**FY24 Monitoring Report and CAP Presentation**

0:07
Good afternoon and welcome to the Office of Monitoring, Monitoring Report and Corrective Action Planning.

0:19
And today we will have an overview of, like I said, the Monitoring Report and Corrective Action Planning.

0:24
My name is Kathy Thompson, a Monitoring Officer with the Office of Monitoring here at AmeriCorps, and I will be joined today by Stacy Dennis, a Corrective Action Planning Specialist and Noel Welsh, a Monitoring Officer.

0:38
And throughout the webinar we will be providing an overview of the next steps in the monitoring process.

0:43
We will discuss the monitoring results and report format and notifications and we'll provide an overview and tips on the corrective action planning process.

0:55
Since the initiating the current monitoring cycle, our monitoring officers have coordinated a remote and on site monitoring assessment with the Grantee staff and this includes a review of internal policies and procedures, a review of sample documentation to validate our assessment and in some cases interviews with Grantee staff members and volunteers.

1:21
This slide of the monitoring activity shows the steps that have been taken since the kickoff this cycle.

1:28
The pre monitoring activities have been completed and we are now completing the monitoring phase of the life cycle and are entering the post monitoring and close out phase of the monitoring life cycle.

1:38
So at this point we are preparing to distribute the monitoring results to each awardee that was monitored this round and these monitoring results will also be shared in advance to the Office of Regional Operations portfolio managers.

1:56
Once the results are received, if there are any findings, it will be time to begin working on a corrective action plan or a cap.

2:05
The corrective action plan outlines how your organization will address the findings discovered during the monitoring activity.

2:13
Noel and Stacy will go over it in more detail the process later in the webinar.

2:19
So this is just a high level overview of the post monitoring activity and the close out, but let's talk a bit more about the details of the results when you that you will receive.

2:31
As you see on this slide, grantees will receive an e-mail notification from their assigned monitoring officer indicating that the monitoring results are ready for review.

2:42
This e-mail includes APDF attached of the final and formal monitoring results from the Office of Monitoring.

2:50
This letter provides a key information about the monitoring activities that were assigned to the AMERI Corps Grant as well as the outcomes like each review, whether there are findings or whether there are no or there are deficiencies.

3:07
The letter will also indicate if monitoring activity results will require the Grantee to develop a corrective action plan within 20 business days from receiving the result.

3:19
The e-mail and notification letter will also provide instructions from how the Grantee can access their secure folder to review the monitoring report and detailed National Service criminal history check components if applicable.

3:34
So to to reiterate, the e-mail you give you will receive will have documents that you need instructions on next steps and how to access the Secure Folder, the Monitoring Summary Report itself, and the National Service Criminal History check Supplemental Results Spreadsheet will be available to view and download from the Secure Folder.

3:56
Now that we've covered what you will receive in your notification, let's take a closer look at the Monitoring report.

4:07
So let's look at.

4:08
I'm going to do a walkthrough of a sample monitoring report so that you can see what it looks like and get a sense of how to navigate the results.

4:16
So First off, you'll see this cover page.

4:20
The top section will give you general information related to your grant, your organization, and the monitoring officer who conducted the review.

4:30
It'll have the review start date and completion date.

4:34
The next section here shows the monitoring activity assignments.

4:39
Throughout the monitoring process, your grant has been monitored for either one or more of the different review types.

4:46
So if you were only assigned a financial and operational fitness assessment, as in the case of this this sample, this report will only show information related to that activity.

4:58
You will not have the information visible to you for any other monitoring activity or assign or activity that was not assigned to you.

5:07
The cover page also gives you at the very bottom the monitoring results.

5:13
If all of those signed monitoring assessment results show no deficiencies, you will receive a pass which means there is no corrective action or follow up needed related to a non compliance.

5:28
In that case, it will still be helpful to review the monitoring results on the summary tab, which we will talk about in a moment, but it will not require corrective action planning.

5:41
On the other hand, if findings were discovered during the review, you will see a result of corrective action plan or cap.

5:51
Now we'll go over and look at the Summary tab, which will be a little more specific about the monitoring activity assigned to you to your organization.

6:08
So here is the FOFA Summary tab and you can see the activities that list all of the assessment.

6:21
This this tab will list all of the assessment questions within that activity.

6:26
The compliance determination for each question and any associated notes from the monitoring officer or recommendations for improvement will show here.

6:35
So for example, we see the first question was non compliant and there are notes from the monitoring officer with details of why this was not compliant.

6:46
In this case, the FFR does not match up with the provided general Ledger for the same reporting.

6:53
Moving to the next question, you see a compliant determination and notes explaining why this particular question met the criteria and was compliant.

7:07
I also want to highlight that you may see notes in the Recommended for Improvement section.

7:14
Even if the overall question is compliant, there still may be recommendations for you to review and incorporate as you see fit, but it does not require a corrective action plan and then as the overall subject area involved has already been deemed compliant, this is just an opportunity for improvement.

7:33
So I would recommend doing a thorough review of the compliant determinations the Monitoring officer notes and the recommendations for improvement of of your report on the Report Summary tab before moving on to the final tab which is the Corrective Action Planning Summary and we'll take a look at that.

7:57
Now the Corrective Action Planning summary or the Cap Summary tab is where if there were any non compliant findings, this is where they you will discover the information for your organization.

8:12
Your team will have an opportunity to identify the root cause of the issue and how you will address those non compliant issues moving forward.

8:23
The assigned monitoring activity officer, I'm sorry the assigned monitoring officer will be talking about this process in more detail during your exit conference, but for now I wanted to just quickly show you the format of the cap summary.

8:39
On the left hand side you will see any monitoring questions from your assigned monitoring activity that were determined to be non compliant along with a standard description of the particular issue.

8:53
For example, the amount reported in the FFR for the review period is not reconcilable with the sponsors financial records.

9:02
This is a broad statement but remember there are more specific notes from the monitoring officer on the summary tab.

9:16
Continuing on with the cap summary, there are a series of corrective action planning prompts that will guide you to complete the cap for each identified non compliance issue.

9:29
As you see along the top, your assigned monitoring officer will go over this again in like I said previously in the exit conference.

9:38
I want to also bring your attention to the planned completion date in the green box and the person responsible within the organization.

9:46
Those fields will need to be completed to ensure that we have a good idea of when the action steps will be implemented and the person responsible for the implementation of the plan.

9:59
Once the CAP is completed, the monitoring officer will review and provide notes and a status for you to determine whether this particular issue is resolved, whether it's insufficient and we need more information about your plan or if it's approved in progress, meaning that there is a planned completion date to resolve this finding.

10:24
So that's just a brief overview of the CAP portion of the report.

10:29
And so now I'll pass it over to Stacy and Noel and they'll discuss in more detail the corrective action plan components and the process in more detail.

10:41
Over to you Stacy.

10:50
Thank you Kathy.

10:53
After receiving the monitoring results showing a corrective action plan is needed, you may be asking yourself what's happens next.

11:02
The corrective action planning process provides grant recipients with a standard approach to reviewing and addressing identified findings of non compliance.

11:12
It will be conducted in three phases, the first creating a corrective action plan, the second work on the corrective action plan and finally closing out the corrective action plan.

11:27
Each phase will be discussed in further detail throughout the next few slides.

11:32
However, please know that during each of these phases there may be several requests for rework.

11:56
A correct A corrective action plan is a method of documenting issue or finding of non compliance, identifying its root cause, clearly laying out corrective measures and the plan of action to resolve the finding.

12:10
In addition to check on the effectiveness of the proposed corrective action, that should contain an evaluation or follow up that allows your organization to verify that corrective actions put in place are working.

12:23
Prior to creating the corrective Action plan.

12:26
Review the Awardee Guide for developing caps as it provides guidance in developing responses to each cap element for findings of non compliance identified within the Monitoring Summary results.

12:42
Create the corrective Action plan with the Excel based tool used during the monitoring.

12:47
Each finding of non compliance in the monitoring requires the response for four elements a root cause, Action steps, deliverables, and long term compliance.

12:59
Each element has guiding questions to assist in planning how to resolve each finding.

13:04
After her providing a response to each element for the finding, determine a target date for completing the corrective actions and the person responsible for implementation.

13:16
Now let's take a look at each of these individual elements in the Corrective Action Plan.

13:27
The first element is the root cause.

13:30
The findings in the monitoring summary are essentially the symptoms, the result, or the outcome of a problem.

13:37
The root cause is what is causing the issue.

13:41
For this section, describe in detail the underlying reason for the issue.

13:46
When completing the section, ask what is causing the issue and what actions or results are needed in the What action or actions resulted in the non compliance?

13:58
Asking these questions can help identify the gaps in a work process that led to the issue.

14:04
So let's take a look at the tree in this picture.

14:09
The organization has volunteers participating in prohibited activities.

14:13
This is the symptom.

14:15
It's what was shown during the monitoring.

14:18
The gap identified in the work process is the volunteer is unaware of the prohibited activities.

14:24
The root cause, which is the underlying reason for the issue, is the agency does not have an updated policy on prohibited activities and volunteers have not been trained on prohibited activities.

14:38
There may be one root cause or multiple causes.

14:42
Make sure to identify what is causing the issue.

14:51
Element two of the cap is the action steps.

14:54
Describe the process, the proposed action steps to the process systems policies that will eliminate the root cause and reduce the likelihood of reoccurrence of the non compliance as well as how those changes will be implemented.

15:09
Clearly state what is to be done, by whom and when.

15:13
Some actions plans may be short term interventions that can be accomplished quickly, while others may require a longer implementation period.

15:22
Consider how to effectively implement the plan so that people are complying with the proposed changes and if the changes have made a difference.

15:31
So create smart goals with feasible deadlines.

15:35
They should be specific, measurable, achievable, realistic, and time bound.

15:42
Make sure that these goals or solutions are centered around the root cause, detailing every step necessary to eliminate the underlying cause of the issue.

15:52
The key is to choose corrective actions that address each root cause, because these actions will generally.

16:00
These actions will generally require creating a new process or making a change to a current process.

16:10
The corrective actions that change the system and do not allow the errors to occur are the strongest.

16:16
If a particular corrective action or change can't be completed due to time constraints or any other current constraints like lack of resources, you should look for other ways of changing the process to prevent a similar event from occurring in the future.

16:41
After determining what action steps are needed, the next step is to list the items that you will provide to the Office of Monitoring and these are called deliverables.

16:52
What supporting documentation will be needed to effectively implement the action steps, the deliverables provided to the to Ameri court to document proof of completion of the listed action steps?

17:18
The 4th cap element is long term compliance.

17:21
Please describe the plan to maintain compliance post monitoring.

17:27
What is the procedure or process to self monitor the plan implemented?

17:32
How often will the plan be evaluated and what are the desired outcomes?

17:38
Our goal is to help you make the changes needed to ensure your organization's long term compliance after the monitoring exercise is complete.

17:48
We ask you to focus on self monitoring and routinely review your processes.

17:55
Make updates as needed to maintain compliance.

18:09
There are two remaining fields to complete within the CAP Summary document, Plan Completion Date and Person Responsible for Implementation.

18:18
In the Plan Completion Date field, list the dates you will submit a status report and the documents for review to the Office of Monitoring to resolve the finding.

18:30
In the Person Responsible field list the individual or individuals within your organization who will complete and maintain the required plan of Action.

18:41
List the individual who's going to provide those deliverables to the Office of Monitoring.

18:56
Now let's take a look at the An Example of a Corrective Action Plan for Prohibited Activities.

19:02
The snapshot shown on the screen is a portion of the CAP summary sheet.

19:07
The cap element discussed earlier are shown across the top of the screen and guiding questions and prompts to deliver a CAP planner listed below.

19:17
With this example, the issue is volunteers are participating in prohibited activities, the root cause.

19:25
As we discussed earlier, the agency does not have an updated policy on prohibited activities and volunteers have not been trained.

19:35
Keep in mind the root cause of a for finding may be different depending on the organization.

19:41
Is it policy related?

19:43
Is it training related?

19:44
Is it lack of supervision?

19:46
Determine the reason for the issue at hand so your Action Plan section.

19:54
The first is the Program Director will update the Prohibited Activities Policy by July 31st, 2024.

20:03
The second the policy will be reviewed and approved by the Board of Directors at the August Board meeting.

20:10
3rd All volunteer and staff will be trained on prohibited activities during September site meetings.

20:17
4 Volunteer orientation will include training on prohibited activities.

20:24
Five site supervisors will e-mail quarterly reminders to volunteers.

20:30
Now the deliverables will be the program manager will provide the Office of Monitoring.

20:36
One, a copy of the updated and board approved Policy 2 proof of volunteer and staff training on prohibited activities.

20:46
Three, A copy of the volunteer orientation, agenda and material.

20:54
The next section Long term compliance.

20:58
Number one, the policy will be reviewed and updated annually and submitted to the Board for approval at June Board meetings.

21:06
2 New volunteers are trained at orientation and current staff and volunteers are trained and updated on the updated policy and procedures every September.

21:18
Three site supervisors quarterly check in results will be reviewed quarterly to monitor long term compliance.

21:26
4 The desired outcome is 100% of the current staff and volunteers are trained on and not participating in prohibited activities.

21:38
The grantee completion date on your Corrective Action Plan is shown as October the 6th, 2024, and that is the date that you expect to submit your supporting documentation to the Office of Monitoring.

21:52
The person responsible for implementation.

21:55
For this example, Program Director Sam Smith will be responsible for evaluating the success of corrective actions, reporting to the Office of Monitoring and providing supporting documentation of the plan implementation and completion.

22:26
Let's review the key points for phase one of the Corrective Action Planning process.

22:33
Each of the findings of non compliance identified in the Monitoring Report must be addressed by creating a CAP.

22:40
The plan will be developed and compiled on the CAP Summary tab of your Monitoring report.

22:47
The Corrective Action Plan must be submitted to your Monitoring officer within 20 business days of the receipt of your Monitoring report.

22:56
Any requests to extend this deadline must be communicated to the Monitoring Officer as soon as possible.

23:04
Cap submissions must contain the elements previously reviewed the root cause Corrective Measures Required Plan of Action and Evaluation follow up.

23:16
Two very important elements that must be included within this framework are targeted timelines and identifiable deliverables.

23:25
This tells the monitoring officer and other OM staff both what is to expect to resolve the areas of non compliance and when to expect it.

23:36
If a finding is able to be resolved during the initial 20 day business during the initial 20 day business cap creation.

23:46
Please remember to submit all relevant supporting documentation for review by your Monitoring officer.

23:53
This situation applies to findings that can be resolved in one step, such as a revision of to an FFR or the application of a current branding guideline to the agency's promotional material.

24:08
When the CAP summary is submitted, the Monitoring officer will review the proposed CAP for each finding and any supporting documentation provided.

24:19
Upon review, each finding and its CAP will be assigned one of three statuses resolved.

24:26
This means that no additional work is required in the CAP is Closed Insufficient.

24:32
This means the corrective actions proposed will not adequately resolve the finding.

24:38
The grantee will need to rework its CAP to ensure that the root cause of the finding is addressed in full and that all corrective actions are clear and effective.

24:48
The third is approved in progress.

24:52
This means that the proposed cap is sufficient, but that it will take time to fully implement and approved in Progress or AIP.

25:02
Finding will include a timeline and responsible parties for completion.

25:06
Approved in Progress Findings must be resolved within six months of the cap being approved.

25:17
If your corrective action plan is approved in progress, you will move into phase two of the corrective action planning process.

25:24
This is considered the implementation and maintenance phase.

25:28
For the next two phases of the plan, you'll work with your monitoring officer who will provide support to ensure you complete your cap within six months of the cap approval or sooner.

25:39
There are three steps in phase two.

25:41
Let's review each in turn.

25:47
When the Corrective Action Plan is approved, your organization will receive a Notice of Approval from your Monitoring officer.

25:54
Note that the date of the approval notice determines the deadline to fully resolve your cap.

26:00
As noted previously, this is 6 months from the date of the Approval Notice.

26:06
This will happen during the Monitoring Exit Conference.

26:09
Once your cap is approved, schedule a time to meet with your monitoring officer, preferably within 14 days of receiving your cap approval e-mail.

26:19
During this meeting, you will have the opportunity to review the CAP, confirm timelines and deadlines, discuss the the deliverables you will submit to the Office of Monitoring, and ask any questions you may have about the CAP process.

26:38
Your organization's designee for handling the CAP process should plan to meet with their monitoring officer on a bimonthly basis to review the progress of each finding on the corrective action plan.

26:50
Timelines for each cap will differ.

26:53
More frequent meetings may be necessary depending on the CAPS complexity.

26:57
Conversely, a finding may be able to be resolved in a matter of weeks and there is no reason to delay an update in this instance.

27:05
Regular communication is key to closing the cap as quickly as possible at any point.

27:11
If you are ready to submit a document for review, contact your monitoring officer and they will provide you with a link to your secure folder.

27:21
Once they receive your submission, the monitoring officer will review the document and provide feedback.

27:28
Please note, a finding may not be resolved quickly.

27:31
Multiple submissions may be required and documentation provided may need to be revised one or more times in order to fully resolve the finding.

27:40
This is not a punitive process.

27:43
This work ensures that your organization will implement the plan necessary to achieve and maintain compliance.

27:50
If the finding is not resolved, the monitoring officer will send you a CAP update with detailed feedback, including a summary of the steps necessary to resolve the finding in full.

28:01
The update e-mail will also contain a link to schedule a meeting with the monitoring officer.

28:07
Grantees are strongly encouraged to take advantage of this meeting opportunity in order to get clarification about next steps and coordinate any new timelines for response.

28:23
The end goal of the CAP process is phase three, the resolution of all findings noted on your monitoring report and closure of your CAP.

28:32
Once all findings are resolved, your monitoring officer will send you an official notification by e-mail stating that the cap has been closed.

28:40
The notification will be accompanied by a final CAP summary report, which details the actions taken to resolve each finding and the determination of compliance by the monitoring officer.

28:51
All documentation should be retained along and in accordance with all other records pertaining to the grant that was monitored.

29:03
So let's review the key points for Phases 2 and three of the Corrective Action Planning process.

29:08
While the CAP is approved in progress, your Monitoring officer will provide support until all findings are resolved and the CAP is closed.

29:16
Grantees will meet with their Monitoring officer on a bi monthly basis to discuss progress and workshop challenges.

29:23
While regular meetings are required, monitoring officers are available at any time to address questions or concerns.

29:32
Evidence of corrective actions is submitted through a secure folder in accordance with standard practices within the Office of Monitoring.

29:39
The Monitoring Officer will review all submissions and respond with an updated CAP Summary report that either outlines next steps or confirms resolution for each finding.

29:51
Once all approved in progress findings are resolved, a notification of cap closure will be sent to the grantee along with the final CAP summary report.

30:00
All records associated with the CAP should be retained along and in accordance with all other records pertaining to the grant that was monitored.

30:11
This concludes the monitoring report and corrective action planning informational webinar.

30:15
Thank you for listening along.

30:17
If you have any question, any additional questions, please contact your assigned Monitoring Officer or the Monitoring Office at Monitoring at cns.gov Thank you.