

FY 2023

AmeriCorps Office of Monitoring: Overview of the Monitoring Process

January 31, 2023

Introductions



Monitoring Officers
(Presenters)



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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



- X A direct result of “wrongdoing” (you are not selected because your organization is “in trouble”)
- X An audit
- X Related to OIG or PIIA activities
- X Applied directly to subrecipients

Monitoring Life Cycle- Remote



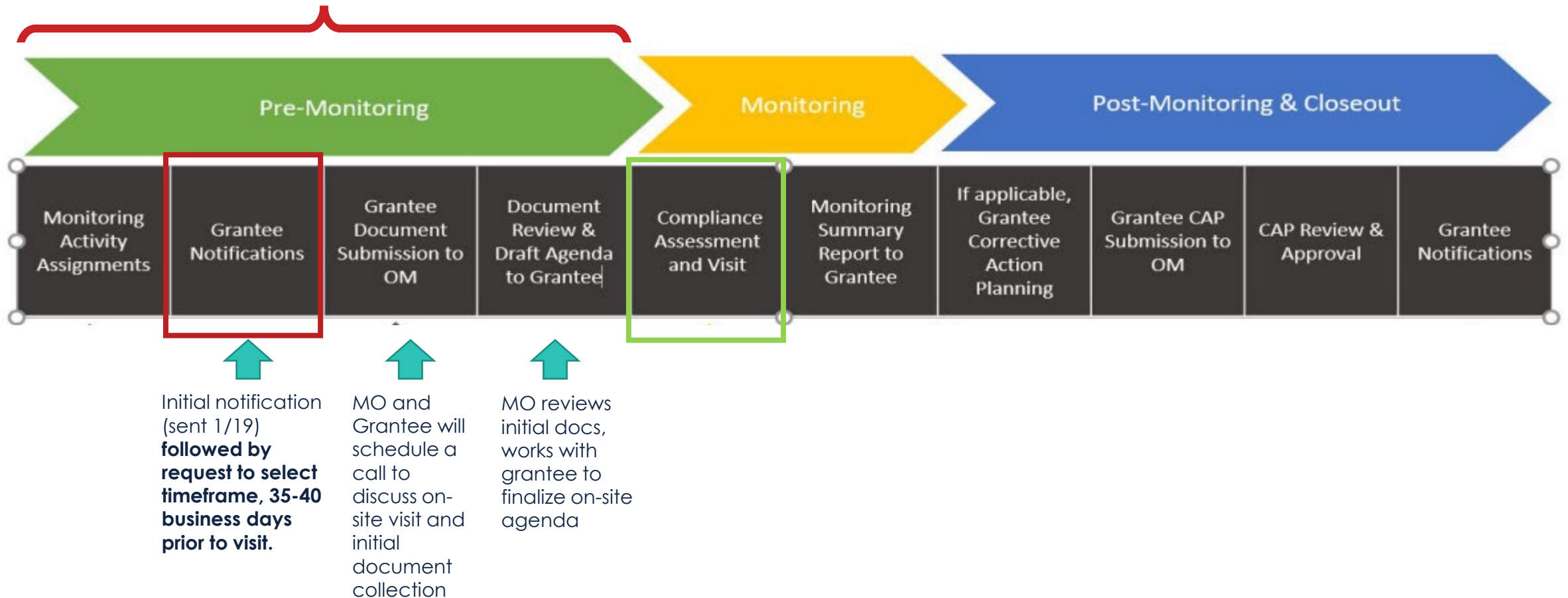
You are here!



Monitoring Life Cycle- On-Site



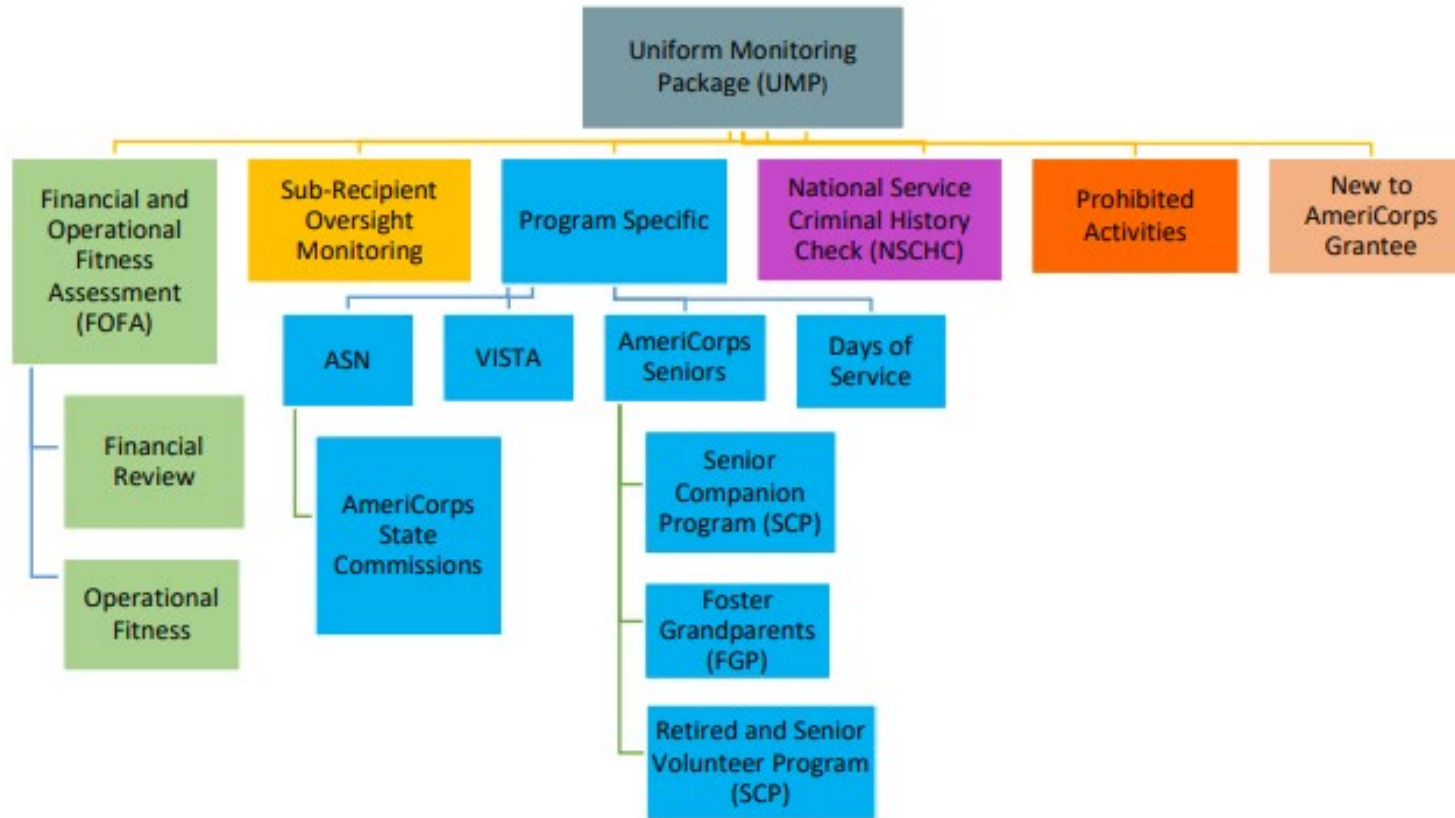
You are here!



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

Estimated time frame	Activities likely taking place
Month 1	<ul style="list-style-type: none">• Notifications• OneDrive Secure Folders access granted• Initial documentation requests
Month 2	<ul style="list-style-type: none">• OM reviews initial documentation, requests supplemental documents• Grantees upload supplemental documentation
Month 3	<ul style="list-style-type: none">• Documentation reviewed by OM• Initial scope results for NSCHC and opportunity to provide additional documents (if applicable)
Month 4	<ul style="list-style-type: none">• OM provides monitoring report with results and indicates whether or not a CAP is required
Month 5	<ul style="list-style-type: none">• CAP submission• Review of CAPs, determinations made
Month 6	<ul style="list-style-type: none">• Completion of CAPs

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

Estimated timeframe	Activities likely taking place
35-40 Business Days Prior to Visit	<ul style="list-style-type: none">• Notifications• Secure File access granted• Initial documentation requests
20-30 Business Days Prior to Visit	<ul style="list-style-type: none">• OM reviews initial documentation, requests supplemental documents• Grantees upload supplemental documentation (if requested)
10 Business Days Prior to Visit	<ul style="list-style-type: none">• Draft Agenda to Awardee
On-site Visit	<ul style="list-style-type: none">• 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	<ul style="list-style-type: none">• 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



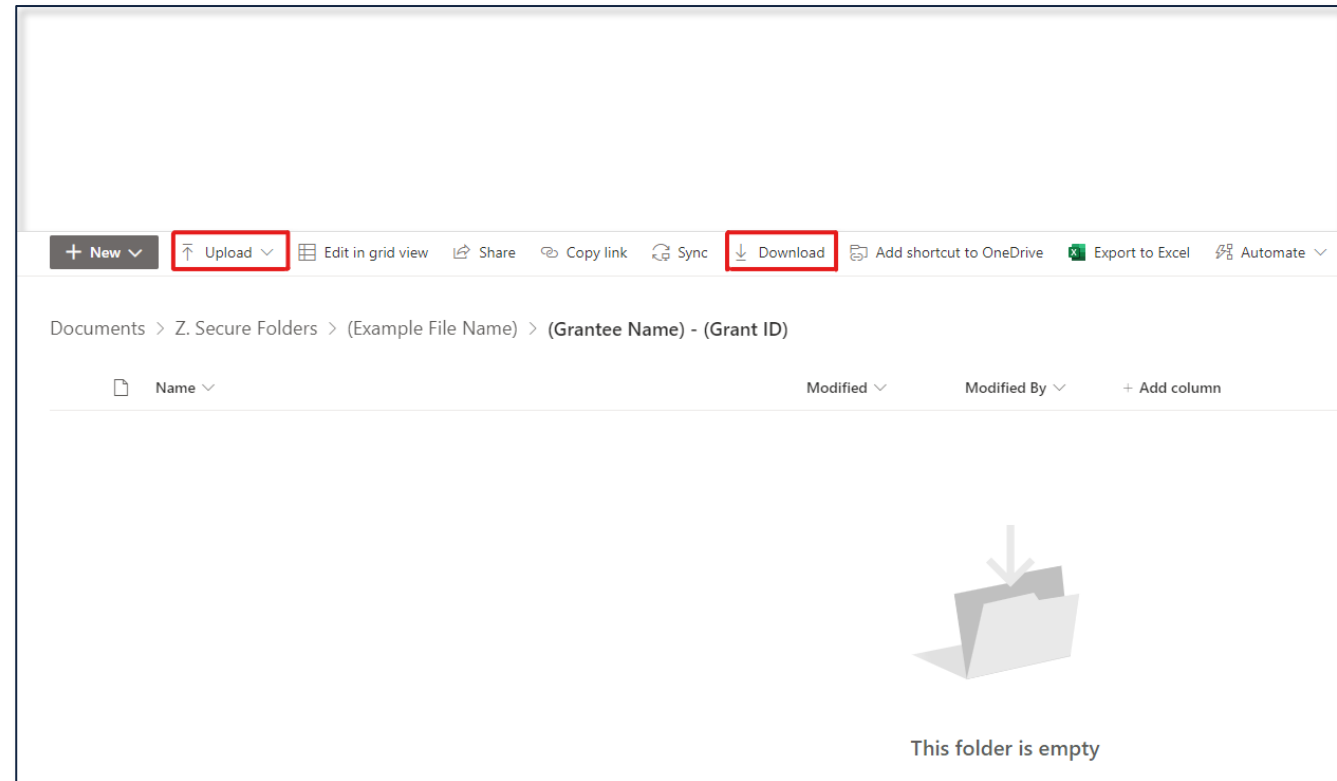
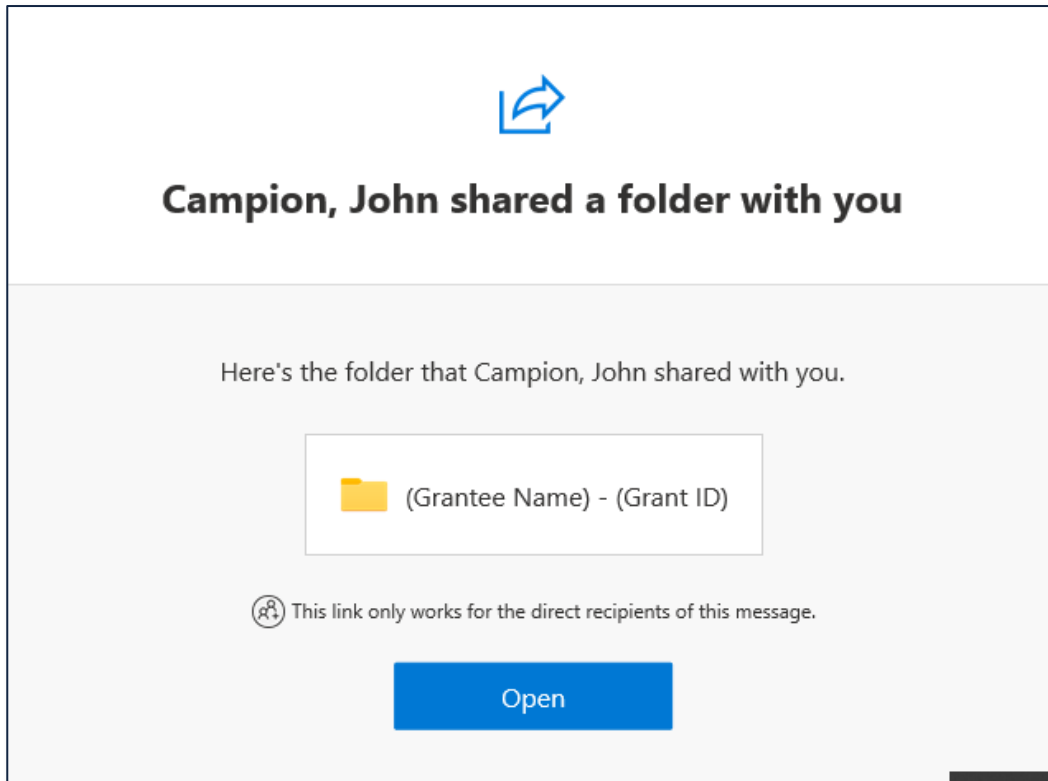
**Email from Monitoring
Officer**
@cns.gov

- 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.



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



Initial Document Request	Description	Supplemental Documents (SD) Name	SD Description	Documentation Template?	Required Attached documents/templates	Monitoring Officer Notes	Submitted
Blank In-Kind Voucher	A blank sample of the documentation your organization uses to record and value in-kind donations						Not Submitted
Chart of Accounts	A document outlining the accounting codes and cost centers used by your organization to identify transactions by expense type, and by project/grant.						Not Submitted
Completed Segregation of Duties Worksheet	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 https://americorps.gov/grantees-sponsors/monitoring			Yes	https://americorps.gov/sites/default/files/document/2021_10_22_Office_of_Monitoring_Segregation_of_Duties_Worksheet.docx		Not Submitted

AmeriCorps Website



<https://americorps.gov/grantees-sponsors/monitoring>

Resources

Download resources

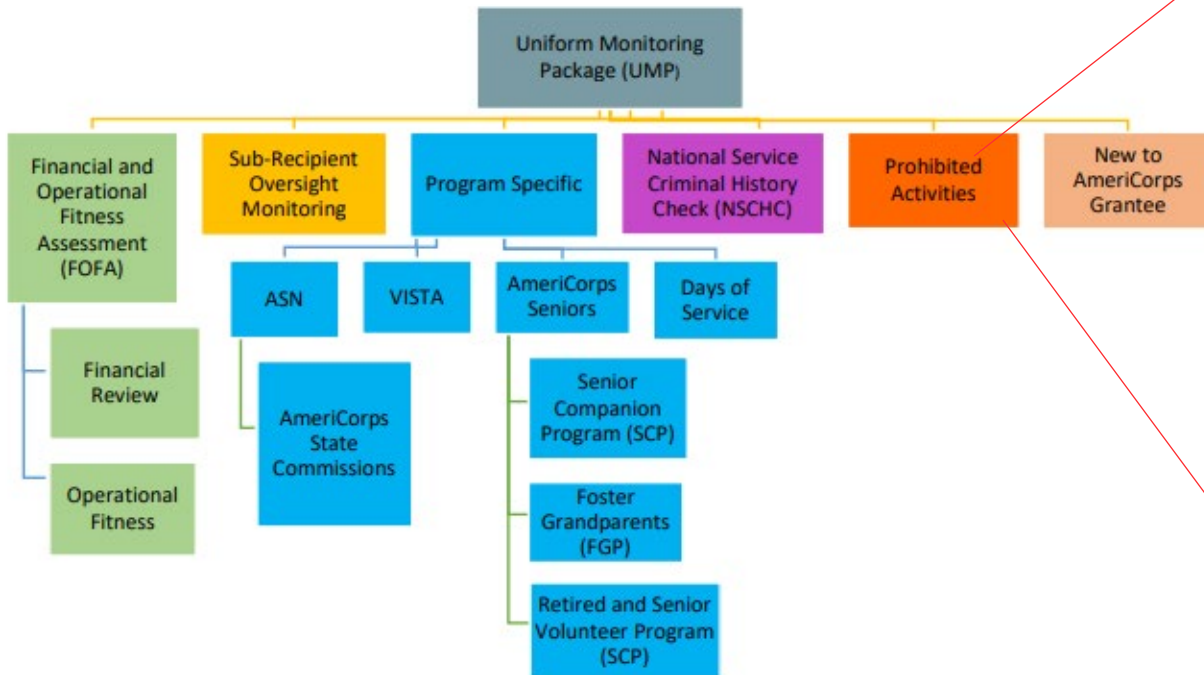
- [Remote Monitoring - At a Glance](#) >
- [Overview of Uniform Monitoring Package \(UMP\)](#) >
- [Guide to Developing Corrective Action Plans](#) >
- [Segregation of Duties Worksheet](#) >
- [List of Subawards Worksheet](#) >
- [Office of Monitoring FAQs](#) >

The screenshot shows the AmeriCorps website page for Monitoring. The page has a dark blue header with the text "GRANTEES & SPONSORS" and "Monitoring". Below the header is a light blue sidebar with a dropdown menu containing "Criminal History Checks", "Evaluation Resources", and "Monitoring". The main content area has a white background with a paragraph of text and a "Resources" section. The "Resources" section is titled "Download resources" and contains a list of links: "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", and "Office of Monitoring FAQs". A red circle highlights the "Resources" section, and a red arrow points from the list on the left to this section.

AmeriCorps Website



Overview of Uniform Monitoring Package (UMP)



Prohibited Activities, Section 10	
Purpose and Approach	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 mainly through responses received via interviews (prime grantee staff, site supervisors, and members/volunteers), but also prohibited 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 compliantly implement allowable grant-funded activities.
Applicability:	This section applies to AmeriCorps State and National, AmeriCorps State and National Commissions, VISTA, and all AmeriCorps Seniors programs.
10.01: Prohibited Activities	
Source Documents:	Notes from interviews, position descriptions
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: <i>Annual General Terms and Conditions, 2 CFR 200.318(c)(1), FGP and SCP Terms and Conditions, RSVP Terms and Conditions, 45 CFR 2551.121, 45 CFR 2552.121, 45 CFR 2553.91, VISTA Memorandum of Agreement</i>
10.01.10	Is there evidence that the grantee is falsely enrolling service members? Reference: <i>Annual General Terms and Conditions</i>

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

