

AmeriCorps\*Connecticut programs are required to submit program systems and associated deliverables annually to Serve Connecticut for review per AmeriCorps\*Connecticut Grantee Agreement requirements. This submission is one part of a comprehensive program compliance and technical assistance process:

Date	August 21 &22, 2019	October 31, 2019	January 31, 2020	April/May 2020
<b>Monitoring Activity</b>	Strong Start Program Staff Orientation	<b>Systems &amp; Deliverables Due</b>	Desk Review Documents Due	In-Person Compliance Site Visits Conducted
<b>Audience</b>	All Programs	<b>All Programs</b>	Select Programs	Select Programs
<b>Frequency</b>	Annual	<b>Annual</b>	New – First Annual	Annual
<b>Description</b>	All staff of awarded programs attend a two-day orientation provided by Serve Connecticut staff and outside trainers to prepare them for a new program year.	All programs will submit the written procedures (Systems) and blank forms/templates (Deliverables) they use to implement their procedures for Serve Connecticut review and approval.	Select programs (i.e., those programs eligible for a Compliance Site Visit) will submit completed documentation, including member file contents, purchase receipts, etc., for remote desk review and approval.	Select programs will be subject to a Compliance Site Visit contingent upon criteria including but not limited to its being their first year in a three-year grant cycle, recent changes in key staffing, performance and/or compliance challenges in the previous program year, etc.
<b>Serve Connecticut Program Development Hub</b>	Portal designer Veoci is will present use of the new Program Development Hub's secure online compliance monitoring features.	Systems/Deliverables will be submitted through the Program Development Hub for the first time. To date, they have been submitted via email.	Desk Review documents will be submitted through the Program Development Hub for the first time.	The agenda and activities for these site visits will be more efficient and enhanced due to the addition of a remote desk review process; less time during the agenda will be devoted to manual file review and more time will be spent on program staff and member interaction.

As of the 2019-2020 AmeriCorps\*Connecticut program year, all systems, deliverables and desk review submissions will be made via the **Serve Connecticut Program Development Hub**, a secure online portal.

Submissions are **due no later than October 31**, but can be submitted into the Hub at any time leading up to October 31. All submissions should be uploaded into the Hub in **PDF format**.

## Glossary of Terms

Term	Definition	Examples
<b>Program</b>	<p>An AmeriCorps national service program that receives operational funding from Serve Connecticut and engages a corps of <b>AmeriCorps members</b> to provide a specific intervention in the community, i.e., nutrition education, opioid abuse prevention, mentoring, etc.</p> <p>The AmeriCorps programs included in the Serve Connecticut portfolio changes annually.</p> <p>This list (<i>right</i>) includes all eight 2019-2020 subgrantees of Serve Connecticut.</p>	<ul style="list-style-type: none"> <li>• FoodCorps Connecticut</li> <li>• HealthForward</li> <li>• Jumpstart Connecticut</li> <li>• NESS SEA AmeriCorps</li> <li>• Prevention Corps</li> <li>• Public Allies Connecticut</li> <li>• STICH</li> <li>• Teach for America Connecticut</li> </ul>
<b>System</b>	<p>The written procedure a program uses to effectively manage a process integral to the AmeriCorps program model.</p> <p>AmeriCorps programs submit their systems annually to Serve Connecticut for review to meet their Grantee Contract obligations around compliance oversight.</p> <p>Systems are due October 31 annually.</p>	<ul style="list-style-type: none"> <li>• Member Recruitment System</li> <li>• Member Training &amp; Development System</li> <li>• Member Timekeeping System</li> <li>• <i>Etc.</i></li> </ul>
<b>Deliverable</b>	<p>Template documents, blank forms (electronic or hard-copy), and policy attachments that are used to support certain component of each system.</p> <p>AmeriCorps programs submit these deliverables with their systems to Serve Connecticut for review annually to meet their Grantee Contract obligations around compliance oversight.</p> <p>Deliverables are due October 31 annually.</p>	<ul style="list-style-type: none"> <li>• Member Contract Template</li> <li>• Grievance Policy</li> <li>• Member Performance Evaluation Form</li> <li>• <i>Etc.</i></li> </ul>
<b>Desk Review Document</b>	<p>Electronic or hard-copy documentation of program activities.</p> <p>AmeriCorps programs used to submit these documents for review during a compliance site visit, where Serve Connecticut staff would book half a day for file review.</p> <p>AmeriCorps programs eligible for Compliance Site Visits will now submit these documents via the Serve Connecticut Program Development Hub.</p> <p>Desk Review Documents will be due January 31 annually beginning January 31, 2020.</p>	<ul style="list-style-type: none"> <li>• Completed/signed Member Contracts</li> <li>• Verified Criminal History Checks</li> <li>• Completed/signed Member Time Sheets</li> <li>• Signed Member Disciplinary Memos</li> <li>• Member Training Sign-In Logs</li> <li>• Receipts for Purchase</li> <li>• <i>Etc.</i></li> </ul>

## Monitoring Process

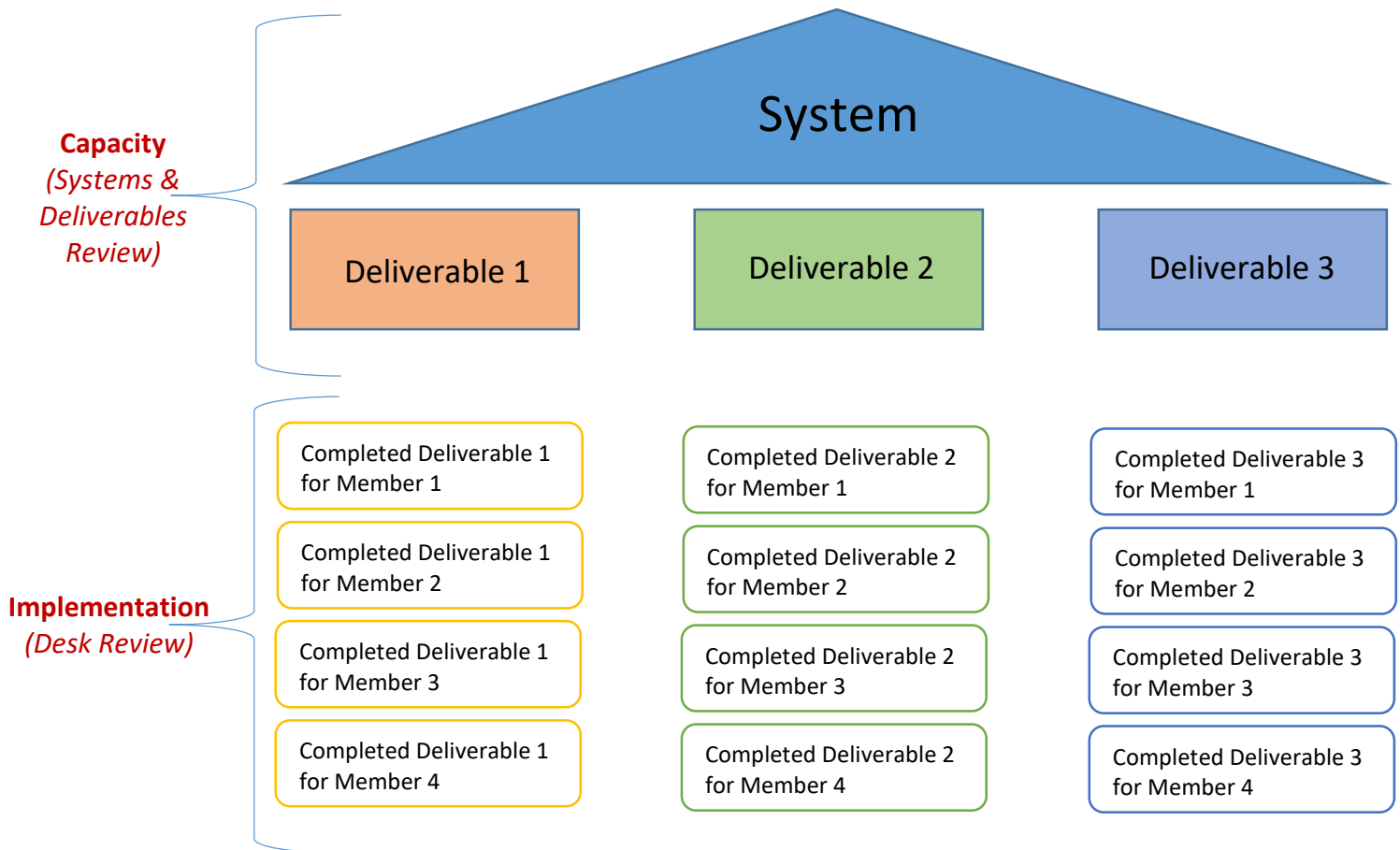
Using the Serve Connecticut Program Development Hub, each program will be monitored for compliance in relation to its **capacity** and **implementation**.

**Program Capacity:** Program submission of Systems and Deliverables provides our Commission with a means of ensuring our subgrantees have policies and procedures in place to manage the many moving parts associated with running an AmeriCorps program. These documents are also critical to a program's ability to remain operational in the event of transition, i.e., staff turnover, new organizational leadership, etc.

**Program Implementation:** Program submission of Desk Review documents provides our Commission with a means of confirming that a program's policies and procedures are strong, are being adhered to and are successful in maintaining compliance. Desk Review documents are generally related to AmeriCorps member management and program operations:

- Member management monitoring will require that each program is able to submit aligned sets of AmeriCorps member data and a number of required desk review documents included in each member file.
- Program operations monitoring will require that each program is able to submit desk review documents associated with non-member related systems.

One model of how Systems, Deliverables and Desk Review Documents relate to each other is as follows:



## Systems & Deliverables Scoring & Feedback

Systems and their associated deliverables will receive two scores – one for **compliance** and one for **quality**.

### Compliance Scoring

Systems and deliverables will receive a **pass/fail compliance score** reflecting whether or not all mandatory components are found to be reflected adequately within the document(s). Each system and deliverable will receive up to one point for each compliance element (*see pp7-18*) based on the following criteria:

- **Compliant – 1 point.** The program needs to have this element in place and the system/deliverable demonstrates its presence.
- **Not Applicable – 1 point.** The program is not required to have this element in place and is therefore compliant.
- **Noncompliant – 0 points.** The program needs to have this element in place and the system/deliverable does not demonstrate its presence.

Points earned from element review will be added together to provide a compliance score for each system/deliverable set.

Ex: Calculating the Member Recruitment System/Deliverable Set compliance score:

System Compliance Score	Member Recruitment	4 out of 5
Deliverable Compliance Score	Member Contract	26 out of 30
	Member Position Description	<u>2 out of 2</u>
		<b>32 out of 37 possible points</b>

System/deliverable set scores will then be combined to create a total overall compliance score for the entire program submission. *(Note: Total possible points used in this example are provided for comprehension only and may not align with the most current systems and deliverables risk-based monitoring guidance.)*

Ex: Calculating Program X's overall compliance score.

<b>Program X's</b>	
Member Recruitment	<b>32 out of 37</b>
Member Pre- Enrollment & Enrollment	<b>34 out of 35</b>
In-Service/Post-Service Member Documentation	<b>20 out of 20</b>
Member Training & Development	<b>30 out of 30</b>
Member Support & Safety	<b>11 out of 11</b>
Member Supervision & Discipline	<b>4 out of 13</b>
Member Timesheets & Hours Monitoring	<b>20 out of 25</b>
Host Site Recruitment & Coordination	<b>3 out of 5</b>
AmeriCorps Branding and Program Promotion	<b>4 out of 4</b>
Program Budget & Financial Management	<u><b>4 out of 5</b></u>
Compliance Score	<b>162 out of 185 total possible points</b>

162 points / 185 total points = **88% Overall Compliance Percentage**

*(Note: Total possible points used in this example are provided for comprehension only and may not align with the most current systems and deliverables risk-based monitoring guidance.)*



## Quality Scoring

A **scaled QUALITY score** reflecting the success of each System and its associated Deliverables in meeting various criteria around efficacy, efficiency, clarity, ease of use, grammar/style, etc. as applicable is reflected in the table below:

Score	Quality Standard	System Content	System Organization	System Language/Style
<b>1</b>	Does Not Meet Standard	The System merely affirms the program's intentions to meet compliance requirements but does not provide step-by-step instructions as to how the program will do so.	There is no discernable organization to the System and its associated Deliverables; the level of disorganization makes it difficult to determine whether compliance elements are missing or to be found elsewhere in the program's Systems/Deliverables submission.	The System and its associated Deliverables require extensive editing and revision for grammatical and typographical errors.
<b>2</b>	Approaches Standard	The System provides instructions as to how the program will meet compliance requirements, but does not provide sufficient detail; key elements, steps, and/or sub-steps are missing and/or incomplete.	The System and its associated Deliverables are organized overall, however sequencing of instructional steps within the System could be improved and/or the System's presentation could be broken up into sections to improve readability.	The System and its associated Deliverables could benefit from proofreading for limited grammatical and typographical errors.
<b>3</b>	Meets Standard	Detailed, step-by-step instructions are provided that clearly describe the system's key elements: Objective, Frequency, Mode, Distribution and Persons Responsible. All instructions are updated to reflect the most recent program year's requirements.	The System itself is organized and made easy to follow with section headers and subsection headers. System elements are presented in a logical sequence a reader can easily follow. Associated Deliverables are easy to find and use.	The System and its associated Deliverables have no grammatical or typographical errors. An appropriate grade-level of language is used to ensure target audience readability and comprehension. Font styles and font sizes used are readable by the average reader.
<b>4</b>	Exceeds Standard	System meets the criteria for Score 3 above plus one or more of the following criteria: -Instructions provided include supporting resources, such as screenshots, links to additional references, and other information beyond basic steps. -Instructions include aspirational elements, describing the value of correctly implementing the system. For example, the reader is urged to complete criminal history checks on time, every time to protect vulnerable populations being service by the program. -Other	The System and its associated Deliverables meet the criteria for Score 3 above plus one or more of the following criteria: -Materials are designed using publishing software to be attractive to the eye. -Materials display AmeriCorps program branding in a stylistic way to emphasize program identity. -Other	System and its associated Deliverables meet the criteria for Score 3 above plus one or more of the following criteria: -System language is engaging and speaks to the reader directly. -Efforts are made to make the System inclusive, i.e., demonstrates font and design choices that maximize readability for broader audiences with different ability levels. -Other

Ex: Calculating the Member Recruitment System/Deliverable Set quality score:

Member Recruitment System/Deliverable Set Score:

Content 3 + Organization 4 + Language 2 = 9 points total / 3 criteria = Quality Score of 3 or 75%

The program Meets Standard; feedback would likely be provided on how to improve System Language/Style.

Ex: Calculating Program X's overall quality score.

Program X's Overall Quality Score:

Member Recruitment	3
Member Pre- Enrollment & Enrollment	2
In-Service/Post-Service Member Documentation	4
Member Training & Development	4
Member Support & Safety	4
Member Supervision & Discipline	3
Member Timesheets & Hours Monitoring	4
Host Site Recruitment & Coordination	2
AmeriCorps Branding and Program Promotion	3
Program Budget & Financial Management	<u>3</u>
32 out of 40 total possible points	

32 points / 10 Systems = **3.2 Overall Quality Score**

32 points / 40 total points = **80% Overall Quality Percentage**

The program Meets Standard; feedback and/or technical assistance would be provided in the areas of Member Pre-Enrollment/Enrollment and Host Site Recruitment & Coordination.

### Systems/Deliverables Submissions Workflow

- 1) Programs will submit Systems/Deliverables into the Serve Connecticut Program Development Hub.
- 2) Serve Connecticut staff will review submissions and provide a preliminary compliance score to programs with feedback, i.e., clarifying questions.
- 3) Programs will respond to feedback and submit missing documentation (if applicable).
- 4) Serve Connecticut staff will conduct a final review and provide a final compliance score as well as a final quality score and qualitative feedback, i.e., corrective action, kudos, etc.

### Serve Connecticut Program Development Hub

Please refer to technical guidance provided separately for instructions on how to use the Serve Connecticut Program Development Hub platform.

System Number: 1 of 10

**System Title:** **Member Recruitment (8pts)**

System Contents: All activities related to outreach to, vetting of, and intake of potential candidates for AmeriCorps member enrollment.

**Associated Deliverable(s):** **Member Position Description(s)**

### System Compliance Components Checklist:

#### Member Recruitment (5pts)

- Describes here the program will target its recruitment efforts.
- Describes how programs staff will respond to and follow up on phone, email and social media inquiries.  
Describes the program's application, interview, and hiring process.
- Describes the program's process to ensure potential members are qualified to serve.
- Describes the program's plan to ensure the corps is diverse.
- Describes the program's strategies to maintain a recruited member's engagement until the member's start date (enrollment date).

### Deliverable(s) Compliance Components Checklist(s):

#### Member Position Description(s) (3pts)

- Includes a list of service responsibilities/duties relevant to the approved AmeriCorps project.
- Does not include any responsibility/duty that violates AmeriCorps Prohibited Activities and/or AmeriCorps Unallowable Activities.
- Does not include the phrase "other duties as assigned" or similar language.



**System Number:** 2 of 10

**System Title:** **Member Pre-Enrollment & Enrollment (32pts)**

**System Contents:** All activities related to ensuring that a selected candidate meets AmeriCorps eligibility requirements and enrolling them into active service as an AmeriCorps member.

**Associated Deliverable(s):** **National Service Criminal History Check Procedure**  
**Member NSCHC Consent Form**  
**NSCHC Covered Individuals List**  
**NSCHC Program-Defined Member Eligibility Criteria**

### **System Compliance Components Checklist:**

#### **Member Pre-Enrollment & Enrollment (7pts)**

- Describes how the program manages communications with members regarding their need to submit required pre-enrollment documentation.
- Describes how all document submission deadlines are prior to the prospective member's scheduled service start date.
- Describes how the program assures that a prospective member's Social Security and citizenship verification process is completed, including initiating the automatic verification process in eGrants.
- Describes in the event that a prospective member's Social Security/citizenship verification process needs to be processed manually by the National Service Trust (NST), how the program will manage submitting the member's identification documentation to the NST.
- Describes how the program will assure that pre-enrollment certifications are completed in eGrants before the member is enrolled. Pre-enrollment certifications demonstrate that NSOPW checks have been completed (including staff verification of cleared results) and state of service, state of residence, and FBI checks have been initiated.
- Describes how the program assures that a member is enrolled in eGrants no later than eight (8) days after the member's service start date, and that the member's start date in eGrants aligns with the service member's start date as shown in the member's Service Contract and first timesheet.
- Describes how the program will assure that each member completes his/her own enrollment through the My AmeriCorps Member Portal (eGrants).

### **Deliverable(s) Compliance Components Checklist(s):**

#### **National Service Criminal History Check Procedure (14pts)**

- Includes a procedure to obtain a signed consent form from the member authorizing the program to conduct a National Service Criminal History Check prior to initiation of any state or FBI checks.
- Includes a process for verifying each applicant's identity by examining government-issued photo identification and documenting that this process has taken place. (NOTE: It is not necessary to keep a photocopy of this identification in the member's file; however, verification of the ID must be documented consistently.)
- Includes an NSOPR CHECK: A process for conducting a nationwide National Sex Offender Registry (NSOPR) check for each "covered individual" (member applicants and staff applicants), which consists of a web-based check of a centralized system that reports on individuals who are required to register as sex offenders in US states and territories. NSOPR checks must be completed before the individual's start date (of service or employment). All searches must be conducted using the individual's name exactly as shown on their government-issued identification. All print-outs or screenshots of NSOPR results must be date/time stamped and must include all states and territories in the search. All search results that include "hits" on a submitted name must demonstrate documented verification by program staff that the member is not the individual(s) named in the search results.
- Includes a STATE OF SERVICE CHECK: A process for conducting a search of a Connecticut-based statewide criminal history records for "covered individuals" (member applicants and staff applicants) by name and/or fingerprint. The





search must be obtained from a CNCS approved vendor or follow a CNCS-approved alternate search protocol (ASP). State checks must be initiated before the individual's start date (of service or employment). All search results must demonstrate documented verification by program staff that the results have been reviewed.

- Includes a STATE OF RESIDENCE CHECK: A process for conducting a search of a statewide criminal history records for "covered individuals" (member applicants and staff applicants) by name and/or fingerprint in the individual's state of residence (if different from Connecticut). The search must be obtained from a CNCS-approved vendor or follow a CNCS-approved alternate search protocol (ASP). State checks must be initiated before the individual's start date (of service or employment). All search results must demonstrate documented verification by program staff that the results have been reviewed.
- Includes an FBI FINGERPRINT CHECK: A process for conducting a fingerprint-based search of a FBI criminal history records for "covered individuals" (member applicants and staff applicants). The search must be obtained from a CNCS-approved vendor or follow a CNCS-approved alternate search protocol (ASP). FBI checks must be initiated before the individual's start date (of service or employment). All search results must demonstrate documented verification by program staff that the results have been reviewed.
- Includes assurance that applicants will not assume the cost of performing any portion of the criminal history check process; if the applicant pays up front, he/she will be reimbursed.
- Includes assurance that an individual who is required to register on a state or territory sex offender registry or is convicted of murder is automatically ineligible to serve.
- Includes assurance that anyone who refuses to consent to a criminal history record search will not be eligible to serve.
- Includes assurance that anyone who makes a false statement in reference to their criminal record will not be eligible to serve.
- Includes a process for applying a defined set of criteria regarding applicant criminal history upon which an applicant may or may not be disqualified from consideration (see Program-Defined Check Criteria).
- Includes a description of how accompaniment will be provided and documented for those members with sustained contact with vulnerable populations. Documentation should include: 1) how accompaniment-providing supervisors' criminal history check completion is documented, 2) how members will document dates/times accompaniment is provided and by whom contemporaneously (at the time it occurs), 3) how programs will communicate and document the start and completion of accompaniment during the time checks are pending.
- Includes a description of how all criminal history check documentation will be maintained for all members and staff, including what mechanism will be used to safeguard and maintain results and assurance that the results of criminal history checks are confidential.
- Includes a process for ensuring at minimum one program staff member will maintain unexpired certification in the CNCS-required online National Service Criminal History Check eCourse, and that up-to-date, valid certification will be kept on file both by the program and submitted to CCCS.

### **Member NSCHC Consent Form (6pts)**

- Includes affirmation that by signing the consent form the member authorizes the program to conduct a National Service Criminal History Check.
- Includes affirmation that by signing the member understands that he/she will not assume the cost of performing any portion of the criminal history check process; if required to pay upfront costs for the checks, the member will be reimbursed by the program.
- Includes affirmation that by signing the member understands that his/her ability to serve with the program is contingent upon the results of the criminal history check.
- Includes affirmation that by signing the member understands that any individual who is required to register on a state sex offender registry or is convicted of murder is automatically ineligible to serve in any AmeriCorps program.

- Includes affirmation that by signing the member understands that he/she will have the opportunity to review and challenge the factual accuracy of a result before action is taken to exclude the applicant from the position.
- Includes that by signing the member understands that anyone who makes a false statement in reference to their criminal record search will not be eligible to serve.

**NSCHC Covered Individuals List (1pt)**

- Includes all staff and potential members that would be considered covered individuals and a column designating whether or not the individual will have sustained contact with vulnerable populations

**NSCHC Program-Defined Member Eligibility Criteria (4pts)**

- Includes a list of specific criminal offense categories that may, based on all available evidence, demonstrate an applicant's unfitness for performing duties specifically related to a member position.
- Includes identification of the duration of exclusions for criminal conduct based on all available evidence.
- Includes a description of how disqualifying criteria relate to a member's ability to perform duties/responsibilities associated with the member position.
- Includes a description of circumstances in which criminal history results outside of federally mandated national service minimum requirements might not preclude an applicant from serving with the program, if applicable (i.e., Opportunity Youth programming, etc.), and how applicants with criminal history results are assessed and deemed fit for selection.

System Number:	3 of 10
<b>System Title:</b>	<b>In-Service/Post-Service Member Documentation (43pts)</b>
System Contents:	All activities related to ensuring that each AmeriCorps member's service and service exit documentation is completed correctly, on time, and stored in a confidential member file (electronic or hard-copy) according to federal document retention requirements.
<b>Associated Deliverable(s):</b>	<b>Member File Contents Checklist</b> <b>Member Service Contract</b> <b>Personal Identifying Information (PII) Breach Policy/Procedure</b> <b>Accompaniment Tracking Form</b> <b>Accompaniment Provider Verification Form</b>

### System Compliance Components Checklist:

#### In-Service/Post-Service Member Documentation (7pts)

- Describes which program staff are responsible for collecting in-service and post-service documentation from members.
- Describes methods the program will use to communicate with members to ensure timely submission of required documents.
- Describes which program staff are responsible for ensuring all active members are enrolled and assigned to a service site in eGrants no later than eight (8) days after the member's service start date.
- Describes which program staff are responsible for ensuring any changes to a member's service status (active, suspended, exited) are entered into eGrants no later than thirty (30) days after the change has occurred (i.e., is documented and reflected in timesheets).
- Describes if providing healthcare benefits, which staff are responsible for ensuring that CCCS is notified in writing within five (5) business days of a member's status change IF that change affects the member's eligibility for healthcare.
- Describes if providing childcare benefits, which staff are responsible for ensuring that CCCS is notified in writing within five (5) business days of a member's status change IF that change affects the member's eligibility for childcare.
- Describes a procedure for protecting against and responding to breaches of Personal Identification Information (PII).

### Deliverable(s) Compliance Components Checklist(s):

#### Member File Contents Checklist (1pt)

- Includes tracking mechanisms for all documentation required to be present in an AmeriCorps member file.

#### Member Contract (32pts)

- Includes a space to record a service term start date/anticipated end date that matches the member's official enrollment date (first date of active service) as documented in eGrants.
- Includes the minimum number of service hours necessary to successfully complete a service term as required by statute as well as any other requirements as developed by the grantee.
- Includes the amount of the education award the individual may receive upon successful completion of the term of service in which the individual is enrolling, based on the number of hours required for their term of service.
- Includes the living allowance and any additional member benefits the member will receive in return for service (as applicable)
- Includes standards of conduct as developed by the grantee or subgrantee.
- Includes suspension and termination rules.
- Includes the specific circumstances under which a member may be released for cause.

- Includes grievance procedures as described in 45 CFR 2540.230.
- includes AmeriCorps Prohibited Activities quoted directly
- Includes AmeriCorps Prohibited Activities quoted directly as attempting to influence legislation
- Includes AmeriCorps Prohibited Activities quoted directly as organizing or engaging in protests, petitions, boycotts, or strikes
- Includes AmeriCorps Prohibited Activities quoted directly as assisting, promoting, or deterring union organizing
- Includes AmeriCorps Prohibited Activities quoted directly as impairing existing contracts for services or collective bargaining agreements
- Includes AmeriCorps Prohibited Activities quoted directly as engaging in partisan political activities, or other activities designed to influence the outcome of an election to any public office
- Includes AmeriCorps Prohibited Activities quoted directly as participating in or endorsing events or activities that are likely to include advocacy for or against political parties, political platforms, political candidates, proposed legislation, or elected officials
- Includes AmeriCorps Prohibited Activities quoted directly as engaging in religious instruction, conducting worship services, providing instruction as part of a program that includes mandatory religious instruction or worship, constructing or operating facilities devoted to religious instruction or worship, maintaining facilities primarily or inherently devoted to religious instruction or worship, or engaging in any form of religious proselytization
- Includes AmeriCorps Prohibited Activities quoted directly as providing a direct benefit to a business organized for profit
- Includes AmeriCorps Prohibited Activities quoted directly as a labor union,
- Includes AmeriCorps Prohibited Activities quoted directly as a partisan political organization
- Includes AmeriCorps Prohibited Activities quoted directly as a nonprofit organization that fails to comply with the restrictions contained in section 501c3 of the Internal Revenue Code of 1986 related to engaging in political activities or substantial amount of lobbying except that nothing in these provisions shall be construed to prevent participants from engaging in advocacy activities undertaken at their own initiation
- Includes AmeriCorps Prohibited Activities quoted directly as an organization engaged in the religious activities described in paragraph G above, unless Corporation assistance is not used to support those religious activities
- Includes AmeriCorps Prohibited Activities quoted directly as conducting a voter registration drive or using CNCS funds to conduct a voter registration drive
- Includes AmeriCorps Prohibited Activities quoted directly as providing abortion services or referrals for receipt of such services
- Includes AmeriCorps Prohibited Activities quoted directly as such other activities as CNCS may prohibit
- Includes the exact text of 45 CFR 2540.100 (e-f) relating to non-duplication and non-displacement.
- Includes the exact text of 45 CFR 2520.100 (.40-.45) relating to fundraising by AmeriCorps members.
- Includes requirements under the Drug-Free Workplace Act 41 USC 701 et seq.
- Includes civil rights requirements, complain procedures, and rights of beneficiaries as instructed in the AmeriCorps State & National Terms and Conditions.
- Includes other requirements as established by the grantee or subgrantee.
- Includes designated space for the member to initial each page of the Member Contract and any appendices (electronic or handwritten).
- Includes a designated signature location for the member to sign the Member Contract (electronic or handwritten).
- Includes a designated signature location for authorized program staff to sign the Member Contract (electronic or handwritten).

#### **Personal Identifying Information (PII) Breach Policy/Procedure (1pt)**

- Is compliant with Personal Identifying Information policy contents as specified in the most recent AmeriCorps Terms & Conditions.

**Accompaniment Tracking Form (1pt)**

- Includes places to record the specific dates and start/end times of a member's accompaniment periods as well as a space for the individual providing accompaniment to sign off that they have done so.

**Accompaniment Provider Verification Form (1pt)**

- Includes places to record the identity and role (i.e., program director, site supervisor, AmeriCorps member, operating site staff, etc.) of the individual cleared to provide accompaniment to AmeriCorps members and a space for the individual providing accompaniment to sign off certifying that they agree to provide accompaniment and have been cleared by a specified criminal history check process.

System Number: 4 of 10

**System Title:** **Member Training & Development (15pts)**

**System Contents:** All activities related to providing AmeriCorps members with orientation and training activities that equip them for national service and their individual program missions as well as professional development and service opportunities that make their service experience transformative.

**Associated Deliverable(s):** **Member Training Feedback Survey Form**  
**Program Member Training Calendar**  
**Member Performance Evaluation Form**

### System Compliance Components Checklist:

#### Member Training & Development (12pts)

- Describes how the program uses training and other development activities to build an AmeriCorps identity among its corps members.
- Describes how the program orients its corps members to the role and purpose of the Connecticut Commission on Community Service (CCCS/Serve Connecticut).
- Describes how the program orients its corps members to the role and purpose of the Corporation for National and Community Service (CNCS).
- Describes how the program orients its corps members on the importance of and requirement to participate in signature national service activities, including Martin Luther King Jr. Day of Service and AmeriCorps Week.
- Describes a formal, structured Member Orientation that includes all required elements as stipulated in the AmeriCorps Terms & Conditions.
- Describes a formal, structured training in Teamwork/Leadership.
- Describes a formal, structured training in Conflict Resolution.
- Describes a formal, structured training in Diversity/Cultural Inclusion/Awareness.
- Describes a formal, structured training in Sexual Harassment.
- Describes a formal, structured training in Civic Engagement.
- Describes formal and informal mechanisms for members to provide the program with input and feedback on their training needs.
- Describes formal and informal methods used to evaluate member trainings, including an assessment tool for members to complete.

### Deliverable(s) Compliance Components Checklist(s):

#### Member Training Feedback Survey Form (1pt)

- Includes means for members to provide formal feedback on their training experiences.

#### Program Member Training Calendar (1pt)

- Demonstrates that all orientation activities and required trainings are scheduled for the current program year.

#### Member Performance Evaluation Form (1pt)

- Includes means for members to receive and provide formal feedback on their performance during service.

System Number: 5 of 10

**System Title:** **Member Support & Safety (11pts)**

System Contents: All activities related to ensuring AmeriCorps member satisfaction and engagement with their national service experience as well as those activities that support member safety, wellness, and emergency management.

**Associated Deliverable(s):** **General Liability Insurance Cover Sheet/Certification Letter**

### **System Compliance Components Checklist:**

#### **Member Support & Safety (10pts)**

- Describes formal and informal mechanisms in place to help support members in dealing with personal or family challenges and/or crises
- Describes how the program ensures its members know they have access to the ASC Member Assistance Program (phone/online access to licensed counseling).
- Describes how the program ensures its members understand their health insurance benefits (if applicable).
- Describes how the program collects/updates member emergency contact information.
- Describes the program's retention of General Liability insurance coverage as required per the AmeriCorps Terms & Conditions; this coverage includes employees and national service participants.
- Describes in the case of member injury or death, how the program will notify in a timely manner relevant contacts in the member's and program's service circle (i.e., fellow members, supervisor, host site, community contacts).
- Describes in the case of member injury or death, how the program will notify in a timely manner CCCS.
- Describes how the program will develop an action plan as appropriate to sustain the service work of the member for the length of time an injury impacts his/her ability to perform all or part of that service, or for the duration of the member service term in the event of a member death; how that action plan will be communicated to CCCS.
- Describes in the event of a member death, measures the program will take to connect fellow members and service sites with access to grief counseling and other modes of support.
- Describes in the event of a member death, measures the program will as appropriate take to communicate condolences to member family and friends, including the option to submit a request to CCCS to pursue generation of a letter of condolence from the CNCS Director of AmeriCorps.

### **Deliverable(s) Compliance Components Checklist(s):**

#### **General Liability Insurance Cover Sheet/Certification Letter (1pt)**

- Insurance cover sheet or letter certifying general liability insurance coverage of AmeriCorps program employees and AmeriCorps members is present.



System Number: 6 of 10

**System Title:** **Member Supervision & Discipline (11pts)**

System Contents: All activities related to addressing and documenting AmeriCorps member performance and/or discipline challenges and any resulting coaching, corrective action, and/or consequence.

**Associated Deliverable(s):** **Grievance Policy**

### **System Compliance Components Checklist:**

#### **Member Supervision & Discipline (3pts)**

- Describes all parties (program staff and service site staff) responsible for direct and indirect member supervision during general day-to-day activities.
- Describes formal and informal activities the program uses to orient and support direct member supervisors in AmeriCorps compliance, performance coaching, and program discipline policies/procedures.
- Describes a schedule for program staff to meet individually with members.

### **Deliverable(s) Compliance Components Checklist(s):**

#### **Grievance Policy (8pts)**

- Includes a requirement that a grievance be filed within one year from the date of the alleged occurrence (except in cases of fraud or criminal activity).
- Includes provision that a hearing must occur within 30 calendar days after the grievance has been filed.
- Includes provision for a decision within 60 calendar days after the filing of the grievance.
- Includes provision of an opportunity for binding arbitration by a qualified, jointly-selected arbiter in the event a decision is not made within 60 days or the decision is adverse against the party who filed the grievance.
- Includes provision that an arbitration hearing will occur no more than 45 calendar days after the request for arbitration is filed.
- Includes provision for an arbitration decision within 30 days of the start of the arbitration proceeding.
- Includes statement that remedies may include the applicant's selection and reinstatement.
- Includes statement that remedies may include other changes in the terms and conditions of service.

System Number: 7 of 10

**System Title:** **Member Timesheets & Hours Monitoring (25pts)**

**System Contents:** All activities related to how AmeriCorps member time sheets are collected, processed, and documented, as well as how AmeriCorps member service hours are monitored and kept on pace for each member's successful completion of his/her service term.

**Associated Deliverable(s):** **Member Timesheet**  
**Member Time Tracking Tool**

### **System Compliance Components Checklist:**

#### **Member Timesheets & Hours Monitoring (12pts)**

- Describes a schedule of pay periods and when timesheets are due.
- Describes a procedure for timesheet and signature processing, whether handwritten or electronic.
- Describes how program staff will communicate with host/service sites and members regarding timesheet and signature processing procedures.
- Describes disciplinary procedures in place for late timesheets, including assurance that a member's stipend will not be withheld for hours served.
- Describes a procedure for communication among program staff, members, and service/host sites regarding member lateness, absences, and or status changes (suspension, early exit).
- Describes a process for ensuring that a member's hours spent doing fundraising activities does not exceed 10% of the member's total service hours.
- Describes a process for ensuring that a member corps' hours spent doing training does not exceed 20% of the entire corps' total service hours.
- Describes a procedure for regularly monitoring the status of a member's progress toward service hours completion and communicating with members about possible risks to completion.
- Describes a plan for how members can make up missed service hours.  
Describes a process for determining how far behind in service hours a member can be before being exited early from service.
- Describes the progressive steps a program will take to communicate/alert/warn a member regarding their need to improve their service hours status prior to being exited early.
- Describes documentation procedures for members exited for personal and compelling circumstances, per AmeriCorps Terms & Conditions.
- Describes a procedure for ensuring that all members exit themselves from eGrants within 30 days of their final day of service, and that the program will urge these members to complete the optional CNCS Member Exit Survey when doing so. This procedure should include how the program will handle a member's failure to complete his/her own eGrants exit.

### **Deliverable(s) Compliance Components Checklist(s):**

#### **Member Timesheet (8pts)**

- Includes a clear distinction between categories of service: service, training, and fundraising hours.
- Includes spaces to record work dates and start times and end times on those dates.
- Includes a space to record if accompaniment was provided to the member on any shift.
- Includes a designated signature location for the member to sign the Member Contract (electronic or handwritten).
- Includes a designated signature location for authorized program staff to sign the Member Contract (electronic or handwritten).

- Includes, if applicable, electronic timesheet system uses a secure, verifiable electronic signature system that identifies and authenticates a particular person as the source of the electronic signature and indicates that person's approval of the information contained in the electronic form or message.
- Includes, if applicable, electronic timesheet system must provide that once appropriate electronic signatures have been applied no changes can be made unless there is a clear, auditable record of revision.
- Includes, if applicable, electronic timesheet system does not permit use of regular email to communicate timesheet approval.

**Member Time Tracking Tool (5pts)**

- Includes time logs for each member in the corps.
- Includes indication of each member's position type (i.e., full-time, three-quarter-time, half-time, etc.).
- Includes clear distinction between categories of service: service, training, and fundraising hours.
- Includes display of cumulative hours and percentages of total service hours for each category of service (service, training, and fundraising) to the reporting period end date.
- Includes designates supervisors authorized to input and verify the accuracy of the data collected in the tool.

System Number: 8 of 10

**System Title:** **Host Site Recruitment & Coordination (3pts)**

System Contents: All activities related to outreach to, selection of, and coordination with AmeriCorps program host service sites.

**Associated Deliverable(s):** **Host Site Contract/Agreement**

**System Compliance Components Checklist:**

**Host Site Recruitment & Coordination (4pts)**

- Describes where the program's members serve.
- Describes how the program recruits and selects service/host sites for the program.
- Describes how the program orients service/host sites to AmeriCorps and program requirements.
- Describes how program staff manages communication with service/host site staff.

**Deliverable(s) Compliance Components Checklist(s):**

**Host Site Contract/Agreement (1pt)**

- Includes clearly articulated roles and responsibilities for both the program and the host site, assurances that no AmeriCorps prohibited or unallowable activities will be engaged in by AmeriCorps members and/or using AmeriCorps funding, and is fully compliant with AmeriCorps branding requirements.

System Number: 9 of 10

**System Title:** **AmeriCorps Branding & Program Promotion (7pts)**

System Contents: All activities related to ensuring that AmeriCorps branding requirements are adhered to in all program representation and promotion.

**Associated Deliverable(s):** **AmeriCorps-Compliant Promotional Items**

### System Compliance Components Checklist:

#### **AmeriCorps Branding & Program Promotion (6pts)**

- Describes a process by which the program's website, social media, and printed collateral (signage, promotional flyers/brochures, letterhead, etc.) are regularly reviewed and updated as needed to ensure compliance with AmeriCorps branding requirements.
- Describes a process by which the program's staff is assigned a professional email address from the program's legal applicant domain and how each staff member's email signature complies with AmeriCorps branding requirements.
- Describes a process by which program staff and members are trained in how to identify themselves as AmeriCorps program participants during networking and public speaking opportunities.
- describes a process for ensuring that all operating sites and service/host sites publicly, visibly display the AmeriCorps logo and the language "AmeriCorps Serves Here" during the service year.
- Includes assurances that all program partnership agreements and Memoranda of Understanding state that the program is "a member of the AmeriCorps National Service Network," "an AmeriCorps program," or "a proud member of the AmeriCorps National Service Network."
- Includes assurances that all printed promotional items state that the program is "a member of the AmeriCorps National Service Network," "an AmeriCorps program," or "a proud member of the AmeriCorps National Service Network."

### Deliverable(s) Compliance Components Checklist(s):

#### **AmeriCorps-Compliant Promotional Items (1pt)**

- Present is at least one example from each of the six (6) following categories:
  - letterhead/business cards
  - brochures/flyers/posters
  - orientation/training materials
  - signage/banners
  - contracts/agreements

System Number: 10 of 10

**System Title:** **Program Budget & Financial Management**

System Contents: All activities related to how approved program expenses and revenues are processed, reported on, and documented according to federal document retention requirements.

**Associated Deliverable(s):** N/A

**System Compliance Components Checklist:**

**Program Budget & Financial Management (7pts)**

- Describes how program staff reviews the awarded program budget at the beginning of the program year.
- Describes how program staff coordinates with subgrantee organization financial staff to ensure that AmeriCorps funding is appropriately managed according to all applicable regulations and the subgrantee organization's submitted accounting procedures.
- Describes how program staff (and subgrantee financial staff) document program expenses.
- Describes how program staff (and subgrantee financial staff) document program match funding, in-kind contributions, and or any program revenue.
- Describes how program staff (and subgrantee financial staff) maintain program financial documentation for the term proscribed by federal regulations.
- Describes how and when program staff submit required financial reporting and funding disbursement requests to the Commission as determined by their grant type (cost-reimbursement or fixed amount).
- Describes which program staff are responsible for communication to the Commission in the event of an accounting error, missed reporting deadline, or other fiscal concern.

**Deliverable(s) Compliance Components Checklist(s):**

Not applicable. None required.