AmeriCorps Office of Monitoring: Overview of the Monitoring Process

January 31, 2023
Introductions

Monitoring Officers (Presenters)
- Danielle Shapiro
- John C Campion

Leadership Team (Q & A)
- Caroline Fernandez (Acting Director)
- Alex Delaney (Acting Deputy)
Agenda
On today’s call we will discuss:

• Objectives of Monitoring
• AmeriCorps remote and on-site monitoring lifecycles
• Next steps and timing of monitoring kick-off
• Using OneDrive Secure Folders
• Grantee monitoring resources
• Q&A
Objectives of Monitoring

A routine part of managing federal grants

• Assess compliance with all requirements (statutory, regulatory, and agency policy)

• Collect data from across the agency on strengths and areas for growth

• Continuously improve agency's monitoring procedures based on monitoring activities and results

• Ensure agency compliance with federal regulations
Objectives of Monitoring

Continued

What Monitoring Is
✓ Routine
✓ Targeted
✓ Required by regulations
✓ Used to inform training and technical assistance offered by the agency
✓ Applied to the prime grantee

What Monitoring Is Not
✗ A direct result of “wrongdoing” (you are not selected because your organization is “in trouble”)
✗ An audit
✗ Related to OIG or PIIA activities
✗ Applied directly to subrecipients
Monitoring Life Cycle - Remote

You are here!

Pre-Monitoring

- Monitoring Activity Assignments
- Grantee Notifications
- Grantee Document Submission to OM
- Document Review & Grantee Notification of Sample Selections

Monitoring

- Compliance Assessment
- Monitoring Summary Report to Grantee
- If applicable, Grantee Corrective Action Planning
- Grantee CAP Submission to OM
- CAP Review & Approval
- Grantee Notifications

Post-Monitoring & Closeout

Initial notification (sent 1/19) followed by kick-off email from monitoring officer (MO) requesting initial documentation.
Submit initial documents via OneDrive Secure Folders within 15 business days of Kick-off Notification.
MO reviews initial docs, identify individuals selected for interviews, and request supplemental documents.

Monitoring Life Cycle- On-Site

You are here!

Initial notification (sent 1/19) followed by request to select timeframe, 35-40 business days prior to visit.

MO and Grantee will schedule a call to discuss on-site visit and initial document collection.

MO reviews initial docs, works with grantee to finalize on-site agenda.
Monitoring Activities

Your assignment(s) can be found in your initial letter.
## General Timeline and Next Steps for Remote Monitoring

Depending on your spot in the queue, activities assigned, speediness in your response, and other variables

<table>
<thead>
<tr>
<th>Estimated time frame</th>
<th>Activities likely taking place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Month 1</td>
<td>• Notifications</td>
</tr>
<tr>
<td></td>
<td>• OneDrive Secure Folders access granted</td>
</tr>
<tr>
<td></td>
<td>• Initial documentation requests</td>
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<tr>
<td>Month 2</td>
<td>• OM reviews initial documentation, requests supplemental documents</td>
</tr>
<tr>
<td></td>
<td>• Grantees upload supplemental documentation</td>
</tr>
<tr>
<td>Month 3</td>
<td>• Documentation reviewed by OM</td>
</tr>
<tr>
<td></td>
<td>• Initial scope results for NSCHC and opportunity to provide additional documents (if applicable)</td>
</tr>
<tr>
<td>Month 4</td>
<td>• OM provides monitoring report with results and indicates whether or not a CAP is required</td>
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<tr>
<td>Month 5</td>
<td>• CAP submission</td>
</tr>
<tr>
<td></td>
<td>• Review of CAPs, determinations made</td>
</tr>
<tr>
<td>Month 6</td>
<td>• Completion of CAPs</td>
</tr>
</tbody>
</table>

Depending on your spot in the queue, activities assigned, speediness in your response, and other variables
### General Timeline and Next Steps for On-Site Monitoring

Depending on your spot in the queue, activities assigned, speediness in your response, and other variables

<table>
<thead>
<tr>
<th>Estimated timeframe</th>
<th>Activities likely taking place</th>
</tr>
</thead>
</table>
| 35-40 Business Days Prior to Visit | • Notifications  
• Secure File access granted  
• Initial documentation requests |
| 20-30 Business Days Prior to Visit | • OM reviews initial documentation, requests supplemental documents  
• Grantees upload supplemental documentation (if requested) |
| 10 Business Days Prior to Visit | • Draft Agenda to Awardee |
| **On-site Visit** | • On-Site Monitoring over 2-3 days including interviews with members/volunteers, site supervisors, financial staff and the project director, cost testing, review of NSCHC records and more. |
| 0-3 Months Post-Visit | • OM provides monitoring report with results and indicates whether or not a CAP is required  
• CAP submission  
• Review of CAPs, determinations made  
• Completion of CAPs |
Notification of Monitoring Assignment Kick-Off

Email from Monitoring Officer (@cns.gov)

- To awardee Authorized Representative
- Copy (CC) to awardee Project Director
- Copy (CC) to AmeriCorps Portfolio Manager
- If ASN grant, ASNInfo@cns.gov is also copied
- Includes attachment of formal AmeriCorps letter (PDF)
  - Summarizes monitoring activity assignment and period of assessment (date range applied to grant monitoring)
  - Describes deadline for responding to monitoring documentation request
- Introduction to your Monitoring Officer
- Includes attachment of External User Guide (PDF) for using OneDrive Secure Folders used by AmeriCorps Office of Monitoring
- Includes attachment of the slides for this presentation (PDF)
- Information (weblink) for viewing this recording
Using OneDrive Secure Folders

The Office of Monitoring uses OneDrive, a secure online platform, to facilitate monitoring activities.

Campion, John shared a folder with you

Here's the folder that Campion, John shared with you.

(Grantee Name) - (Grant ID)

This link only works for the direct recipients of this message.

Open
Accessing OneDrive Secure Folders

- Authorized Representatives (AR) will receive an email from your Monitoring Officer with a link to their OneDrive Secure Folder.
- Check spam inbox if not received within 24 hours after receiving kick-off and documentation request from AmeriCorps Monitoring Officer.
- Use the AmeriCorps OneDrive Secure Folders External User Guide to learn how to access and use your secure folder.
- Contact your assigned Monitoring Officer or monitoring@cns.gov for assistance.
Using OneDrive Secure Folders

**Monitoring Officers** use OneDrive Secure folders to:

- Collect required documents
- Provide monitoring results and review notes
- Provide corrective action plan status updates and feedback, where applicable
Using OneDrive Secure Folders

**Grantees** use OneDrive Secure folders to:

- Upload initial documentation
- Upload supplemental documentation and/or clarifying information
- Review and download monitoring results
- Submit a Corrective Action Plan (CAP) and supporting documents, where applicable
- Review and download CAP report, where applicable

Use the OneDrive Secure Folders External User Guide for step-by-step instructions
## Grantee Document and Supplement Request List

<table>
<thead>
<tr>
<th>Initial Document Request</th>
<th>Description</th>
<th>Supplemental Documents (SD) Name</th>
<th>SD Description</th>
<th>Documentation Template?</th>
<th>Required Attached documents/ templates</th>
<th>Monitoring Officer Notes</th>
<th>Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank In-Kind Voucher</td>
<td>A blank sample of the documentation your organization uses to record and value in-kind donations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Not Submitted</td>
</tr>
<tr>
<td>Chart of Accounts</td>
<td>A document outlining the accounting codes and cost centers used by your organization to identify transactions by expense type, and by project/grant.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Not Submitted</td>
</tr>
<tr>
<td>Completed Segregation of Duties Worksheet</td>
<td>A worksheet demonstrating internal controls of your organization and how the responsibilities for specific duties are divided across organization staff. The worksheet requiring completion can be found under 'Resources' at <a href="https://americorps.gov/grantees-sponsored/monitoring">https://americorps.gov/grantees-sponsored/monitoring</a></td>
<td></td>
<td></td>
<td>Yes</td>
<td>[<a href="https://americorps.gov/sites/default/files/document/2021_10_22">https://americorps.gov/sites/default/files/document/2021_10_22</a> Office of Monitoring Segregation of Duties Worksheet.docx](<a href="https://americorps.gov/sites/default/files/document/2021_10_22">https://americorps.gov/sites/default/files/document/2021_10_22</a> Office of Monitoring Segregation of Duties Worksheet.docx)</td>
<td></td>
<td>Not Submitted</td>
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Resources

Download resources

- Remote Monitoring - At a Glance
- Overview of Uniform Monitoring Package (UMP)
- Guide to Developing Corrective Action Plans
- Segregation of Duties Worksheet
- List of Subawards Worksheet
- Office of Monitoring FAQs
Overview of Uniform Monitoring Package (UMP)

Prohibited Activities, Section 10

<table>
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<th>Purpose and Approach</th>
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<tr>
<td>The Prohibited Activities monitoring review determines compliance regarding activities which are restricted, prohibited, must be adhered to for non-Federal entities receiving grant funds per 2 CFR 200 or AmeriCorps grants per 45 CFR 2520.65. This monitoring review is completed mostly through responses received via interviews (prime grantees, site supervisors, and members/volunteers), but also prohibits activity policies, evidence of training, and review of assignment descriptions. The Monitoring Officer will request documents and conduct interviews to identify the program's capacity to completely implement allowable grant-funded activities.</td>
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Applicability: This section applies to AmeriCorps State and National, AmeriCorps State and National Commissions, VISTA, and all AmeriCorps Service programs.

10.01: Prohibited Activities

<table>
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<th>Source Document</th>
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<tbody>
<tr>
<td>Notes from interviews, position descriptions:</td>
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</table>

10.01.01 Do member/volunteer service activities align with their position descriptions/assignment plans?

10.01.02 Are members/volunteers, site supervisors, and prime staff aware of prohibited activities applicable to their respective programs?

10.01.03 Do prime staff provide appropriate training to members/volunteers on prohibited activities?

10.01.04 Do prime staff provide appropriate training to site supervisors on prohibited activities?

10.01.05 Do site supervisors provide appropriate oversight of the members/volunteers with regard to prohibited activities?

10.01.06 Do prime staff provide appropriate monitoring and oversight of the service sites with regard to prohibited activities?

10.01.07 Do interviews indicate that members/volunteers, site supervisors, and prime staff do NOT engage in prohibited activities?

10.01.08 Does the prime grantee or sponsor have a policy on Prohibited Activities?

10.01.09 Is there any evidence that individuals involved in the project misuse authority or their position for personal financial gain or the gain of an immediate or close family member or business associate? References: Annual General Terms and Conditions, 2 CFR 200.313(b)(1), SCP and SCP Terms and Conditions, RSCP Terms and Conditions, 45 CFR 2551.121, 45 CFR 2553.94, FSEA Memorandum of Agreement

10.01.10 Is there evidence that the grantees is falsely enrolling service members? Reference: Annual General Terms and Conditions
Quick Recap

- Monitoring kick-off and documentation request notifications will go out as soon tomorrow but may be sent out over the next months.
- Once you receive your kick-off notification, questions can be directed to your monitoring officer.
- In the meantime, direct questions to monitoring@cns.gov.