

**AL AmeriCorps State Monitoring**

**Module**

**Organizational Management**

Organizational Management

Results and Accountability

Partnerships and Collaborations

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AMERICORPS MONITORING MODULE

Organizational and Member Management

Last Update: March 2018

# Introduction

Organizational, Member, Data, and Financial Management Remote Monitoring Modules are used to monitor a program’s processes, policies, and procedures to include such elements as member support, enrollment, exits, recruitment, and retention as well as organizational capacity, program evaluation, policy infrastructure, data quality and management, grant compliance, national service identification, and service site management.

The Governor’s Office of Volunteer Services (GOVS) monitors programs to promote the highest standards of quality and efficiency in providing AmeriCorps service. During the monitoring process, the Commission staff works to ensure programs and service sites are carrying out contractual obligations, compliant with applicable Federal and State requirements governing AmeriCorps funds, adhering to AmeriCorps rules and regulations pertaining to prohibited and unallowable activities, and are achieving performance goals. When executed, the monitoring process maximizes compliance and works toward: **preventing** compliance issues from occurring through the review of a program’s development and implementation of training and management systems, **detecting** compliance issues quickly through program monitoring, and **enforcing** corrective actions to ensure that compliance issues are resolved promptly if instances of risk or noncompliance are identified and preventative measures are put in place.

The Commission values the relationship between each of the Alabama AmeriCorps State programs and their host organizations/operating sites and believes the monitoring process cultivates an environment of program improvement. The Commission is committed to working with programs to improve performance, compliance, and quality of programs from inception to closeout.

# Instructions

Read through this Monitoring document carefully. You will provide responses that include your program’s practices, policies, procedures, reporting/data collection tools, agenda’s, etc. concerning organizational, member, data, and financial management of your AmeriCorps program. If you have any questions as you complete this tool, please contact the Commission. When you are asked for **policies/processes/procedures**, you can either type them or attach the document with the **policies/processes/procedures**. If you attach a document, note the question # and the module with which the document corresponds.

If a statement/question does not apply to your program, please respond with N/A.

**Policies:** rule, regulation, or set of guidelines

**Processes:** set of things (procedures) that must be executed to comply with a policy

**Procedures:** specific/detailed series of steps to implement a process and comply with a policy

You will see the following abbreviations and acronyms.

* 45 CFR = AmeriCorps Regulations
* APC = AmeriCorps Program Contract
* AC = Terms and Conditions for AmeriCorps State and National Grants
* FAQ = AmeriCorps State and National Policy Frequently Asked Questions (FAQs)

# **ORGANIZATIONAL MANAGEMENT MODULE**

**Program Name:** Click or tap here to enter text. **Program Year:** Click or tap here to enter text.

# Organizational Management

The Organizational Management section includes elements required for compliant grant implementation related to organizational capacity and corresponding policy infrastructure.

1. What are the related **policies/processes/procedures** the program uses to ensure the provision of reasonable accommodation to qualified individuals? *[Sec. 2522.100 (h) & AC IV]*
2. Is the program aware of the technical assistance resources available for help with recruiting and supporting individuals with disabilities as AmeriCorps members? *See link.* [*https://www.nationalservice.gov/resources/disability-inclusion*](https://www.nationalservice.gov/resources/disability-inclusion)
3. What are the related **policies/processes/procedures** the program uses to ensure drug-free workplaces; which includes publishing a drug-free workplace statement, establishing a drug-free awareness program for employees and taking actions concerning employees convicted of violating drug statutes in the workplace? *[2 CFR part 2245]*
4. What are the related **policies/processes/procedures** the program uses to ensure members who are officially charged with a violent felony, or with the sale or distribution of a controlled substance during a term of service will be suspended without a living allowance and without receiving credit for hours missed.? *[FAQ C. 25]*
   * 1. What, if any, **policies/processes/procedures** does the program use to reinstate members who have been officially charged, excluding the above charges?
5. What are the related **policies/processes/procedures** the program uses to ensure timely communication with the GOVS of any legal judgment or governmental action against the program which could affect the contractual agreement including, but not limited to, any action of professional negligence, fraud, violation of any law, or against any license, certification or accreditation held by the program or its subcontractor(s) or any other matter that may impair the ability of the program to carry out the contractual terms and conditions? *[APC V. C.]*
6. Does the program have any **policies/processes/procedures** to inform the GOVS staff of any significant program changes including changes in the scope or goals of the program; changes in or extended absences of program staff, site supervisors, or other key personnel of the program; substantial changes in the level of member supervision; entering into sub-grants or contracting any AmeriCorps activities funded by the grant and not identified in the application; changes in site location; extended absences of members due to health or occupational reasons; significant changes in member responsibilities; or slot conversion requests? *[APC VII. K.]*
7. What are the related **policies/processes/procedures** the program uses to ensure applicable steps are followed and documentation is received from a member prior to a Compelling Personal Circumstance (CPC) exit? Proper documentation justifying a member’s compelling exit include: completion/submission of a Compelling Personal Circumstance form to GOVS; supporting documentation related to the CPC is in the member’s file, separate from all other program files; internal documentation supporting the program’s approval of the partial education award resulting from the CPC; and external supporting documentation to validate the member’s CPC? *[APC VII. L]*
8. What are the related **policies/processes/procedures** the program uses to ensure 50% of members (excluding returning members) are trained in disaster preparedness and response? *[APC VII. S]*
9. What are the related **policies/processes/procedures** the program uses to ensure the establishment and maintenance of grievance procedures compliant with the regulations? *Grievance procedure requirements are listed in the checklist (****See and complete Attachment A****) at the end of this tool. [Sec. 2540.230]*
10. What are the related **policies/processes/procedures** the program uses to ensure it monitors subrecipients/partners/service sites for compliance with grievance procedures? *[AC V]*
11. Have any grievances been filed during the current program year? If yes, have they been resolved?
12. What are the related **policies/processes/procedures** the program uses to ensure a non-discrimination policy exists including public notice and civil rights complaint procedures? *[Sec. 2540.210, AC.V, Grant Program Civil Rights and Non-Harassment Policy, the Certifications and Assurances]*
13. What are the related **policies/processes/procedures** the program uses to ensure: member safeguards are in place for the member’s safety, project activities are avoided that pose undue safety risks, and those activities that do pose risks are articulated to members and used in assessing service assignments? *[AC V]*
14. What are the related **policies/processes/procedures** the program uses to ensure that members and grant-funded staff are compliant with prohibited activities restrictions? *[Sec. 2520.65, Sec. 2520.40, 2520.45, and AC IV]*
15. What are the related **policies/processes/procedures** the program uses to ensure grant-funded activities are compliant with non-supplantation, non-duplication and non-displacement restrictions? *[Sec. 2540.100]*
16. Does the program ensure that service site locations and the host organization display an AmeriCorps logo with these specific items, materials, etc.? Place a Yes or No next to each of the items listed below.
    * 1. Signs/Banners:
      2. Service Gear (Members):
      3. Service Gear (Program Staff):
      4. Press Releases:
      5. Stationary:
      6. Application Forms:
      7. Orientation Materials:
      8. Member Agreement/Contracts:
      9. Member Pictures:
      10. Social Media/Program Website:
      11. Recruitment Materials/Advertisements:
      12. Announcements/Advertisements:
      13. AmeriCorps Member Created documents:
17. What are the related **policies/processes/procedures** the program uses to ensure the program lists all locations in the AmeriCorps portal and in OnCorps in a timely (14 Days) manner and updates the locations throughout the program year as needed? *[APC VII. C.]*
18. What are the related **policies/processes/procedures** the program uses to ensure the program's ability to oversee and support member placement sites (i.e. training, fiscal, and programmatic monitoring)?
19. What are the related **policies/processes/procedures** the program uses to ensure members are physically serving at service sites not staffed by AmeriCorps program staff such as schools, community centers, etc. (This might include sign-in sheets at the central office, service site supervisor, etc.)?
20. Does the program hold regularly structured meetings with Site Supervisors to review and discuss challenges or issues? If yes, please provide relevant **policies/processes/procedures** and if applicable, a sample agenda.
21. Does the program regularly host site visits to the service sites? Does the program conduct regular site visits to service sites for the sole purpose of monitoring service site compliance with AmeriCorps regulations? If yes, please provide relevant **policies/processes/procedures** and applicable monitoring tools used?
22. What are the related **policies/processes/procedures** the program uses to select partners or service sites? Are there specific criteria partners/service sites must possess? Does the program use a partner/service site agreement or Memorandums of Understanding (MOU)? In the agreement:
    * 1. Does the program explicitly state that the program is an AmeriCorps program and AmeriCorps members are the resource being provided?
      2. Does the program include text from 45 CFR 2520.65 (prohibited activities) and 45 CFR 2520.40 and 2520.45 (fundraising)?
      3. Please attach your program’s site agreement or MOU.
23. List all Service Sites/Partner locations and briefly describe (1-3 sentences) what members do at that location.
24. What are the related **policies/processes/procedures** the program uses to ensure staff timesheets meet the following requirements for individuals whose salary is paid in full or in part by grant funds or grantee match funds? You can provide a sample to illustrate your responses. *[2 CFR part 215, 2 CFR parts 230, 220 or 225, as appropriate for the type of organization]:*
    * 1. tracks actual time (not percentage) for the entire program year
      2. accurately divides time between AmeriCorps grants and other responsibilities
      3. are signed by the staff person and his/her supervisor.
25. What are the related **policies/processes/procedures** the program uses to ensure teleservice is meaningfully supervised and service hours can be validated?
26. Does the program have position descriptions for all AmeriCorps program staff? Are the descriptions updated to reflect changes including, but not limited to decreases/increases in program staff, additional service sites, additional members, changes in grant scope, etc.?
    * 1. Provide a list of program responsibilities for each AmeriCorps Program staff member.
27. Does the program have position descriptions for all Site/Member/Coordinator/Other Supervisors? Are the descriptions updated to reflect changes including, but not limited to decreases/increases in program staff, additional service sites, additional members, change in grant scope, partner/service sites, etc.?
    * 1. Provide a list of program responsibilities for all Site/Member/Coordinator/Other Supervisors.
28. What are the related **policies/processes/procedures** the program uses to ensure that an identified staff member(s) takes the required Corporation’s NSCHC e-course each year? *[ APC]*
29. What are the related **policies/processes/procedures** the program uses to ensure the completion of the required NSCHC steps for each program staff and member? Be sure to include additional criteria that is taken into consideration when reviewing an application (criteria beyond registration on the NSOPW or a murder conviction) and when returning members exceed a 120-day break in service. *Required steps include: 1) written consent, 2) NSOPW check, 3) State(s)/FBI checks, 4) consideration of results, and 5) accompaniment.*
30. What are the related **policies/processes/procedures** the program uses to ensure the retention of financial records, supporting documentation, statistical records, evaluation and program performance data, member information and personnel records for 3 years from the date of the submission of the final Financial Status Report? *If an audit is started prior to the expiration of the 3-year period, the records must be retained until the audit findings have been resolved and final action taken.* *[Sec. 2543.53 and 2541.420]*
31. What are the related **policies/processes/procedures** the program uses to accesses off site stored or archived records?
32. If applicable, what are the related **policies/processes/procedures** for a member requests to access and review records that pertain to the member?
33. What are the related **policies/processes/procedures** the program uses to ensure program closeout (submission of completed closeout documents) is executed no later than sixty days after the last day of service for the year?
34. What are the related **policies/processes/procedures** the program uses to ensure adequate general liability coverage? *[AC IV]*
35. What are the related **policies/processes/procedures** the program uses to obtain labor union concurrence when there are union employees in the area engaged in the same or similar work to that being proposed by the AmeriCorps program? *[Application assurances]*

# Results and Accountability

The Results and Accountability section includes elements required for compliant grant/program management related to verifiable outcomes, reliable grant performance, and stakeholder communication.

1. Explain what the related **policies/processes/procedures** the program has in selecting service sites/partners.
2. Explain the related **policies/processes/procedures** the program uses to ensure service sites/partners are informed of member service position slots and all CNCS requirements.
3. Explain the related **policies/processes/procedures** the program uses to ensure the program manages and monitors each project, service site, function, or activity supported by the award. Does the program have an implemented plan for oversight and monitoring to ensure that each service site has agreed to comply and is complying with relevant grant requirement including prohibited AmeriCorps member activities? *[45 CFR § 2543.51, 45 CFR § 2541.400, 45 CFR § 2550.80(d)&(e) and AC.V.]*
4. Explain how the program has adequate systems in place to ensure members are engaged within its program and are assigned to service locations within 30 days of a member’s selection for a term of service. *[AC.IV.]*
5. Are the host organization’s Board of Directors/Key Stakeholders/Senior Leadership actively involved in supporting the AmeriCorps program?
6. How are the host organization’s Board of Directors/Key Stakeholders/Senior Leadership kept informed about the AmeriCorps program?
7. Does the AmeriCorps Program Director regularly communicate with the host organization’s Board of Directors/Key Stakeholders/Senior Leadership?

# Partnerships and Collaborations

The Partnerships and Collaboration section includes elements required for compliant grant management related to efficiently leveraging national service resources and coordination efforts to ensure national service visibility and excellence.

1. Explain how/when the program communicates to the Commission with contact information for program, fiscal, and other key staff and relevant updates to this list on an annual basis.
2. Explain how the program participates in activities such as opening ceremonies, national service days, and conferences designed to promote a national identity for all AmeriCorps participants. *[45 CFR 2522.100(n)]*
3. Explain how and when the required CNCS acknowledgement and disclaimer is included on external reports or publications of material based upon work supported by your AmeriCorps award.
   * 1. CNCS Acknowledgement of Support. “This material is based upon work supported by the Corporation for National and Community Service (CNCS) under Grant No. \_\_\_\_. Opinions or points of view expressed in this document are those of the authors and do not necessarily reflect the official position of, or a position that is endorsed by, CNCS or [the relevant CNCS Program].”
4. Does the AmeriCorps program regularly engage in public awareness activities surrounding national service and volunteerism (be sure to include days of service and other opportunities)? If yes, can you provide a recent example?
5. Explain when and how the program participates in national service opportunities/events with other streams of service (AmeriCorps State & Nat’l, AmeriCorps VISTA, AmeriCorps NCCC, Senior Corps).

|  |  |
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| **Sources Used:** | The Corporation for National and Community Service: AmeriCorps Member and Site Monitoring and Reporting Requirements  Tight Ship http://www.tightship.io/policies-vs-processes-vs-procedures/ |

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| --- | --- | --- | --- | --- | --- | --- | --- |
| **Attachment A**  **AmeriCorps State and National** | | | | | | | |
| **Grievance Procedure Checklist** | | | | | | | |
| **Title 45 Code of Federal Regulations Sec. 2540.230** | | | | | | | |
| **Requirement** | **Yes** | | **No** | **N/A** | | **Comments** | |
| **General** | | | | | | | |
| Procedure is open to grievances from participants, labor organizations, and other interested individuals concerning the AmeriCorps program |  | |  |  | |  | |
| **A. Alternative Dispute Resolution (ADR) Grantees have the option of including ADR. If the procedure doesn’t include ADR, indicate ‘NA’** | | | | | | | |
| ADR is initiated within 45 calendar days of the alleged occurrence. |  | |  |  | |  | |
| At initial session of dispute resolution proceedings, party is advised in writing of right to file a grievance and right to arbitration. |  | |  |  | |  | |
| If matter is resolved, the terms of the resolution are recorded in a written agreement, and the party agrees to forego filing any further grievance on the matter under consideration. |  | |  |  | |  | |
| The process is aided by a neutral party and the neutral party may not compel a resolution. |  | |  |  | |  | |
| The proceedings are informal. The rules of evidence do not apply. |  | |  |  | |  | |
| With the exception of a written agreement, the proceedings are confidential. |  | |  |  | |  | |
| If matter not resolved within 30 calendar days from the date the informal dispute resolution process began, aggrieved party is informed in writing of right to file a formal grievance. |  | |  |  | |  | |
| **B. Grievance procedure for unresolved complaints** | | | | | | | |
| The neutral party is not involved in formal complaint process. |  | |  |  | |  | |
| Communications or proceedings of the informal dispute resolution process are not referred to or introduced into evidence at the grievance and arbitration hearing. |  | |  |  | |  | |
| **C. Time Limitations** | | | | | | | |
| Grievance is made no later than one year after the alleged occurrence (except for fraud and criminal activity). |  | |  |  | |  | |
| The hearing is conducted no later than 30 calendar days after the filing. |  | |  |  | |  | |
| A decision is made no later than 60 calendar days after the filing. |  | |  |  | |  | |
|  |  |  | |  |  | |
| **Requirement** | **Yes** | | **No** | **N/A** | | **Comments** | |
| **D. Binding Arbitration** | | | | | | | |
| The filing party may submit the grievance to binding arbitration if the decision of the hearing is adverse to the grievant, or if no decision has been reached in 60 days. |  | |  |  | |  | |
| A qualified arbitrator is used who is jointly selected and independent of the interested parties. |  | |  |  | |  | |
| The Corporation’s CEO appoints an arbitrator if the parties cannot agree on an arbitrator within 15 calendar days. |  | |  |  | |  | |
| Arbitration is held no later than 45 calendar days after the request for arbitration – or 30 days after an arbitrator is appointed by the Corporation’s CEO. |  | |  |  | |  | |
| A decision is made by the arbitrator no later than 30 days after arbitration commences. |  | |  |  | |  | |
| The cost of arbitration is divided evenly between the parties to the arbitration. If the participant, labor organization, or other interested individual prevails during arbitration, then the grantee pays the total cost of the proceeding and the attorney’s fees of the prevailing party. |  | |  |  | |  | |
| **E. Other Points. The policy:** | | | | | | | |
| Does not include any reference to employment/job. |  | |  |  | |  | |
| Clearly states who the member submits the grievance to. |  | |  |  | |  | |
| Lists who the member submits their grievance to if the grievance is with program staff. |  | |  |  | |  | |
| States “If the grievance alleges fraud or criminal activity, it must immediately be brought to the attention of the Corporation's inspector general. Visit www.cncsoig.gov or call the OIG hotline at (800) 452-8210.” |  | |  |  | |  | |
| States “If the grievance is regarding a proposed participant placement, the placement is not to be made unless it is consistent with the resolution of the grievance.” |  | |  |  | |  | |
| Best Practice: Does the grievance policy cover all parties, including the public, service locations, applicants, or anyone who may file a grievance? |  | |  |  | |  | |
| Best Practice. Does the member handbook/manual contain the grievance process? |  | |  |  | |  | |
| Best Practice: Is a copy of the grievance process posted online for public access? |  | |  |  | |  | |