Welcome!
Member and Site Monitoring and Reporting

We’ll get started in just a couple of minutes.

Please be sure to access the Audio link in Adobe Connect.
AmeriCorps Member and Site Monitoring and Reporting Requirements

Thursday, August 23, 2018
Technology Check

• Check the Connect Web Links to access today’s PPT and training evaluation.

• Today’s presentation is being recorded, and it will be posted on the Knowledge Network:
  www.nationalservice.gov/resources/americorps

• We will use the Chat box throughout today’s presentation. Let’s test the Chat feature; please type a short greeting to your colleagues now.
Purpose of the Staff Development Webinars

• In general, the 2018 AmeriCorps Staff Development Series is designed to build knowledge in core program and grant management areas to support strong service across the network.

• The webinars are intended to give commission and program staff a break from the day-to-day demands of grant management and focus on broader, longer-term issues.
AmeriCorps Staff Development Series

The 2018 webinar series includes:

- Continuity Planning
- How to Review Data Collection Plans
- Orientations for New Commission and Program Staff
- Financial Management
- Criminal History Check Management
- AmeriCorps Member Orientation and Training
- **Member and Site Monitoring and Reporting Requirements**
- Submitting Grantee Progress Reports
- Data Quality Monitoring
Today’s Target Audience

• Staff of State Service Commissions and AmeriCorps national/multi-state and tribal programs who are new to their jobs and/or directly involved in monitoring and reporting on AmeriCorps member and program activities.
Today’s CNCS Presenters

Kerry Lupher
Program Officer
klupher@cns.gov

Oksana Jensen
Program Officer
ojensen@cns.gov
Today’s Agenda

• Monitoring Members and Sites: Oksana Jensen and Kerry Lupher

• Program and Commission Spotlights:
  – City Year: Erin Bennett
  – PennSERVE: Maureen K. Eccleston

• Resources and Closing Remarks
Monitoring AmeriCorps Members and Sites

• **Guiding Questions:**
  
  – What is monitoring in the context of AmeriCorps programs?
  – What am I required to monitor and report?
  – How should I go about doing it?
  – What if I find something wrong?
45 CFR § 2541.400 Monitoring and reporting program performance.

(a) Monitoring by grantees. Grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities. Grantees must **monitor grant and subgrant supported activities** to assure **compliance with applicable Federal requirements** and that **performance goals are being achieved**. Grantee monitoring must **cover each program, function or activity**.
Cycle of an AmeriCorps Program

- Vision
- Foundation-building
- Implementation
- Program Evaluation/Revision

AmeriCorps Program
Goal of Monitoring

Member and Site Activities and Expenditures

Getting things done
Monitoring and Reporting

CNCS

Prime Grantee
- Commission
- National Direct
- Tribe

Subgrantee/Operating Site

Service Location

Member
Monitoring and Reporting

Monitoring

Reporting
Monitoring Plan

• Who? Program and finance staff
• What? All aspects of AmeriCorps-funded activity (budget, members, sites, performance data)
• When? Schedule of monitoring activities; align with AmeriCorps grant year deadlines
• Where? On-site and/or virtually
• How? Methods depend on program design, risk
A Few Monitoring Methods

- On-site Visits
- Risk-based Assessment
- Desk Reviews/Written Reports
- On-going Communication
Risk-based Assessment

- **Purpose:**
  - Comprehensive and consistent approach to monitoring
  - Smart allocation of staff time and resources
  - Inform selection of monitoring methods

- **Logistics**
  - Generally assessed at subgrantee/site level
  - Categories weighted by degree of risk
  - Completed at or before the start of the program year
Risk-based Assessment

**Common risk “flags”**

- Member service issues, particularly those that involve prohibited or unallowable activities
- Site staff turnover/poor member retention
- Excessive absences from training and/or required activities
- Low quality and/or late reporting
- Output/outcome data that deviates substantially from expected targets
- Unusually high or low expenditures
- Difficulties with meeting required match levels
Considerations for Selecting Monitoring Methods

• Degree and type(s) of risk posed by subgrantee/site
• Area(s) of focus for monitoring
• Budget and staff capacity
• Timing of monitoring activities
Best Practices for Site Visits

• Ask open-ended questions
• Observe member service in action
• Gather and cross-check information from personnel in multiple roles (members, site supervisors, program directors)
• Review key documents prior to visit: site agreement, member position descriptions, application budget
• Consider unannounced visits
<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AmeriCorps Member Name</td>
<td>Jeff A. Member</td>
</tr>
<tr>
<td>AmeriCorps Position Title</td>
<td>Emergency Response Crew Leader (ERCL)</td>
</tr>
<tr>
<td>Program</td>
<td>Helping Hands, 911 Safe Place, Waverly, PA 45678</td>
</tr>
<tr>
<td>Site Location</td>
<td>The member will be based at Helping Hands, 911 Safe Place, Waverly, PA 45678; deployments may occur at any location in the state</td>
</tr>
<tr>
<td>Purpose</td>
<td>Provide local response in the aftermath of natural disasters</td>
</tr>
<tr>
<td>Duties</td>
<td>Provide food, water, and shelter to people in need; lead a team of 8 first-year AmeriCorps members in emergency response; deployments last one week – multiple months</td>
</tr>
<tr>
<td>Qualifications</td>
<td>Able to lift and move 50 lbs of supplies multiple times each day; able to work in close contact with emergency responders and citizens during crises; demonstrated ability to lead effective teams, problem-solve, and resolve conflicts; pass all required criminal history and medical checks; excellent communication skills; able to remain calm in a crisis</td>
</tr>
<tr>
<td>Term of Service</td>
<td>November 1 – September 30</td>
</tr>
<tr>
<td>Time Requirements</td>
<td>40 hours/week; exact days of week and times will vary depending on response situation</td>
</tr>
<tr>
<td>Orientation and Training</td>
<td>25 hours pre-service; 50 hours in-service; topics include CPR, emergency response protocol, team management policies and procedures, AmeriCorps regulations and national network, and leadership</td>
</tr>
<tr>
<td>Benefits</td>
<td>Living allowance, post-service education award, health care; powerful service experience; able to see impact of service immediately</td>
</tr>
<tr>
<td>Evaluation and Reporting</td>
<td>Mid and final performance reviews; weekly reports to supervisor; quarterly debrief summits with crew members and program leadership</td>
</tr>
<tr>
<td>Supervisor</td>
<td>Jane S. Super, Executive Director, Helping Hands</td>
</tr>
</tbody>
</table>
The following Memorandum of Understanding (MOU) establishes an agreement and specific responsibilities for both the AmeriCorps program and the site. This agreement is in effect from November 1 – September 30, 20XX.

PROGRAM AND SITE PARTNERSHIP GOALS

ALL:
- The site staff and AmeriCorps member (ACM) agree to work together to achieve the program goals outlined in the site application and partnership negotiation correspondence.
- The site staff and ACM will work together to develop program goals and objectives and will review changes with program staff.

ROLES AND RESPONSIBILITIES

AMERICORPS PROGRAM:
- Train ACM and site staff in best practices of service program delivery.
- Give technical assistance and support to strengthen the site’s program.
- Administer all AmeriCorps enrollment requirements.
- Lend marketing support to site and its service activities.

SITE:
- Recognize ACM and the AmeriCorps program and identify ACM by name and title in all program and marketing materials.
- Fully orient staff, current volunteers, and other important stakeholders to the AmeriCorps program agreement and requirements.
- Ensure adequate workspace including a phone, desk, and access to a computer and the Internet by the first day of the ACM’s term of service.
- Provide the ACM with a thorough orientation and direct supervision (to include at least four hours per month).
- Participate in four training days with the AmeriCorps program over the course of the program year.
- Adhere to AmeriCorps regulations and the AmeriCorps Program Policies and Procedures.
Best Practices for Desk Audits

- In-depth reviews of member documentation: not just presence but also content
- Review criminal history check documentation for members AND staff
- Ensure appropriate tracking/verification of staff and member time
- Review financial transactions and match documentation
- Aim for representative samples
- Utilize secure file transfer systems
On-going Communication as Monitoring Tool

- Regularly scheduled check-ins (phone, in-person)
- Email correspondence
- Progress and financial reports
- Reimbursement requests
- Member training and reflection activities

**Building trusting relationships is key**
### Member Management

<table>
<thead>
<tr>
<th>Member Management</th>
<th>Type</th>
<th>Initial Assessment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verify member eligibility [45 CFR § 2522.200]</td>
<td>Present</td>
<td>If the commission/direct uses an alternate search protocol to conduct criminal history checks, has it been approved by CNCS. [45 CFR § 2540.205]</td>
</tr>
<tr>
<td>Ensures that member eligibility documentation is reviewed and found satisfactory prior to enrollment. [AC IV]</td>
<td>Defects</td>
<td>comments required if either “good strategies” or “needs improvement” is checked</td>
</tr>
</tbody>
</table>
Handling Compliance Issues

• What if I find a problem?
  – Document the issue
  – Specify required corrective actions in writing
  – Notify CNCS if appropriate
  – Re-train staff and/or members
  – Follow-up within a reasonable period to confirm correction
  – Disallow hours and/or costs if needed
Program and Commission Spotlights

Erin Bennett
City Year

Maureen K. Eccleston
PennSERVE
Program Spotlight - City Year, Inc.

- Erin Bennett
  Vice-President, Federal Grants Management

- Team Based Program based full-time in Schools
- 3,000+ Full-Time Members
- 29 Operating Sites in 21 States
- 325+ Service Locations
- National Direct and 17 State Commissions
Setting Expectations: Service Level Agreements

AMERICORPS MEMBER MANAGEMENT

The AmeriCorps Member Management Shared Service (Government Relations supported by Benefits & Payroll team) manages and administers eGrants, compelling personal circumstances (CPCs), corps and staff criminal history checks and monitor required AmeriCorps documents to ensure compliance with AmeriCorps regulations. Centralization of these processes improves City Year’s funding position by reducing AmeriCorps risk and support growth to scale.

Main Responsibilities

A summary of the services provided by the AmeriCorps Member Management includes (full menu of services below):

- Timely completion of eGrants enrollments, exits, suspensions and reinstatements
- Communicate deadlines and expectations around eGrants to Site staff
- Update relevant policies and communicate updates to Site Staff
- Respond to Priority 3 Service Desk requests regarding Compelling Personal Circumstances (CPCs) within 24 hrs and approve CPC requests in qsource
- Send confirmed corps members & site staff FBI Fingerprint instructions
- Track criminal history check activity for staff & corps and ensure initiation of process
- Collect, store and provide criminal history receipts when needed
- Triage audit requests and coordinate responses from HQ
- Create and Deliver AmeriCorps compliance trainings to site staff
- Support site in meeting additional local compliance needs
- Review and communicate any changes in background check policy or regulations

Type of Support Service

- Center of Expertise
- Shared Service
- Functional Oversight

Compliance

- Must comply with most recent AmeriCorps regulations

Customer Feedback Mechanisms

- Leadership: This support service is led by the Director, AmeriCorps Compliance and Operations and overseen by the Vice President, Government Relations who reports to the Chief Financial & Administrative Officer.

AmeriCorps | Senior Corps | Volunteer Generation Fund
Setting Expectations: Scorecards

SCORECARD: IMPACT MANAGER

MISSION OF POSITION: The Impact Manager leads a team (s) of AmeriCorps Members through a full-time in-school service program keeping students in school and on track to graduate, and developing the leadership potential of the AmeriCorps Members.

SCORECARD: IMPACT DIRECTOR

Mission of Position: The Impact Director leads the creation and implementation of the site’s service and AmeriCorps member development strategies, providing the tools and resources required for the site impact team to deliver high quality WSWC programs and develop corps members’ leadership skills, keeping students in school and on track.

SCORECARD: Managing Director, Impact

Mission of Position: Leads the development and implementation of the site’s service and AmeriCorps member development strategies, building district engagement and providing the tools and resources required for the site impact team to deliver high quality WSWC services and develop corps members’ leadership skills to help drive student and school achievement.

- Compliance with Government and Grant Obligations
  - Ensure Impact staff achieves AmeriCorps compliance goals
  - Progress monitor towards AmeriCorps goals (if breakdown is different from site goal)
  - Complete site progress monitoring reports
  - Oversees communication and relationship development with state commission
  - Oversees process for site yearly audit
  - Work with HQ/GP on background check compliance, migrant enrollments/exits compliance and other state requirements

- By June ensure that 100% of performance reviews are complete and accurate and support the Director of Corps and Government Relations or corps site analyst in ensuring all corps member files are complete and accurate.
- By September, support the Director of Corps and Government Relations in ensuring 100% enrollment of AmeriCorps Members
- Oversees implementation of Corps Member management policies outlined in CM AmeriCorps Contract and Idealist Handbook
- Track and document all occurrences, suspensions and exits
- 80% response rate for FYE/TEACHER and principal/Principal survey and FYE Student survey

How will success be measured?

- Intermediate service implementation targets (Including Quarterly Focus Lists)
- All sites reach site-level enrollment targets (students are in school)
- 100% of performance reviews are complete and accurate, corps files are complete and accurate.

Corporation for National and Community Service

AmeriCorps | Senior Corps | Volunteer Generation Fund
On-going Communications

Headquarters Provides:
Directors (site supervisors)
• Weekly Newsletters
• Monthly Network Conference Calls
• Conferences (3x per year)
• Site Specific Process Update Emails, as needed
• Site Specific T/TA Calls, as needed

Managers (member supervisors)
• Conferences (1-2x per year)
• Monthly Newsletter
Remote Monitoring

Headquarters Provides:

- Desk Audits
- Audit Reports
- Dashboards (goals to actuals, monthly or quarterly)
- Calendars
- Standardized Materials (member file documents, member training, service monitoring, etc.)
- Review of Site Materials
- Helpdesk
On-site Monitoring

Site Visit Report

Site: ___________________________ Date of Visit: ___________ Report Date: ___________
Site Staff: ___________________________ Site Visit Completed by: ___________________________

PURPOSE:
1. Learn about site operational systems and observe service
2. Check on compliance with AmeriCorps and City Year policy
3. Provide technical assistance

ACTIVITIES:
1. Site Visit to School
2. Site Visit to School
3. Review of AmeriCorps policies
4. Member file compliance check
5. Corps Member Interviews
6. Staff Interviews
7. Exit Conference

OVERALL:
Strengths: ___________________________

Risk Areas and Questions

<table>
<thead>
<tr>
<th>Risk Areas and Questions</th>
<th>1 - Does not meet expectations</th>
<th>2 - Needs Improvement</th>
</tr>
</thead>
<tbody>
<tr>
<td>AmeriCorps</td>
<td></td>
<td>CM only speaks to singular aspect of their work CM very broadly without specificity (e.g. supporting student academics, helping students succeed, creating a positive learning environment, etc.)</td>
</tr>
<tr>
<td>1</td>
<td></td>
<td>CM feels that trainings are not valuable and/or do not contribute to professional development and/or support student outcomes.</td>
</tr>
<tr>
<td>2</td>
<td></td>
<td>CM feels that trainings are not valuable and/or do not contribute to professional development and/or support student outcomes.</td>
</tr>
</tbody>
</table>

IMPACT LEADERSHIP AFTER SCHOOL PROGRAM INSPECTION

School Name: ___________________________ Date: ___________________________

Purpose of Audit Document: The goal of this document is to collect information to improve procedures. If any procedures have gaps please include feedback in a follow up email to the Impact Manager along with deadlines around implementation. If you have any concerns, you would like additional support with reach out to Sam at spride2@cityyear.org.

OBSERVATIONS

Instructions: Please observe as much as possible an afternoon of after school programs with attention to safety procedures. Using the checklist below circle either Yes, No, Needs...
Wrapping in the Risk-based Approach

Risk Indicators

• New Directors
• Sites without State Commission oversight
• Sites that miss deadlines
• Sites that miss monthly calls
• Sites that had missed expected metrics or had member issues in prior year
• Sites that do not ask questions

In Addition to standard practices we add:

• Start of Year grant review training
• End of year recap calls (particularly for exiting directors)
• One-on-one trainings
• Periodic email/call check-ins (aka unsolicited support)
• Recommend peer sharing/mentoring from highly performing directors
• Corrective action support
Commission Spotlight: PennSERVE

Maureen K. Eccleston
Executive Director, PennSERVE
Pennsylvania’s State Service Commission
21 operating programs + one planning grant
1,400 AmeriCorps members
45 (of 67) counties
5 staff
At-A-Glance

Pre-Award Assessment Questionnaire & Key Document Reviews

Mid-Year Assessment Questionnaire & Desk Monitoring

Monthly Portal Reports, Monthly Expenditure Reports & Quarterly Program Reports
Beginning

Pre-award Assessment Questionnaire
• Staff downsize/turnover
• Accounting practices
• Organization and AmeriCorps P&P
• Financial capacity

Key Document Reviews
• NSCHC eCourse certifications
• Grievance Procedures
• Member Position Description
• Member Service Agreement
• NSCHC P&P
• Training Calendar
Organizational Assessment and Risk (Pre- and Post)

• Pre-enrollment
  – Application and screening process, portal enrollment
• NSCHC
• Member Service Agreement
• In-service Activities
  – Member training, timesheets, member evaluations
• Member Exit
  – Member evaluations, health and child care notification, portal exits
Site Visits

• Every three years
• Programmatic:
  – Member files
  – Program staff
  – AmeriCorps members
  – Site supervisors
• Fiscal:
  – Often remote
  – Review one month of grant and match expenditures
### Mid-Year

- Mid-year Assessment Questionnaire
- Desk Monitoring
  - Member timesheets
  - Member files
  - Match documentation
- Risk Assessment

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Moderate to high level of staff turnover</td>
</tr>
<tr>
<td>2.</td>
<td>Overall programmatic progress</td>
</tr>
<tr>
<td>3.</td>
<td>Late or inaccurate reporting</td>
</tr>
<tr>
<td>4.</td>
<td>Major changes in project design or scope</td>
</tr>
<tr>
<td>5.</td>
<td>History of Complaints from Members/Others</td>
</tr>
<tr>
<td>6.</td>
<td>Has two or more satellite sites</td>
</tr>
<tr>
<td>7.</td>
<td>New sub-grantee</td>
</tr>
<tr>
<td>8.</td>
<td>Low enrollment/retention rate; high member turnover</td>
</tr>
<tr>
<td>9.</td>
<td>Attendance on conference calls and trainings</td>
</tr>
<tr>
<td>10.</td>
<td>Recent change in fiscal agent/staff</td>
</tr>
<tr>
<td>11.</td>
<td>Fiscal Issues/Challenges</td>
</tr>
<tr>
<td>12.</td>
<td>Required Match</td>
</tr>
<tr>
<td>13.</td>
<td>Multiple AmeriCorps grants</td>
</tr>
<tr>
<td>14.</td>
<td>Has one or more high costs</td>
</tr>
<tr>
<td>15.</td>
<td>Fiscal Risk Posed by Applicant</td>
</tr>
<tr>
<td>16.</td>
<td>Significant findings from previous site visits or desk monitoring</td>
</tr>
<tr>
<td>17.</td>
<td>Failure to address previous issues</td>
</tr>
</tbody>
</table>
Resources

• Managing AmeriCorps Grants webpage: www.nationalservice.gov/build-your-capacity/grants/managing-americorps-grants
  – CNCS Regulations
  – Grant Terms and Conditions
  – Policy FAQs
  – Reporting Requirements

• National Service Knowledge Network eCourses on site and member management: www.nationalservice.gov/resources/online-courses
More Resources

- Start-up Materials/Program Development Outlines (the Big 5)
- CNCS Monitoring Tool
- Financial Management Resources Website: [www.nationalservice.gov/resources/financial-management](http://www.nationalservice.gov/resources/financial-management)
- CNCS Program and Grants Officers
- AmeriCorps State and National Symposium workshops
Thank you!

Erin Bennett, EBBennett@cityyear.org
Maureen K. Eccleston, meccleston@pa.gov
Wrap-up for Today

• Please share feedback on today’s webinar:
  www.surveymonkey.com/r/MonAug23

• The recording of today’s presentation will be posted on the Knowledge Network:
  www.nationalservice.gov/resources/americorps
Next Staff Development Webinar

• Next AmeriCorps Staff Development Webinar:

  September 27, 3:00 – 4:30 pm Eastern

  Topic:
  Submitting the End-of-Year and Final Grantee Progress Report
Thank you!