

AmeriCorps*Connecticut programs are required to participate in a compliance monitoring process that involves review of AmeriCorps member files and AmeriCorps program management files 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
Monitoring Activity	Strong Start Program Staff Orientation	Systems & Deliverables Due	Desk Review Documents Due	In-Person Compliance Site Visits Conducted
Audience	All Programs	All Programs	Select Programs	Select Programs
Frequency	Annual	Annual	New – First Annual	Annual
Description	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.
Serve Connecticut Program Development Hub	Portal designer Veoci 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.

AmeriCorps*Connecticut programs are selected for participation in desk review monitoring and compliance site visits based on eligibility requirements described in the *AmeriCorps*Connecticut Program Director Manual*. Selected programs will be notified no later than September 15.

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.

Desk review submissions from selected programs are **due no later than January 31**, but can be submitted into the Hub at *any time* leading up to January 31. All submissions should be uploaded into the Hub in **PDF format**.



Glossary of Terms

Term	Definition	Examples
Program	<p>An AmeriCorps national service program that receives operational funding from Serve Connecticut and engages a corps of AmeriCorps members 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"> • FoodCorps Connecticut • HealthForward • Jumpstart Connecticut • NESS SEA AmeriCorps • Prevention Corps • Public Allies Connecticut • STICH • Teach for America Connecticut
System	<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"> • Member Recruitment System • Member Training & Development System • Member Timekeeping System • <i>Etc.</i>
Deliverable	<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"> • Member Contract Template • Grievance Policy • Member Performance Evaluation Form • <i>Etc.</i>
Desk Review Document	<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"> • Completed/signed Member Contracts • Verified Criminal History Checks • Completed/signed Member Time Sheets • Signed Member Disciplinary Memos • Member Training Sign-In Logs • Receipts for Purchase • <i>Etc.</i>

Monitoring Process

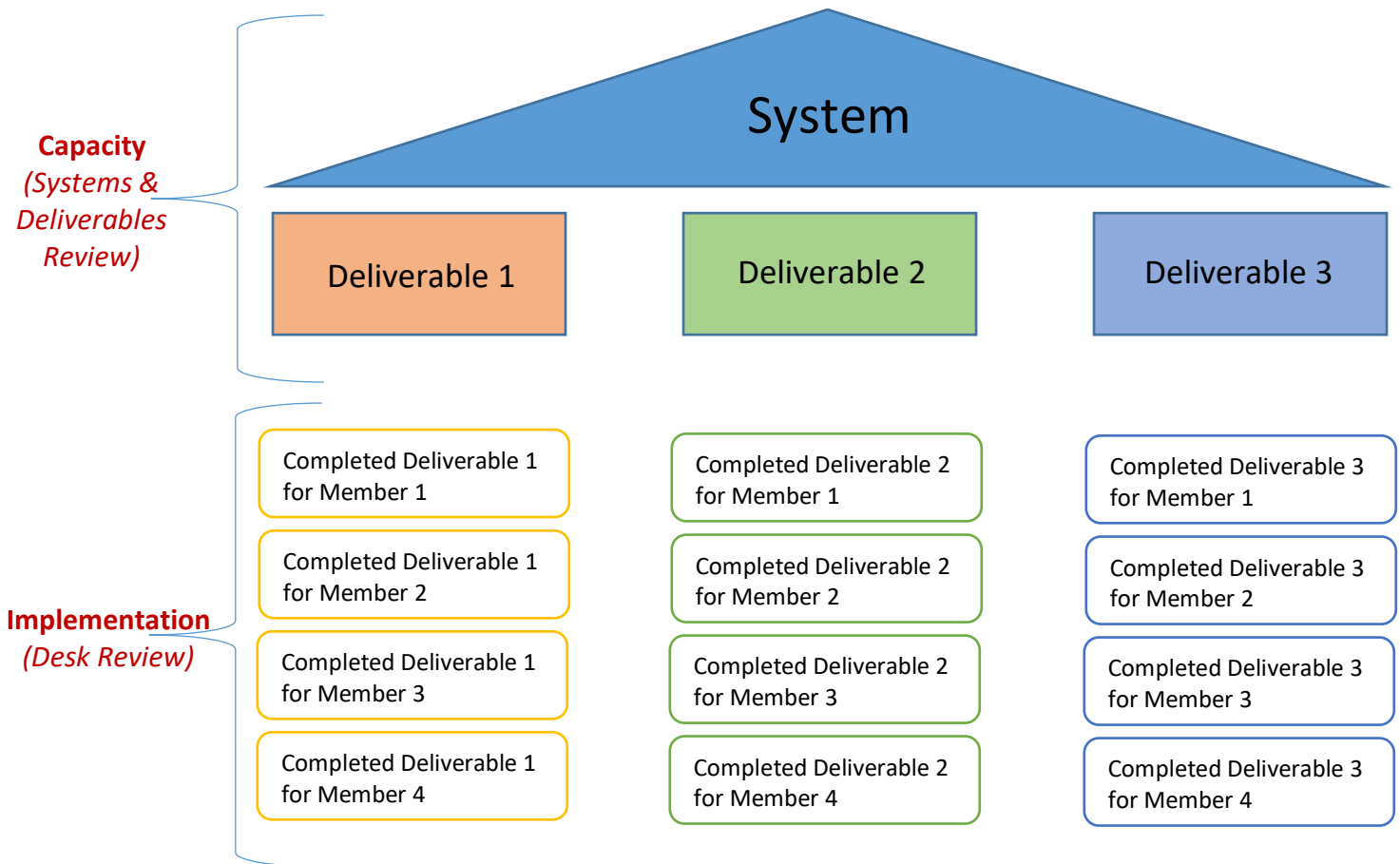
Using the Serve Connecticut Program Development Hub, each program will be monitored for compliance in relation to its **capacity** and **implementation**.

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:



Desk Review Scoring & Feedback

Desk Review Content & Structure

AmeriCorps Connecticut programs will submit desk review documents in two components: 1) Member Management Documentation and 2) Program Management Documentation. Each component is divided into the following categories:

Member Management Documentation:

Documentation must be submitted for ***all individual AmeriCorps members*** enrolled in the specified program year.

- Pre-Enrollment Documentation
- NSCHC Documentation
- Enrollment Documentation
- In-Service Documentation

Program Management Documentation:

Documentation must be submitted for ***program-level*** activities during the specified program year.

- Staff NSCHC Documentation
- Accompaniment Documentation
- Member Training Documentation
- AmeriCorps Branding Documentation
- Financial Documentation

Specific documentation required to be submitted by programs under each category is listed on pp. 7-9 of this Risk-Based Monitoring Tool.

Compliance Scoring Criteria

Desk review submissions will receive a **pass/fail compliance score** contingent upon whether documentation submitted meets all compliance requirements.

Each submission will receive up to one point for each element submission based on the following criteria:

- **Compliant – 1 point.** Documentation submitted provides evidence of compliance.
- **Not Applicable – 1 point.** Documentation is not applicable; its absence is therefore compliant.
- **Noncompliant – 0 points.** Documentation is required but missing.
- **Noncompliant – 0 points.** Documentation is present but insufficient to provide evidence of compliance.



Compliance Scoring Calculations

To generate an **Individual Member File Compliance Score**, Commission staff will generate a random sample of member files based on 25% of the member corps up to fifteen (15) member file records and review only those member files. The compliance scores for each category will be added together within each member record.

Example:

Individual Member File Score for Member A:

Pre-Enrollment Documentation	2/3
NSCHC Documentation	5/7
Enrollment Documentation	4/5
<u>In-Service Documentation</u>	<u>5/7</u>
16/22 Total for Member A or 72%	

To generate a corps-wide **Member Management Documentation Compliance** score, total compliance scores for individual member files will be added together.

Example:

Corps-Wide Member Management Documentation Score for Program X – Sample size five (5) member files:

Member A	16/22
Member B	20/22
Member C	22/22
Member D	22/22
<u>Member E</u>	<u>18/22</u>
98/110 Total for Program X or 89%	

Noncompliance: Should member file noncompliance be found during the desk review process, Commission staff may automatically extend the member file audit to include all member files. In the event that a full member file review takes place, the Corps-Wide Member Management Documentation Score for Program X will be calculated including all member files submitted.

To generate a **Program Management Documentation Compliance Score**, the compliance scores for each category will be added together.

Example:

Program Management Documentation Score for Program X:

Staff NSCHC Documentation	4/5
Accompaniment Documentation	1/1
Member Training Documentation	6/12
AmeriCorps Branding Documentation	5/5
<u>Financial Documentation</u>	<u>11/13</u>
27/36 Total for Program X or 75%	



Desk Review Submissions Workflow

- 1) Programs will submit Desk Review documents 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 or replacement documentation (if applicable).
- 4) Serve Connecticut staff will conduct a final review and provide a final compliance 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. Step-by-step video tutorials are accessible from your program's Hub dashboard and online support is provided by Veoci staff.

Desk Review Documentation Expiration

Desk review document submissions will be submitted to the Hub platform for monitoring purposes only and will not be housed by Serve Connecticut on the platform permanently. All desk review submissions will be deleted from the system July 31 immediately following close of monitoring.

Desk Review Component: 1 of 2

Component Title: Member Management Documentation (22 pts)

System Contents: All original documentation supporting compliant implementation of all required policies and procedures associated with AmeriCorps member management.

AmeriCorps*Connecticut programs will submit electronic copies of original member file documentation for ***all individual AmeriCorps members*** enrolled in the program from program start through December 31 of the current program year.

Pre-Enrollment Documentation (3 pts)

- Signed Member Application
- Documentation of Member ID Verifying Age
- Documentation of Member ID Verifying Citizenship

NSCHC Documentation (7 pts)

- Member NSCHC Consent Form
- Documentation of Member ID Used to Furnish Identity Name for NSCHC Processes
- Verified NSOPW Check Result
- Verified State of Service Check Result
- Verified State of Residence Check Result
- Verified FBI Fingerprint Check Result
- Member Reimbursement for NSCHC Costs

Enrollment Documentation (5 pts)

- Signed Member Contract
- Signed Member Media Release Form
- Signed Member Health Insurance Acceptance or Waiver
- Proof of Member Health Insurance Coverage
- Signed Member Child Care Assistance Acceptance or Waiver

In-Service Documentation (7 pts)

- Member Timesheets (member start date through December 31)
- Member Accompaniment Documentation (member start date through ceasing of accompaniment)
- Signed Member Mid-Term Performance Evaluation
- Signed Member Final Performance Evaluation (if applicable)
- Signed Member Exit Documentation (if applicable)
- Progressive Disciplinary Documentation (if applicable)
- Cause/Compelling Personal Circumstances Documentation (if applicable)



Desk Review Component: 2 of 2

Component Title: Program Management Documentation (36 pts)

System Contents: All original documentation supporting compliant implementation of all required policies and procedures associated with AmeriCorps program management.

AmeriCorps*Connecticut programs will submit electronic copies of original documentation for each element described in the following five categories of AmeriCorps program management (Staff NSCHC, Accompaniment, Member Training, AmeriCorps Branding, and Financial Documentation) from program start through December 31 of the current program year.

Staff NSCHC Documentation (5 pts)

- All Covered Program Staff NSCHC Consent Form(s)
- All Verified Covered Program Staff NSOPW Check Result(s)
- All Verified Covered Program Staff State of Service Check Result(s)
- All Verified Covered Program Staff State of Residence Check Result(s)
- All Verified Covered Program Staff FBI Fingerprint Check Result(s)

Accompaniment Documentation (1 pt)

- Accompaniment Provider Clearance Certifications for All Providers

Member Training Documentation (12 pts)

- Member Orientation Sign-In Sheet (Completed)
- Member Orientation Agenda
- Conflict Resolution Training Sign-In Sheet (Completed)
- Conflict Resolution Training Agenda
- Disability & Inclusion Training Sign-In Sheet (Completed)
- Disability & Inclusion Training Agenda
- Sexual Harassment Training Sign-In Sheet (Completed)
- Sexual Harassment Training Agenda
- Leadership/Team Building Training Sign-In Sheet (Completed)
- Leadership/Team Building Training Agenda
- Civic Engagement Training Sign-In Sheet (Completed)
- Civic Engagement Training

AmeriCorps Branding Documentation (5 pts)

Branding samples from the following categories:

- letterhead/business cards
- brochures/flyers/posters
- orientation/training materials
- signage/banners
- contracts/agreements

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Financial Documentation (13 pts)

Original documentation of any budget expenditures made and any revenue collected from program start to December 31 of the current program year. Original documentation refers to timesheets, receipts, invoices, check stubs, contracts for service, ledger entries, etc. Documentation should be submitted in the budget line categories below as applicable.

Expenditures (all are if applicable):

- Personnel Expenses & Fringe
- Travel - Staff and/or Member
- Equipment
- Supplies
- Consultants
- Training - Staff and/or Member
- Evaluation
- Criminal History Checks - Staff and/or Member
- Member Living Allowance
- Member Support

Revenue (all are if applicable):

- Cash Match
- In-Kind Match
- Program Revenue Generation