



Monitoring Overview

Day Two – Part III

July 14, 2020

Agenda

- Monitoring Overview
- Monitoring Components
 - Self-Assessment
 - Risk-Assessment





Define Monitoring

- Monitoring activities occur all year long to ensure compliance with CNCS and Ohio Terms and Conditions
- Monitoring can include Training and Technical Assistance, document audits, virtual desk reviews, on-site visits and more
- Monitoring activities are designed to help your program be successful and continuously improve



Define Monitoring

- OSTC 1.9 outlines how ServeOhio defines how a program will be monitored
 - Programmatic Reviews – Terms & Conditions review, member file audit & may include a data review, member interviews and site visits
 - Programs will receive at least 2 additional visits or virtual check-ins (maybe more depending on the Risk level)



Self-Assessment

- Designed for each program to assess their capacity to develop and support a high-quality AmeriCorps program.
- The assessment will highlight strengths of your program as well as areas requiring targeted support and resources.
- Assessment is distributed in July and is due approximately 30 days before the first member begins service.
- Program Officers check documents for compliance and review them with the CNCS & Ohio Terms in Conditions in mind
 - Member Service Agreement
 - Host Site Agreement
 - Position Description
 - Training Calendar
 - Etc.



Self-Assessment



ServeOhio
Program Self-Assessment
2020 – 2021

In an effort for the ServeOhio Program Team to best serve your program, please complete the following self-assessment concerning your capacity to develop and support a high-quality AmeriCorps program. The assessment will highlight strengths of your program as well as areas requiring targeted support and resources. Please complete and return to [Meredith Pugh](#) at least **30 days** before your first member begins service.

Program Self-Assessment

Legal Applicant	insert
Program Name	insert
Total Years Program Funded (including current service year)	insert
Current Funding Cycle	Year 1 <input type="checkbox"/> Year 2 <input type="checkbox"/> Year 3 <input type="checkbox"/>
Period of Performance* (Grant start and end date)	insert
Member Service Term**	insert



Risk Assessment

- This document allows ServeOhio staff to effectively monitor compliance and progress of AmeriCorps programs and provide an adequate level of either on-site or off-site technical assistance based on the assessed capacity of the sub-grantee to administer the program



Risk Assessment



Ohio AmeriCorps Risk-Based Monitoring Determination Form
2019-2020 Program Year (based on 2018-2019 program and financial data)

Purpose: To allow ServeOhio staff to effectively monitor compliance and progress of AmeriCorps® State programs in Ohio and to provide an adequate level of both on-site and off-site technical assistance based on the systematically assessed capacity of the subgrantee to administer the program.

Procedure: Using the guidelines outlined below, each AmeriCorps program will be analyzed and assigned a risk level (very high, high, medium, and low). The monitoring strategy will specifically address issues contributing to the assigned risk categories for each program, which may include issues other than those specifically listed below. The overall monitoring strategy will allow for the most time-intensive monitoring of the highest risk programs, with less time-intensive monitoring strategies applied, as appropriate, to lower risk programs.

Risk Assessment: ServeOhio staff will assess the risk associated with each subgrantee on an annual basis (October/November) using the weighted risk factors outlined below. Based on this risk assessment, staff will visit with each subgrantee, as appropriate, according to the identified risk factors and risk categories outlined below.

Note: All new subgrantees will receive a *very high* risk level. Check if applicable.

Legal Applicant:	insert
Program Name:	insert
Total Years Program Funded (including current service year):	insert
Program Score: 0	Risk Level: insert
Financial Score: 0	Risk Level: insert Funding: <input type="checkbox"/> Competitive or <input type="checkbox"/> Formula Grant Type: <input type="checkbox"/> Fixed-Amount or <input type="checkbox"/> Cost-Reimbursement NOTE: Financial Reporting not required for Fixed-Amount Grants



Risk Assessment

- Programs are assigned a level of risk:
 - Very High (all new programs are in this category)
 - High
 - Medium
 - Low
- Two Assessments – can have different Risk Levels
 - Programmatic
 - Financial



Risk Assessment

- Each risk level has specific monitoring plan guidelines for Programmatic and Financial Monitoring
 - Every program receives a formal Monitoring Review and GPR review regardless of programmatic assessed risk level
 - Every program receives a Standard Documentation Review from the Fiscal Officer regardless of financial assessed risk level



Risk Assessment

- Timeline:
 - Risk Assessments are completed in the fall by ServeOhio Program Officers
 - The Risk Assessments are shared with Programs in early November
 - The Monitoring schedule is shared in early December



Monitoring Meeting

- Occur between February and June
 - Review Terms and Conditions
 - Programmatic Discussions
 - Financial Visit (in-person every 3 years, Desk review every year)
 - Member File Review
 - Performance Measure discussions
 - Member Meeting
 - Leadership Discussion

Member File Audit



25 members or 25%

At least 25% of all member files will be reviewed unless a program has less than 25 members and then all files will be reviewed in the member file audit.



Noncompliant NSCHC check

One instance of noncompliant NSCHC checks = the scope of review will be expanded to include all of the currently-serving individuals in covered positions, as of the date of the initial monitoring activity.

Terms and Conditions Review



DISCUSSION OF RELEVANT
TERMS AND CONDITIONS



FOLLOW-UP IF ANY NON-
COMPLIANCES

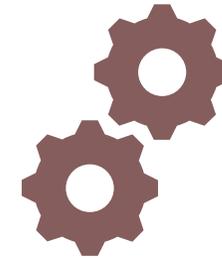
Data Review



If scheduled



Discussion with Mary
Cannon



Data collection process
and tools



Member Interview

- Interview with small selection of members
- Check-in on how service year is going, site relationships, future plans, etc.



Fiscal Monitoring

- Compliance with key AmeriCorps Provisions such as:
 - documentation of staff time
 - in-kind contributions
 - distribution of member stipend/benefits
- Review budget to actual spending
- Fitness of your organizational financial systems
- See OSTC Section 5



Virtual Monitoring

- Monitoring may occur virtually rather than on-site
 - Secure file sharing platform required (either through program or ServeOhio)
 - ServeOhio is looking at obtaining Dropbox to facilitate this process



Monitoring Prep

- Ensure member files are complete
- [2020-21 National Service Criminal History Check Checklist](#)
- Organized

2020-21 National Service Criminal History Check Checklist and Member/Staff File Documentation

This form **must be saved** as grant record in each individual's file. This form can be completed in Microsoft Word and can be printed for your file after completion. You may also print out the form (PDF) and complete it by hand. This form will be used during Monitoring Visits to ensure Member/Staff File Compliance. **All AmeriCorps members and staff in covered positions** serving in the State of Ohio must undergo all three components of the NSCHC Assessment or participate in the National Fingerprint File (NFF) Alternative Search Procedure (ASP). The NSCHC Enforcement guidance can be found on the [CNCS website](#).

When coding the reason for the State and FBI checks, please use the code: NCPA/VCA – Volunteer Children's Act. You may need to [register](#) your organization with BCI through the [Volunteer and Employee Criminal History \(VECHS\)](#) program in order to receive FBI results

Program Name:	Service Year:
Member/Staff Name:	Member/Staff Start Date:
Name of Staff Completing form:	Date form completed:

- Verify identity & eligibility through:
[Eligibility verification](#)
- Birth Certificate or US Passport
- OR
- US National, Resident Alien Documentation (ID #: _____)



Additional Compliance & Site Support

- Program Officer scheduled check-in calls during the first year, but can continue in subsequent years as needed
- Continued training
- Site support throughout year
 - Orientation
 - End of Year
 - Member events
 - Additional TTA as needed

Questions



Convene in
Groups at 10am
or 11am

Be prepared to share your video
camera!

