



TECHNICAL ASSISTANCE & COMPLIANCE REVIEW EXECUTIVE SUMMARY

Program Name:
Date of Visit:
Visit Conducted by:
Interviews Conducted:

Program Description

Recruitment and Retention of Members:

Progress Toward Performance Measurement Objectives:

Needs and Service Activities:

Strengthening Communities:

Member Development:

Progress toward sustainability (include established partnerships within the community):

Program Strengths:

Program Challenges:

Training or Technical Assistance Needed by Program:

Compliance Issues Requiring Immediate Program Action:

Other Program Actions Required:



Program Technical Assistance & Compliance Review INSTRUMENT

This Program Technical Assistance and Compliance Review Instrument covers AmeriCorps specific laws, provisions and other federal requirements. It contains the following sections that cover basic program implementation components and early issue detection:

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- Section I: Member Documentation Compliance
 - Section I-A: Member Timesheet Compliance
 - Section II: Effective Staff Recruitment and Development
 - Section III: Member Management
 - Section III-A: Member Service Site and Service Activities
 - Section IV: Effective Program Implementation
 - Section IV-A: Data Collection, Analysis and Reporting Procedures
 - Section IV-B: Reporting Procedures
 - Section V: Fiscal Management
 - Section VI: Outreach and Inclusion of Members with Disabilities
 - Section VII: Sustainability
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Section I

MEMBER DOCUMENTATION COMPLIANCE

Number of Members allocated this program year:	
Number enrolled in AmeriCorps Portal:	
Number of Members currently serving:	
Number of Members who were exited for personal compelling circumstances:	
Number of Members who were exited for other than personal and compelling circumstances:	
Number of files reviewed for Members who are currently serving:	
Number of files reviewed of Members who have exited the program:	

Do Member files contain the appropriate documentation listed below?

Evidence of eligibility to serve (e.g., age, citizenship, or residency). The acceptable documents to verify citizenship or lawful permanent resident status are listed below.

- Birth Certificate
- U.S. Passport
- Certificate of birth-foreign service (FS-545) issued by the State Department
- Certificate of report of birth (DS-1350) issued by the State Department
- Certificate of naturalization (Form N-550 or N-570) issued by the INS
- Certificate of citizenship (Form N-560 or N-561) issued by the INS For lawful permanent resident alien
- A Permanent Resident Card or Alien Registration Receipt Card (also known as the Green Card) (Form I-551) issued by the INS
- A passport indicating that the INS has approved it as temporary evidence of lawful admission for permanent residence
- A Departure Record (Form I-94) issued by the INS, indicating that the INS has approved it as temporary evidence of lawful admission for permanent residence

Member enrollment forms

- Member enrollment forms (required only if the Program Director and not the Member completed the enrollment form on the AmeriCorps Portal).

Signed Member contract

- Dates of Term of Service
- Minimum service hours and other requirements (as developed by the program) for successful completion of term of service and to be eligible for the education award
- Service Status – Full-time, Half-time etc.
- Expectations (Conduct, Duties, Attendance, etc.)
- Attendance Policy
- Disciplinary Procedures to include suspension and termination rules
- Specific circumstances under which a Member may be released for cause
- Signed Grievance Procedures (in accordance to AmeriCorps Provisions) – see Grievance Checklist
- Living Allowance amount and distribution
- Ineligibility for Unemployment Compensation

- Position Description
- Prohibited Activities
- Member Benefits
- Acknowledgement of a Drug-free workplace
- Sexual Harassment Policy
- Nondiscrimination Policy
- Criminal Background checks (see below)
- Child Care eligibility (if eligible)
- Healthcare eligibility (if applicable)
- High School Diploma or an equivalency certificate or a self-certification as proof of high school diploma. Self certification must include the person's signature under penalty of law, specifically certifying that he or she has completed high school or its equivalent or will obtain a high school diploma prior to using the education award.
- Member position description
- Member evaluations (at least mid and end of year required)
- Change of status or end of term of service forms contained in member file

Grievance Procedure Checklist

The Program's Grievance Procedures for AmeriCorps Programs must be established in accordance with 42 U.S.C. 12636 and implementing regulations 45 C.F.R. 2540.230. Formal Grievance Procedures must contain the following:

- Time Limits – Except for a grievance that alleges fraud or criminal activity, a grievance must be made **no later than one year** after the date of the alleged occurrence.
- If a hearing is held on a grievance, it must be conducted **no later than 30 calendar days** after the filing of such grievance.
- The grievance hearing is conducted by someone who was not involved in the initial decision making process of the issue.
- A decision on any such filed grievance must be made **no later than 60 days** after filing.

Arbitration – If there is an adverse decision against the party who filed the grievance, or no decision has been reached after **60 calendar days after filing the grievance**, the aggrieved party may submit the grievance to binding arbitration. Arbitration must include the following:

- Selection of an Arbitrator – An qualified arbitrator agreed upon by both parties must be identified **within 15 calendar days after receiving** a request from one of the parties.
- Time Limits – An arbitration proceeding must be held **no later than 45 days** after the request for arbitration. A decision must be made by **the arbitrator no later than 30** calendar days after the date the arbitration proceeding begins.
- Costs-The costs of the arbitration proceeding must be divided evenly between the parties to the arbitration. The Grantee must pay the total cost of the proceeding and reasonable attorney's fees of the prevailing party incurred in connection with the ADR proceeding.

Review of Member Files

Volunteer Florida staff should initially randomly select and review member files for all required items for one-fourth of the total number of members enrolled. If problems are found during the initial review, a complete audit of all member files may be required. However, all member files will be reviewed for criminal background check clearances and documentation of eligibility.

List Member files reviewed for all required items:

Member files listed above are complete and accurate: YES NO

If no, please list names of incomplete member files:

Listed below are corrective action steps that are necessary:

Criminal Background Checks

All member files must be checked to confirm that required criminal background check clearances have been secured.

Do all Members serving in direct contact with children or other vulnerable populations have a cleared State of Florida Department of Law Enforcement (FDLE) criminal background check on file?

YES NO

If no, Members not having a cleared FDLE background check must be removed from service until a cleared background check is secured. However, if the program has requested and is waiting for results of a FDLE background check, the subject members may continue to serve as long as they are supervised and physically accompanied at all times by a staff member with FDLE and NSOPW criminal background checks clearances.

Does the program have any members that applied from another state?

YES NO

If yes, Members that have applied from other states must have cleared nationwide FDLE criminal background checks or official state criminal background checks from the states from which the members applied.

Do all Members have a clearance sheet from the National Sexual Offender Public Website (NSOPW) website?

YES NO

If no, Members not having a NSOPW clearance must be removed from service until a cleared NSOPW check is secured.

Are criminal background checks and/or NSOPW checks conducted by a third-party such as a private vendor or school district?

YES NO

If yes, an alternative search protocol must be secured from the Corporation or copies of the actual FDLE and NSOPW clearances for each member must be on file by the program.

Listed below are corrective action steps that are necessary:

Member Eligibility

All member files must be checked to confirm that required documentation of eligibility has been secured.

Does each Member have documentation of eligibility on file? If no, Member eligibility is a compliance issue and must be provided within 30 days.)

YES NO

Listed below are corrective action steps that are necessary:

Member Identification

Each member file should contain some form of picture identification

Does each Member have some form of picture identification on file ? If no, Member eligibility is a compliance issue and must be provided within 30 days.)

YES NO

Section I-A
MEMBER TIMESHEET COMPLIANCE

Volunteer Florida staff should initially randomly select and review timesheets for one-fourth of the total number of members enrolled. If problems are found during the initial review such as; inconsistent calculations, unsigned timesheets, prohibited activities, etc., it will be considered a compliance issue and may require a complete audit of all member timesheets.

1. Do the timesheets clearly track the service activities to ensure adherence to the 80/20/10 rule? (Members hours must be direct service activities with no more than 20% attributed to training and no more than 10% attributed to fundraising).
2. Does the program track time separately for Members supported by Recovery Funds.
3. Are the timesheets signed and dated regularly by the Site Supervisor and Program Director to indicate that member hours have been verified?
4. Are member service activities listed on timesheets in line with the approved objectives and are void of prohibited activities?
5. Are members awarded service hours for anything other than service or training (for example, planning time?) If so, what do the hours represent and is there an appropriate written policy in place to manage these hours.
6. Are members on target with their hours given their tenure in the program?
7. How often are member timesheets turned in and/or reviewed?
8. Do Member timesheets reflect reasonable service hour requirements (for example, have any Members served more than 8-9 hours a day? If so, program staff must provide justification?

List Member timesheets reviewed:

Are member timesheets reviewed complete and accurate? YES NO

If no, please list names of individuals for which there are incomplete member timesheets

Member Documentation Follow-Up and Support

Ask program staff the following questions:

Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:

Section II

EFFECTIVE STAFF DEVELOPMENT

This section contains information collected from interviewing, conversing with and/or observing:

- ◆ Board Member(s)
- ◆ Member(s)
- ◆ Program staff
- ◆ Other stakeholders
- ◆ Member supervisor(s) from partner organization(s)

1. Describe the tenure and structure within the organization of key program staff.
2. What evidence or documentation exist that show program staff have copies of the most recent AmeriCorps Provisions and their Volunteer Florida contract?
3. Have appropriate background checks been conducted on all staff listed in the Volunteer Florida contract and budget? Federal regulations require background checks be conducted on all staff with recurring access to vulnerable populations through the AmeriCorps programs. Please indicate the type of background check conducted and where the information is kept for audit purposes.
4. What evidence or documentation exist that show the lead agency does require that program staff comply with the Drug-Free Workplace Act?
5. Does program staff keep time and effort reports in accordance with federal policy (note: higher educational institutions may be exempt)? A copy of the timesheet or report must be submitted with this completed report.
6. Does the program staff track time and effort separately if supported by Recovery Funds?
7. What evidence or documentation exist that show that staff is aware of limitations on fundraising prohibitions for AmeriCorps staff?
8. What evidence or documentation exist that show that staff is aware of the performance measurement objectives?
9. Does Program staff have current position descriptions that accurately reflect their job responsibilities?
10. Does program staff receive at least an annual performance evaluation?
11. Describe how staff (particularly new staff) training needs will be identified and met this year?

Staff Development Follow-Up and Support

Ask program staff the following questions: Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:



Section III

MEMBER MANAGEMENT

1. Has the program recruited the allotted number of members?
2. What recruitment strategies did the program use?
3. Have Members been provided a copy of a position description? If so, review position description for compliance and consistency with approved proposal. If not, how is it assured that members are knowledgeable of their roles and prohibited activities?
4. How do members become aware of program goals and objectives?
5. What member attendance procedures are in place?
6. How are members regularly updated on progress toward hours?
7. How often do program staff and members meet as a team?
8. What activities are in place to facilitate team building and esprit' de corps among members?
9. What disciplinary or corrective action procedures are in place for members who fall behind on hours or are not meeting performance standards?
10. Did all Members participate in a pre-service orientation? If not how did the program ensure that members understood their commitment and role in the program?
11. Are there any Members seeking a GED during their term of service? If so, does the Member file include a written agreement that he or she will work towards obtaining a GED during their term of service?
12. What documentation exists to ensure that Members seeking a GED during their term of service are receiving the appropriate program support?
13. According to members and program partners, what pre-service training was provided to Members?
According to Members and Site Supervisors, did the pre-service trainings adequately prepare them for service?
14. Has the program scheduled all required trainings? (Attach a copy of the program training schedule) If not, what is being done to ensure that members receive required trainings?
15. What process is in place to ensure that all members receive required training including members who begin the program late or miss scheduled trainings?
16. How often are performance evaluations conducted on the members?
17. Is the program experiencing a member retention problem? If yes, how is this challenge being addressed?

Member Management Follow-Up and Support

Ask program staff the following questions: Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:

Section III-A
MEMBER SERVICE AND ACTIVITIES

This section contains information collected from interviewing, conversing with and/or observing:

- ◆ Board Member(s)
- ◆ Member(s)
- ◆ Program staff
- ◆ Other stakeholders
- ◆ Member supervisor(s) from partner organization(s)

1. What type of orientation to the AmeriCorps program did the service sites receive? Who participated from the sites and when did they occur?
2. Has each site where members serve signed an agreement that ensures that they follow the policies regarding member management, verification of service hours, prohibited activities, and program performance measurements?
3. Has the program designated a staff person to daily oversee the member’s service activities, and verify service hours, at each site?
4. Have all members been given a service schedule that will ensure completion of required hours by the end of term?
5. What types of activities does a typical day include for members and how many hours a week are Members required to serve? (Review activities)?
6. What are the procedures does the Program Director have in place monitoring service sites and do those procedures include a written record of monitoring?
7. Are members provided adequate space, equipment, materials and supplies to effectively carry out their service assignments?

Service Site and Service Activities Follow-Up and Support

Ask program staff the following question: Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:

Section IV

PROGRAM IMPLEMENTATION

This section contains information collected from interviewing, conversing with and/or observing:

- ◆ Board Member(s)
- ◆ Member(s)
- ◆ Program staff
- ◆ Other stakeholders
- ◆ Member supervisor(s) from partner organization(s)

1. What documentation exists that demonstrates how community stakeholders (partners, community residence, etc.) are involved in program planning and evaluation?
2. Does the program conduct at least an annual survey on stakeholder satisfaction? If so, when was the most recent conducted and how was the information used to improve program operations?
3. What documentation exists that demonstrates how program staff provide partners with regular updates on program progress?
4. What system is in place to recruit, track, and recognize volunteers?
5. How does the program ensure that it's volunteers receive the required background screening?

Program Implementation Follow-Up and Support

Ask program staff the following question: Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:

Section IV-A

PROGRAM MEASURE OBJECTIVES AND DATA COLLECTION

This section contains information collected from interviewing, conversing with and/or observing:

- ◆ Board Member(s)
- ◆ Member(s)
- ◆ Program staff
- ◆ Other stakeholders
- ◆ Member supervisor(s) from partner organization(s)

1. Does the program have a procedure in place for collecting data on each performance measure and is this procedure written so that other program staff and program partners can assist in collecting data?
2. Does the program have a process in place to track activities, outputs, and outcomes separately for activities supported by Recovery Funds?
3. Do the members participate in collecting data? If yes, what data do they collect?
4. Does the program have any evaluations or assessments prepared to gather data on program services, projects completed, performance or impact?
5. Review Progress on Primary Needs and Service performance measures. What data is collected to report progress on Needs and Service performance measures?
6. What data is collected to report on the progress of the program performance measure related to Recovery Funding?
7. Review Progress on Member Development performance measures. What data is collected to report progress on Member Development performance measures?
8. Review Progress on Strengthening Communities performance measures. What data is collected to report progress on Community Strengthening performance measures?

Performance Measure Objectives and Data Collection Follow-up and Support

Ask program staff the following question: Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:

Section IV-B REPORTING PROCEDURES

This section contains information collected from interviewing, conversing with and/or observing:

- ◆ Program staff
 - ◆ Fiscal personnel
 - ◆ Lead agency staff involved in the program reporting
1. Does the program submit clear and comprehensive information on progress reports and are the report submitted in a timely manner?
 2. Is the program's data collection system/information collected consistent with the information provided by the program on Volunteer Florida's progress reports?
 3. Review a sampling of the program's data for its primary activity performance measures from the current and/or previous year. Is the data consistent with the program's final progress report from the previous year?

Reporting Procedures Follow-Up and Support

Ask program staff the following question: Is there more information, training or support needed in this area?

Volunteer Florida Recommendations:

Section V

FISCAL MANAGEMENT

A. Systems, Policies and Procedures

The purpose of this section is to obtain an understanding of the program's fiscal systems, policies and procedures. Based upon past fiscal performance the all or some of the following questions will be asked of the grantee to determine **HOW** each item is completed, **WHO** is responsible for completion, **WHO** is involved in the transaction and **WHY** the system works best for the organization. If necessary, request a copy of the organization's Policies and Procedures.

1. How is program staff informed of the budget, budget narrative, and expenditures?
2. Who is responsible for preparing financial reports?
3. How does the program track expenditures for AmeriCorps program separately from other expenditures?
4. How does the program track Recovery Funds expenditures separately from other expenditures including their regular AmeriCorps grant?
5. Does the agency have other programs that require match? If so, how does the program track match to ensure match is not used as match for another program?
6. Are equipment purchases in compliance with the budget narrative or has written approval been received from the Commission?
7. How does the program track in-kind match (in-kind vouchers, invoices, etc.)?
8. Is signature authority on purchases and checks shared between several employees?
9. Does the program reconcile monthly bank (account) statements?
10. Does the program have adequate liability and worker's compensation coverage (list the Providers)?
11. Review the program's member payroll records. How often do members receive their living allowance? Is the living allowance paid in the same amount each pay period or do the amounts fluctuate?

Section V-A

Time and Effort Reporting – State, Local and Indian Tribal Governments

CHECK ALL THAT APPLY

- Charges to Federal awards for salaries and wages, whether treated as direct or indirect costs, will be based on payrolls documented in accordance with generally accepted practice of the governmental unit and approved by a responsible official(s) of the governmental unit.
- No further documentation is required for the salaries and wages of employees who work in a single indirect cost activity
- Where employees are expected to work solely on a single Federal award or cost objective, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification.
 - These certifications will be prepared at least semi annually and will be signed by the employee and supervisory official having first hand knowledge of the work performed by the employee.
- Where employees work on multiple activities or cost objectives, a distribution of their salaries or wages will be supported by personnel activity reports or equivalent documentation which meets the standards listed below.
 - They must reflect an after the fact distribution of the actual activity of each employee,
 - They must account for the total activity, for which each employee is compensated,
 - They must be prepared at least monthly and must coincide with one or more pay periods, and
 - They must be signed by the employee.

Section V-B

Time and Effort Reporting – Non-Profit Organizations

CHECK ALL THAT APPLY

- Charges to awards for salaries and wages, whether treated as direct costs or indirect costs, will be based on documented payrolls approved by a responsible official(s) of the organization.
- The distribution of salaries and wages to awards must be supported by personnel activity reports as stated below:
 - The reports must reflect an after-the-fact determination of the actual activity of each employee. Budget estimates (i.e., estimates determined before the services are performed) do not qualify as support for charges to awards.
 - Each report must account for the total activity for which employees are compensated and which is required in fulfillment of their obligations to the organization.
 - The reports must be signed by the individual employee, and by a responsible supervisory official having first hand knowledge of the activities performed by the employee
 - The report contains a certification statement
 - The reports must be prepared at least monthly and must coincide with one or more pay periods.

Section VI
OUTREACH AND INCLUSION OF MEMBERS WITH DISABILITIES

Program Name:	Date of Visit:
Visit Conducted by:	Person Interviewed:

1. Before the program’s site visit, please have the Program Director provide Volunteer Florida with a list of their disability partners. Each program should provide a list with a minimum of three disability partners. Complete contact information, name, address, phone number, fax number and e-mail should be provided for each partner.

Only organizations whose primary mission is to serve people with disabilities fulfill this requirement. If the program has not identified three partners who meet this criteria they will have 30 days from the date of the site visit to secure the required number of partnerships. If this is a multi site program with sites in different counties, the program must have three partners per site.

2. Please let the program director/coordinator know that you will be extending an invitation to one of their partners to attend the site visit review.

Before you ask the program the questions below, please provide them with the following background information.

Volunteer Florida has, as a priority, the inclusion of people with disabilities in AmeriCorps programs. All programs are required to reach out to organizations that serve people with disabilities and to reach out to people with disabilities and encourage them to join AmeriCorps. The National and Community Service Act. This portion of the site visit tool is one of the ways Volunteer Florida monitors the AmeriCorps program’s progress in the area of outreach and inclusion of members with disabilities.

Please ask the partner the following questions:

- a. Please describe the nature of your partnership?
- b. How often do you meet/talk with the AmeriCorps Program?
- c. With the partners assistance, has the program been able to recruit members with disabilities? (Please provide details.)
- d. Has the AmeriCorps Program been able to assist in helping the partner meet their mission? (Please provide details.)
- e. Please ask the partner to add any suggestions they have on further developing the partnership with the AmeriCorps program that would result in an increase of participation of members with disabilities in their program. (Please provide details.)

***Note: Please make sure the program has provided the required disability sensitivity and appreciation training which should now be included in the answers to Section III Member Management questions 14 & 15.

Outreach Activities

Please provide a list of the activities and documentation of the program's outreach activities you have conducted to reach organizations that serve people with disabilities and to reach people with disabilities over the last year.

Inclusion & Accessibility Follow-Up and Support

1. Describe challenges the program is experiencing in the area of inclusion and accessibility and describe technical assistance or training needed.

Section VII
PROGRAM SERVICE SUSTAINABILITY

This section contains information collected from interviewing, conversing with and/or observing:

- ◆ Board Member(s)
- ◆ Member(s)
- ◆ Program staff
- ◆ Other stakeholders
- ◆ Member supervisor(s) from partner organization(s)

1. Has the lead agency developed a written plan of how program services will be sustained beyond AmeriCorps funding? If not, what is the time line for the lead agency to develop a written plan?
2. Who is specifically responsible for coordinating the development of the sustainability plan?
3. Are key stakeholders aware of the requirement to develop and implement a sustainability plan? If so, how were key stakeholders made aware of this requirement?
4. Has the program sustainability workgroup been established? Who are the Members and how frequently does the group meet?
5. What is the primary strategy or means for the community to sustain services beyond AmeriCorps funding?
6. What agency or entity will be primarily responsible for implementing or coordinating the provision of services beyond AmeriCorps funding?
7. Describe the progress to date in the development or implementation of a sustainability plan?
8. Does the program’s sustainability plan include fundraising efforts? If so, who is responsible for fundraising activities?
9. Does the program’s sustainability plan include a role for members? If so, what is the member’s role and are member activities in accordance with the AmeriCorps Provisions?

Program Service Sustainability Follow-Up and Support

Ask program staff the following question: Do you need more information about or support in developing or implementing your sustainability plan?

Volunteer Florida Recommendations:

Program Technical Assistance & Compliance Review Checklist

Program Staff should have copies of the following available on the first day of the visit. Program Consultants should review this information and keep required documentation in the program's official Volunteer Florida Contract File

- Member Contract (including Grievance Process)
- Member Orientation Agenda
- Member Timesheets/Activity Log
- Member Position Description
- Staff Timesheet/Activity Log
- Position Description for all designated AmeriCorps staff
- Sample Partner Site Agreement
- Member Training Schedule/Calendar
- Most recent Sustainability Plan
- List of Community Partners
- Contact Information for Agency Board Members
- Lead Agency Organizational Chart
- Copy of Lead Agency Statement of Drug-Free Workplace
- Data to support program previous progress report (Identified by Program Consultant prior to visit)
- Copy of Stakeholder Survey
- Copies of member payroll records for time period identified by the Program Consultant prior to the visit
- Sustainability Workgroup Contact List

Program Technical Assistance & Compliance Review Instrument EXIT MEETING

End the visit with an exit meeting with key staff. During this meeting, review findings as follows:

1. Program Strengths:
2. Program Challenges:
3. Technical Assistance, Training, or Information Needed by Program:
4. Findings Requiring Immediate Action by Program: