to collect documentation, review it with grantee staff, interview appropriate staff and members, and begin the compliance assessment.  
Additional compliance determinations will likely be made after the fact, with information and documents gathered during the visit.  
So from this point forward.  
The post monitoring and closeout portion of the lifecycle mirrors the remote process that we just discussed.  
Next slide please.  
Here we have a graphic presentation of our different monitoring activities.  
Taken as a whole, they are referred to as the uniform monitoring package.  
Many grantees are monitored for one activity, while some, particularly when our monitoring is on site, are monitored for all activities.  
I will go over each monitoring activity briefly from left to right, starting with the fofa.  
The activity or activities for which you are being monitored.  
Noted in the letter you received from the Office of monitoring.  
So we'll start with the fofa. This is a financial and operational fitness assessment, which entails the submission to us of key financial documents such as the general Ledger match Ledger documentation for selected PMS draw downs and an interview with Prime staff who oversee financial aspects of the program.  
Next we have program specific.  
This is a review of compliance with regulatory regulations.  
Terms and conditions associated with the respective grant program operations so that your assemb.  
Days of service and Commission operations. We will request initial and supplemental documentation as well as conduct interviews with three members, one site supervisor and a prom staff member.  
Next we have.  
Nschc.  
So this is the National Service criminal history check record and policy review.  
We will assess that your criminal history checks have been completed.  
We will also request information on volunteers and staff in covered positions or those paid for by AmeriCorps funds, either directly or through match.  
There are no interviews. However it is a multi layered review that entails first collecting a list of names.  
Documents if the grantee does not use our preferred vendors.  
True screen and field.  
Then we have prohibited activities. This activity reviews a recipient's training policies and procedures related to prohibited activities.  
We conduct a member document review and interviews to determine if prohibited activities are being performed.  
We will interview for volunteers to site supervisors and a prom staff member.  
Next we have new to AmeriCorps. This activity is assigned to first time AMERICOR grantees.  
It will consist of a review of grantee policies, practices and systems with the intention of confirming that a recipients foundational practices comply with federal and program requirements. This activity will touch on selected items from the Fofa prohibited activities.  
Nschc and programmatic monitoring activities.  
And lastly, we have the IAA expanded financial Operations Fitness assessment.  
So the expanded Fofa is a higher level monitoring review based on input from americors okro risk assessment internal program offices and Office of Inspector General Referrals.  
This activity is conducted by.  
Our partners at the Department of Veteran Affairs Office of Business Oversight.  
On behalf of the Office of monitoring the expanded fofa activity examines the grantees internal controls to identify and prevent fraud, waste and abuse, and provides the Office of monitoring with an assessment of the grantees ability to meet the needs of a mere court funded programs. The purpose of.  
This activity is to one assess project compliance with statutory.  
Regulatory and policy requirements.  
To identify necessary corrective action.  
Three identify opportunities to provide technical assistance and four ensure that adequate controls are in place to improve accountability of federal funds.  
Next slide please.  
So we've done the what and the why now here is the win. I want to emphasize that this is a very, very rough timeline and you may find that your organization is starting later or that certain phases take a little extra time depending on your assigned activities it.  
Could also go much faster depending on the completeness and speed with which your organization is able to respond.  
In general, many of you can expect to receive your initial notification and document request in the coming days or weeks.  
The timeline to submit requested documents will be provided in the notification when the documents are uploaded. We will review the information and request supplemental documentation.  
Please note that supplemental documentation will be requested only if this applies to your.  
Assigned activity.  
I want to quickly explain the general distinction between initial and supplemental documentation.  
Initial documentation is likely to include a list from which we will pull samples while the supplemental documentation is likely to be the backup documentation associated with those samples. For example, in the NSCHC activity, the initial documentation request.  
Is a list of individuals covered by the grant.  
Supplemental documentation request is for the actual nschc documents.  
Once we have all the initial and supplemental documents as well as interviews on the calendar, we'll review everything and conduct the interviews.  
This typically takes about a month, but can vary.  
We expect that grantees will receive the monitoring report months four through six of the monitoring process.  
There may be occasions where grantees receive the monitoring report within three months of the process.  
However, this is very rare if a corrective action plan.  
Or cap is required.  
Grantees will begin developing their cap in months four through six of the monitoring process. If a cap is not required, grantees will receive their monitoring report results with no findings.  
Please note that if the monitoring review report has findings that take time to implement and resolve, the grantee will remain in a in a status that is approved and not yet closed until the corrective measures are implemented and complete.  
Next slide please.  
On site reviews are slightly different as the bulk of our monitoring activity takes place at the prime grantees office.  
As such, the general timeline here is centered around the on site visit itself. The first few steps remain the same. Then we get ready for the visit by meeting to go over the draft agenda, you will receive a draft agenda for your review and interviewee selections.  
So for NSCHC assignments, you will receive a separate letter with instructions.  
And the timelines may vary due to the sensitive nature of these items. We use secure folders to receive NSE documentation.  
So with our onsite activity, an on site visit usually spans over two to three business days, though timelines may be adjusted as needed. The following will be completed and applies to specific monitoring activity assignments. So one interviews will be conducted on site with members.  
Volunteers, site supervisors, financial staff in the project director, two volunteer member files, possibly including Nschc Records and financial documentation, will be reviewed.  
3IN cost testing will be performed.  
Post visit. So after the on site visit, the MO will return to their Home Office to complete any remaining reviews and compliance determinations and finalize.  
Ring report, once finalized, the report will be shared with the grantee and the Oro portfolio and senior portfolio manager. If a corrective action plan is required, grantees will get started on the development of the CAP in months four through six of the monitoring process. If a cap is.  
Not required.  
Grantees will then receive their monitoring report results with no findings.  
Please note that if the monitoring review report has findings.  
That take time to implement and resolve.  
The grantee will remain in a status that is approved and not yet closed until the corrective measures are implemented and complete.  
Next slide please.  
Kathy, I'll turn it over to you.

 **Thompson, Cathy** 16:59  
Thanks Marshall.  
The next steps in the process involves a kickoff notification.  
You will receive the kickoff notification at some point over the next month or so.  
This notification will come from the Office of monitoring and will be directed to the authorized representative listed on your grant. The project director listed will also be copied along with your assigned Monitoring Officer portfolio and senior portfolio managers.  
Finally, the ASN office will also be included.  
For awareness, if appropriate, the e-mail will include a formal letter that summarizes the monitoring activity assigned to your agency and the date range for the monitoring assessment.  
There will also be an introduction of your monitoring officer in addition to the formal notification of monitoring instructions for assessing your secure folder will also be included.  
Please note that the kickoff notification for recipients selected for onsite monitoring.  
Will be slightly different.  
The differences include a request to confirm your physical address and the options to select an on site date.  
So the secure folders are used to communicate to the grantee detailed information about their assigned monitoring activities, such as documents to submit monitoring results and cap information.  
This system has been thoroughly vetted by our internal information technology colleagues and has been deemed safe to transmit personally identifiable information.  
So please use the secure folder rather than an e-mail to submit documents to your monitoring officers.  
This will help safeguard any sensitive material such as scan driver's license that are required for assigned NSCHC activities.  
If the grantee wants to just to access to additional people or persons, or different e-mail accounts to the secure folder, the grantee must submit and reach out to their monitoring officer. A request for this to occur.  
Accessing the secure folders again, the authorized representative will receive an e-mail from their assigned monitoring officer with the link to their secure folder.  
Check your spam inbox. If you have not received it within 24 hours after receiving the kick off and documentation request from AmeriCorps monitoring officer.  
Use the AmeriCorps Secure folder external user Guide that will be attached to your letter to learn how to access and use your secure folder. If you are having trouble, please contact your assigned Monitoring officer or monitoring at americorps.gov for assistance.  
Monitoring officers will use the secure folder to collect the required documents, provide monitoring results and review notes, as well as provide corrective action, plan status updates and feedback where applicable.  
The role of the grantee will be to read all of the information provided by the grantee by the Office of monitoring around the secure folder. The user guide will provide a step by step instruction will to that will be attached to your assigned notification.  
It is very important for the grantee to review this documentation.  
And all documentation and communication from the monitoring officer to ensure and understand all of the steps.  
And all the requirements of the monitoring activity, some monitoring activities require the completion and return of forms within a defined period of time, which the monitoring officer will provide in communication to the grantee in your secure folder.  
You will be uploading your initial documentation, uploading supplemental documentation, and clarifying information.  
Review down and download monitoring results.  
Submit a corrective action plan along with supporting documentation.  
And again review and download the CAP and any other information that's provided by the Office of monitoring and your assigned Monitoring Officer.  
So here's a snippet taken from the grantee document and supplemental request list that you're monitoring. Officer will use to communicate the document. Provides the what behind the documents requested a description of those documents.  
Whether a document has been.  
Specific a specific template from the Office of monitoring and that template will be attached for you to use.  
Also, there is a column that.  
The grantee can determine if they have submitted or not submitted the documentation.  
There is also a grantee notes column that can be used to provide notes. The grantee feels are pertinent.  
For example, it is possible that some requests may be applicable to the grantees agency.  
They may not be applicable to the grantees agency, and you're able to provide a description of why the request is not applicable.  
Office of Monitoring's website offers resources that will be beneficial during the monitoring activity to provide guidance on the monitoring process, document request and corrective action planning.  
The resources are updated regularly to ensure the most recent information is available.  
This snippet shows the first set of resources. However, when scrolling through the website you will see the additional sections for document request.  
There are recordings and the corrective action planning resource.  
In addition, the uniform monitoring package, which are the questions for each monitoring activity, can be used to help become familiar with the monitoring process and the requirements be at a glance documents.  
There's the remote monitoring at a glance on site at a glance and the cap at a glance.  
These documents provide an overview of each of those processes and this next steps.  
There's also a resource guide on how to successfully develop a corrective action plan.  
And the office of Monitoring FAQ.  
Now let's take a look at how the UMP is structured.  
This is a view of the prohibited activity section of the Uniform monitoring package.  
Each section of the monitoring package provides the purpose and the approach to the monitoring activity.  
The questions and references used to guide compliance determinations.  
The overview of the uniform monitoring package can be used to become familiar with compliance requirements for monitoring purposes, or just to maintain overall compliance.  
Quick recap.  
Again, monitoring kickoff and documentation request will go out in the month of January. Once you receive your kickoff notification. Questions can be directed to your assigned monitoring Officer thoroughly read all communication from the Office of Monitoring, but in the meantime, direct your questions to monitoring at AmeriCorps dot.  
Gov.  
I will reiterate, it is very important.  
For the grantee to read all communication from the Office of Monitoring.  
Some monitoring activities have a required.  
And a required completion date to return some of the forms where applicable. These items are directly linked and described within the system. Once the forms are completed, they should be uploaded with your requested documents within the secure folder.  
Thank you for your participation in this presentation.  
We hope you find this helpful and please reach out to the Office of monitoring if you have any questions.

 **Thompson, Cathy** stopped transcription