



SERVE OHIO
Ohio Commission on Service and Volunteerism



Starting Strong: 2014-15 AmeriCorps Program Orientation

August 4-5, 2014

Wi-Fi Username:

Password:



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Ohio Commission on Service and Volunteerism



WELCOME!

- Welcome
- Introductions
- Review Agenda
- Housekeeping



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Introduction to ServeOhio and National Service

Connecting to a National Network



Objectives

- Gain a better understanding of national service;
- Learn about ServeOhio, Ohio's commission on service and volunteerism;
- Learn about resources available to help you and your members with their service.



History of National Service

- National Service has a long history in the United States.
- National Service has generally enjoyed bipartisan support in the United States.
- To learn more about the history of National Service, [go here](#)
- www.nationalservice.gov



A National Movement

- Individuals from cultures, communities, and with different experiences and expectations are coming together to give a year (or more) of their life in service to others.
- AmeriCorps member experiences are transformative for themselves and those served.
- President Bill Clinton signs the National and Community Service Trust Act of 1993, creating AmeriCorps and the Corporation for National and Community Service to expand opportunities for Americans to serve their communities.



Corporation for National & Community Service

- The mission of the Corporation for National and Community Service is to improve lives, strengthen communities, and foster civic engagement through service and volunteering.
- Led by Wendy Spencer, CEO and a Board of Directors, appointed by the President.
- To learn more about CNCS, [click here](#).



Edward M. Kennedy Serve America Act

- The 2009 Serve America Act has placed National Service and Volunteerism on a significant path of growth and impact.
- Introduces new provisions that will encourage greater numbers to serve, addressing the significant challenges faced by individuals and communities in the U.S.
- To learn more about the Edward M. Kennedy Serve America Act, [click here](#).



AmeriCorps National Service Programs

- AmeriCorps State & National
- AmeriCorps VISTA
- Senior Corps
 - Foster Grandparents Program
 - Retired Senior Volunteer Program (RSVP)
 - Senior Companions Program
- National Civilian Conservation Corps (NCCC)

[Learn More](#)



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ServeOhio, Ohio's Commission on Service and Volunteerism

- ServeOhio was established in 1994 to administer Ohio AmeriCorps grants under the federal AmeriCorps program to promote and to promote volunteerism throughout the state.



Funding Relationship





About ServeOhio

- Funding
 - State GRF
 - CNCS
 - Leverage federal, state, and private dollars to operate and fund AmeriCorps State programs.
- ServeOhio's Board of Commissioners is made up of 13 appointees of the Governor and 8 state agency/legislative representatives.
 - The Board approves the annual operating budget, sets overall priorities in an annual work plan, and approves funding awarded to sub-grantees.
 - William Russell is the current Chair.



ServeOhio Objectives

- Administer the AmeriCorps State grant funded programs.
- Promote and encourage volunteer engagement through such initiatives as the National Days of Service.
- Recognize volunteerism through the ServeOhio Volunteer Awards.
- Convene and host the annual Ohio Conference on Service and Volunteerism.
- Encourage and develop strategies to engage individuals with disabilities.
- Develop and actively participate in partnerships that strengthen communities and expand volunteer participation.



Ohio AmeriCorps

- The 2014-2015 Ohio programs have nearly 800 AmeriCorps State members.
- In total, more than 1300 AmeriCorps members will be placed in Ohio through AmeriCorps State, AmeriCorps National, and AmeriCorps VISTA programs.
- AmeriCorps members in Ohio and across the country are focusing their service in the areas of education, health, environment, veterans, and economic opportunity.
- The current program directory can be found at www.serveohio.org



Resources

- [Ohio AmeriCorps Program Director Resources](#)
- [National Service Knowledge Network](#)
- [Ohio Commission on Service and Volunteerism \(ServeOhio\)](#)
- [OnCorps](#)
- [eGrants](#)
- [Corporation for National & Community Service](#)
- [Edward M. Kennedy Serve America Act](#)
- [My AmeriCorps Tutorial](#)
- [National Service in Ohio \(descriptions of streams of service\)](#)
- [Captain AmeriCorps Lingo](#) - video
- [Elevator Speech Tips](#) - video



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PROVISIONS

2014 AmeriCorps Grant Provisions

- Changes from 2013 AmeriCorps Grant Provisions (12 items)

2014 Ohio AmeriCorps Supplementary Provisions

- Changes or updates from 2013 Ohio Supplementary Provisions (13 items)



PROGRAM ADMINISTRATION

| | 2014 AmeriCorps Grant Provisions | 2014 Ohio Supplementary Provisions |
|--|---|---|
| Program Administration | Section III D page 3 F page 4 | Section 1 1.1 page 1 through 1.7 page 3 |
| Special Provisions, Meetings & Member Management | Section IV A page 4 through H page 15 | Section 2 2.1 page 3 through 3.8 page 6 |



Member Prohibited Activities

- List of prohibited Activities required in the member contract and the host site agreements regulation 45 CFR § 2520.65- make sure list in member contract is up to date.
- Training for member and host site supervisors
- Directly or indirectly
- Non-AmeriCorps time or private time



Programmatic Compliance

2014 AmeriCorps Grant Provisions

- I. eGrants member enrollment-Section IV.C.1
- II. eGrants service locations-Section IV.C.4
- III. Section IV.D.6

2014 Ohio AmeriCorps Supplementary Provisions

- I. eGrants & OnCorps member enrollment & time keeping-OSP 3.4 through 3.6.1



Member Enrollment/Refill Policy

- Required documentation prior to enrollment
 - NSOPW, BCI & FBI, Member Contract, Birth Certificate, Gov. ID, SSN
- Assigning members to service locations
- 15 day requirement for eGrants and OnCorps
- 30% refill policy
- Prorated education award



Member Timesheets

- Approval is required by the 15th of the following month
- Batch approval
- Unless otherwise noted member hours should be approximately 40 hours a week or less for full time members
- Compliance officer completes a monthly check in OnCorps and eGrants



Criminal Background Checks

2014 AmeriCorps Grant Provisions

- I. Section IV.H.4 specified at [45 CFR § § 2540.200-207](#)

2014-2015 Ohio AmeriCorps Supplementary Provisions

- I. OSP 3.1



Criminal Background Checks

- National Service Knowledge Network
http://learning.nationalserviceresources.org/pluginfile.php/27536/mod_resource/content/1/chc/chc.htm
- National Sex Offender Public Website
<http://www.nsopw.gov/?AspxAutoDetectCookieSupport=1>
- Criminal Background FAQ's
https://www.nationalserviceresources.gov/files/faq_chc_final_20131122_0.pdf



Member Documentation

- Collect all eligibility documentation **prior** to member start
 - NSOPW
 - Criminal background check FBI/BCI
 - Copy of birth certificate or passport
 - Copy of driver's license or state id
 - Copy of SS card
 - **Copy of Marriage License



Financial & Grants Management Provisions Compliance is not Optional!

| | 2014 CNCS AmeriCorps Grant Provisions | 2014-15 Ohio AmeriCorps Supplementary Provisions |
|---|--|--|
| Responsibilities-Grant & Program Administration | Section V.A.1. – p.18 | Section 1.1, 1.1.2 – pp. 1 & 2 |
| Subawards | Section V.A.2, NA – p.18 | Section 1.1.1 – p.1 |
| Notify ServeOhio – Misconduct Fraud, Waste, Abuse | Section V.A.3. – p. 19 and V.D. (NEW) NA – p.20 | Section 1.2 – p.2 |
| Whistleblower Protection | Section V.E. (NEW) – p. 21 | OCSV Guidance/Handout |
| Grant Period | Section IV.K., NA – p.18 | Section 1.4 – p.2 |
| Budget/Fiscal Procedures Fixed Awards – NA | | Section 4.1 – p.6 |
| Match Requirements | | Section 4.2, 4.3 (NEW) , 4.3.1, 4.3.2 – pp. 6 & 7 |
| Budget Changes Fixed Awards – NA | Section IV.I.3, IV.I.4 & IV.I.5. – p.16 | Section 4.4, 4.4.1, 4.4.2 – p. 7 |



Financial & Grants Management Provisions Compliance is not Optional!

| | 2014 CNCS AmeriCorps Grant Provisions | 2014-15 Ohio AmeriCorps Supplementary Provisions |
|---|--|---|
| NOGA – Required Doc’s | | Section – 4.6, p.7 |
| Request for Funds | | Section 4.7, 4.7.1, 4.7.2, 4.7.3 – pp. 7 & 8 |
| Reporting Requirements Fixed Awards – NA | Section IV.J. – NA, p. 16 | Section 5.1, 5.2, 5.3, 5.3.1, 5.5 5.3.2 – p. 8 |
| Failure to Report | Section V.J. – p. 23 | Section 5.6 – p. 9 |
| Financial Standards | Section V.B.1. – p. 19 | OCSV Financial Monitoring (Fixed Awards – NA) |
| Audits | Section V.B.3. – p. 19 | OCSV Audit Review |
| Member Living Allowance Distribution | Section IV.G.1. – p. 11 | OCSV Guidance |



Activity Reporting Requirements 2014-2015 CNCS AmeriCorps Provisions IV.G.1. Living Allowance Distribution

If a member serves all required hours and is permitted to conclude his or her term of service before the originally agreed upon end of term, the grantee may not provide a lump sum payment to the member. Similarly, if a member is selected after the program's start date, the grantee must provide regular living allowance payments from the member's start date and may not increase the member's living allowance incremental payment or provide a lump sum to make up any missed payments.



Member Living Allowance Highlights

- A living allowance is not a wage
- Not paid on an hourly basis (may be prorated by days)
- Paid in regular increments, such as weekly, bi-weekly, monthly
- Payments should not fluctuate based on number of hours served in a particular time period
- **Payments can only be held if member is suspended**
- *Payments must cease when a member concludes a term of service.*



Member Living Allowance Distribution OCSV Guidance

Establish a written policy that is reasonable and followed consistently:

- Outlining your practice of distributing the living allowance for FT and less than FT members, including HT members serving in a FT capacity; and
- For members who come on late or exit early. For example, if members are paid on a monthly basis and a member comes on board within the first two weeks of the month, you might set policy that gives them the entire living allowance. If they start service later than that, you could prorate the amount based on the number of days (not hours) in the month they will serve. The same would hold true for the end of service. If they leave within the first two weeks of the month, their living allowance is based on the number of days in the month they served. If they serve over the 2-week cut-off, they would get the full living allowance. You can establish different cut-off points as long as they are reasonable, documented in policy, and followed consistently.



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Questions





Types of Monitoring

- **Documentation Review**
- **Site Visits**
- **Monitoring Visits**
- **Desk Reviews**



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Purpose

ServeOhio conducts monitoring and review activities to ensure compliance with all grant provisions as well as to provide technical assistance to program development, implementation, and evaluation.



Risk Based Monitoring Assessment

- **New operational and new planning grants are automatically assigned a level of high risk and monitored according to guidelines set forth.**
- **Program Self Assessment & Financial Management Survey are required.**
- **New programs may have limited information to provide on the Program Self Assessment Survey.**



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Documentation Review Programmatic

- **OnCorps-Monthly**
- **eGrants-Monthly**
- **Random member file check**



On-Site Monitoring Programmatic

- **At least 15% of the AmeriCorps member service files are reviewed for compliance.**
- **Reporting and tracking systems are reviewed.**
- **Sampling of required documents for programs are reviewed.**
- **Discussion with members.**
- **Discussion with board members or partners.**
- **On-site visit exit discussion.**



Monitoring Follow-Up

- **Sub-grantee provided a checklist which highlights the programmatic and financial results of the review.**
- **5-30 days for correction, if there are findings.**
- **Feedback report will highlight the visit and provide any additional steps needed.**
- **Non-compliance status if not all requirements met and potential disallowable cost.**



Desk Review (Programmatic)

- **A Desk Review may be conducted as a follow-up to an On-site Monitoring Review the previous year in which there were findings, as a result of scoring in the 'medium' risk category, or if periodic documentation reviews indicate some administrative issues.**
- **A Desk Review involves the same documentation review as an On-site Monitoring Review-15% of member file documentation, sampling of required documents, and review of reporting and tracking systems.**
- **Monitoring Follow-up of a Desk Review will follow the same steps as an On-site Monitoring Review-**
- **Sub-grantee will be provided a checklist that highlights the results of the review.**
- **5-30 days for correction, if there are findings.**
- **Non-compliance status if not all requirements met and potential disallowable cost.**



Site Visit

- **All programs will receive a monitoring visit and may receive a site visit.**
- **Purpose is to provide technical assistance, strengthen relationships and ensure progress towards goals.**
- **Meeting with program director/coordinator, visit to host site, interaction with AmeriCorps member(s) and/or service recipients.**



Site Visit

- **Follow-up letter will be provided within 30 days and include the following:**
 - Program successes
 - Program challenges
 - Reflection on member direct service activities
 - Non-compliance issues



AmeriCorps Member Management

2014 AmeriCorps Grant Provisions

- Section IV.C-H pages 6-15

2014 Ohio AmeriCorps Supplemental Provisions

- OSP- 1.1.2 page 2
- OSP- 1.5 page 2
- OSP 3 in it's entirety with the exception of 3.1, 3.4-3.6 discussed in Criminal Background Checks and Compliance



Member Documentation

- Member contract signed prior to member start
- Publicity released signed prior to member start
- W4 form prior to member start
- Election/Decline health care prior to member start
- Election/Decline child care prior to member start



Member Management

- Train members on My AmeriCorps functions and OnCorps timesheets & reporting
- Train members on education award, living stipend, health insurance, forbearance and interest accrual on qualified loans
- Train member on prohibited activities
- Program expectations



Member Management

- Timesheet management, hours served per week, keeping track of progress of hours, corrective action for members being behind on hours, suspensions, AWOL, absences, and performing service as assigned.



Validation

- SSN Validation Process
- Citizenship Validation

Programs must check this status in eGrants and make sure members are validated. If not validated, click on the question mark and follow the instructions.



Validation

The screenshot shows a web browser window with the URL <https://my.americorps.gov/grantee/member/member.do?nsPID=945134>. The page is titled "Member Home" and displays the profile information for Jessica Chadwell.

Member Information

Name: Jessica Chadwell **Date of Birth:** 10/23/1987

Preferred Name: [Redacted]

Member ID: 945134 **Username:** jc165007

SSN: *****3309 **E-mail:** jc165007@ohio.edu

SSN Status: Verified-08/16/2013 **Citizenship Status:** Verified-08/16/2013

U.S. Veteran: [Redacted] **Transfer Eligible:** N

Current Mailing Address: 7907 Conrad Rd, St.Paris, OH 43072 - 9457

Permanent Address: 7907 Conrad Rd, Saint Paris, OH 43072 - 1717

Preferred Phone: 937-925-2554

Other Phone: [Redacted]

Preferred Method of Communication: [Redacted]

[edit member info](#)

Service Information

| Program | Organization | City/State | Service Start | Service End | |
|--------------------------|-------------------------------|--------------|---------------|-------------|----------------------|
| STATE - AmeriCorps State | Ohio University | Athens, OH | 08/01/2013 | 06/30/2014 | view |
| VISTA - AmeriCorps VISTA | Ohio Association of Foodbanks | Columbus, OH | 06/20/2011 | 08/14/2011 | view |

508 Approved | Contact Help Desk
Last updated: Wednesday, May 28, 2014, 01:56 PM
Release version: 5.10



Road Blocks and Set Backs

- What can keep a program from being compliant?
- Technical assistance
- Things to consider
- When in doubt-what should you do?



Member Benefits

- Living Stipend
- Education Award
- Schools matching the Ed. Award
- Forbearance and Interest Accrual
- Health Insurance
- Child Care
- Professional Development



No Members Benefit

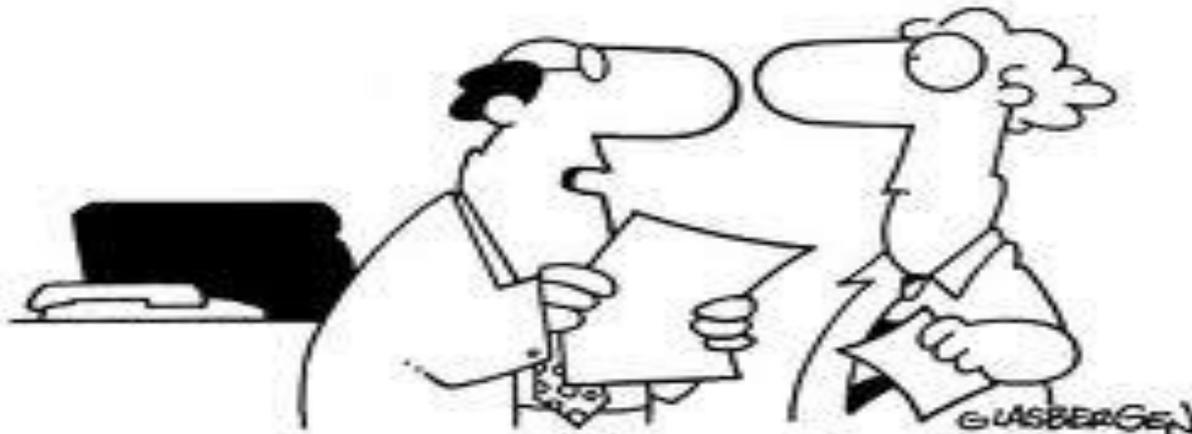
- Unemployment
- Bonus and gifts
- Hours accrued holidays-unless actually serving
- Serving from home
- Lump sum payout
- No federal status
- School closings/vacation



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Compliance



“I want the public to think of us as ‘The Company With A Heart’. But I want you to think of us as the company that will chew you up, spit you out and smear you into the carpet if you screw up.”



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Final Thoughts or Questions?

See you tomorrow morning at 9:00 AM
– OSU and Starfire start at 8:30 AM

Have a great evening!



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Day Two: Welcome Back!

Questions so far?





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AmeriCorps Sub-Grant

Financial & Grants Management 2014-2015



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GOAL

**To Learn the Basic Financial and Grants
Management Responsibilities of an
Ohio AmeriCorps Sub-Grant Program**



AGENDA

- Primary Documents: Your Responsibilities
- Financial Reporting: Periodic Expense Report
- Requesting Funds: The Payment Process
- Audits
- Grants & Financial Management
- Wrap Up / Q & A



Primary Documents: Knowing Your Responsibilities

- Application Guidelines and Instructions
- Notice of Funding Opportunity
- Provisions (Ohio and CNCS)
- Approved Application and Budget (eGrants)
- The Notice of Grant Award:
 - Grant Terms & Conditions
 - Approved Budget & Match Requirements



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Knowing Your Responsibilities

- New Vendor
- FMS



Notice of Grant Award (page 1)

Award Information:

- **DUNS # (NEW)**
- **Agreement Number**
- **Grant Amount**
- **CFFA Number (94.006) AmeriCorps (NEW)**
- **Program Year (2014-15)**
- **Grant Type (Competitive, Formula, Fixed)**
- **Project Start Date Project End Date (NEW)**



Notice of Grant Award (page 1)

Award Description:

AmeriCorps members and Member Service Years (MSY)

| FT | HT | QT | Total Slots | Total MSY |
|----|----|----|-------------|-----------|
|----|----|----|-------------|-----------|

Special Conditions

*Minimum Match Requirement

*Voluntary Cost Share (budgeted match)

Notice of Grant Award (page 2)

2. Term of Award

This Award shall commence _____

3. Sub-Grantee Project Year

Begins on the Project Start Date and ends 12 months later or upon completion of all member terms of service* (*No Cost Member Extension – see next slide)

- Charges to grant start on the Project Start Date
- Grant funds cover Member Service Costs the entire Project Year
- Grant funds cover all other costs the first 12 months of the Project Year

4. Availability of Funds

Competitive funded programs – may spend 99% of award; 1% is retained by ServeOhio

Formula funded programs – may spend 98% of award; 2% is retained by ServeOhio



Sub-Grantee Project Year Spending Example – August Start Program

| | |
|---|---|
| Sub-Grantee Project Year | 8/1/14 – 7/31/2015 |
| Member Living Allowance and Support Costs | 8/1/14 – 7/31/15 or completion of all member service terms* |
| All Other Costs (1 st 12 months) | 8/1/2014 – 7/31/2015 (covered by grant) |
| Grant Reconciliation | 10/15/2015 |

***No-Cost Member Extension** – Extend end date of grant and continue to pay member costs only beyond Project End Date



OnCorps

- OCSV initiates Sub-grantee/Program Director access
- Program Director assigns access for sub-grantee staff, members, host sites, etc.
- Submit Approved eGrants Budget in OnCorps
- Submit PERs and any Budget Modification Request(s) in OnCorps



Financial Reporting Forms Basic “rules” for all forms

- **Financial Reports** - submit in OnCorps and on-time
 - *Late reports are recorded for consideration in grant renewal process

1st document due: Approved eGrants Budget (must be submitted before PERs may be submitted)



Periodic Expense Report (PER)

- Shows federal and match expenditures according to budget category, by line item
- Shows match percentage being met
- Required Quarterly (see AmeriCorps Reporting Periods & Due Dates for schedule) **and** in conjunction with a Request for Funds
- First Report due in OnCorps 10/15/2014 for the period ending 9/30/2014



**Ohio Commission on Service and Volunteerism
Financial Reporting Periods & Due Dates
Periodic Expense Report (PER)
Grant Year: 2014-2015**

| Reporting Period | Due Date |
|-------------------------|-----------------|
| Grant Start – 9/30/14 | 10/15/2014 |
| 10/1/2014 – 12/31/2014 | 1/15/2015 |
| 1/1/2015 – 3/31/2015 | 4/15/2015 |
| 4/1/2015 – 6/30/2015 | 7/15/2015 |
| 7/1/2015 – 9/30/2015 | 10/15/2015 |

Annual Grant Reconciliation – 10/15/2015



Request for Funds (RFF)

- ✓ Contains “Financial Snapshot”
- ✓ May submit monthly (every 30 days); if so, in conjunction w/PER
- ✓ May draw funds one month in advance, as allowed by OMB
- ✓ Use on-line RFF form on our website at serveohio.org; submit via regular mail (no fax or email)
 - *Typed, accurate and mathematically correct (tie to PER)
 - *Include an original signature



**AmeriCorps Sub-Grant Program
REQUEST FOR FUNDS**



Instructions: Use this form to request payment of funds from your AmeriCorps formula or competitive sub-grant. You may draw funds equal to the year-to-date federal expenditures (Total CNCS YTD) reported on your most recent monthly report in OnCorps, plus an estimate of spending for the present month. The amount shown on Line 4a below must agree with reported expenditures in OnCorps. Enter data and tab between fields; shaded fields will self-calculate.

Grant Award#

Amount of This Request

Project Title

Sub-Grantee Name and Address:

Program Year:

 2013-14

 2014-15

Final Request this Program Year?

 Yes

 No

Reflects OnCorps Reports for Budget
Period (use OnCorps Report Date):

Date



| Financial Snapshot | (a) | (b) | (c) | (d) |
|---|-------------|-----|-------------|--------------|
| 1d. Amount of Grant | | | | \$266,000.00 |
| 2c. Prior Requests for Funds | | | \$0 | |
| 3d. Grant Balance Available (1d - 2c) | | | | \$266,000.00 |
| 4a. OnCorps Expenditures-Total CNCS YTD | \$20,000.00 | | | |
| 4b. Projected Outlays- Current Month | | \$0 | | |
| 4c. Total Outlays this Report (4a + 4b) | | | \$20,000.00 | |
| 5c. Projected Cash Position (2c - 4c) | | | \$20,000.00 | |
| 6d. Amount This Request | | | | \$20,000.00 |
| 7d. Grant Balance Remaining (3d - 6d) | | | | \$246,000.00 |

Certification: (Must be signed by an officer of the Sub-Grantee agency or its fiscal agent.)

I certify that the estimates and amounts shown above are accurate and do not exceed the grant award. All grant expenditures have been recorded and reported according to generally accepted accounting principles, OMB Circulars, and the grant provisions. I understand that federal cash requested on this form must be used only to support the AmeriCorps project, and that federal cash management rules forbid requesting cash in excess of what can be used within a reasonable period, which for this project is defined as thirty (30) days.

Signature

Date

Typed or Printed Name and Title

Phone

Council Approval

Date

Commission Use Only:

-----VOUCHER ID----- -----VENDOR#-----



W | RFF Print Version for slides2 - M | Table Tools | Design | Layout

File | Home | Insert | Page Layout | References | Mailings | Review | View | Developer

| Financial Snapshot | (a) | (b) | (c) | (d) |
|---|-------------|-------------|---------------|--------------|
| 1d. Amount of Grant | | | | \$266,000.00 |
| 2c. Prior Requests for Funds | | | \$20,000.00 | |
| 3d. Grant Balance Available (1d - 2c) | | | | \$246,000.00 |
| 4a. OnCorps Expenditures-Total CNCS YTD | \$25,000.00 | | | |
| 4b. Projected Outlays- Current Month | | \$25,000.00 | | |
| 4c. Total Outlays this Report (4a + 4b) | | | \$50,000.00 | |
| 5c. Projected Cash Position (2c - 4c) | | | (\$30,000.00) | |
| 6d. Amount This Request | | | | \$30,000.00 |
| 7d. Grant Balance Remaining (3d - 6d) | | | | \$216,000.00 |

Certification: (Must be signed by an officer of the Sub-Grantee agency or its fiscal agent.)

I certify that the estimates and amounts shown above are accurate and do not exceed the grant award. All grant expenditures have been recorded and reported according to generally accepted accounting principles, OMB Circulars, and the grant provisions. I understand that federal cash requested on this form must be used only to support the AmeriCorps project, and that federal cash management rules forbid requesting cash in excess of what can be used within a reasonable period, which for this project is defined as thirty (30) days.

Signature

Date

Typed or Printed Name and Title

Phone

Council Approval

Date

Commission Use Only:

www.serveohio.org

VOUCHER ID _____ VENDOR# _____

Strengthening Ohio Communities through Service and Volunteerism.



***OCSV Sub-Grantee Payment Process**

**Sub-grantee: Submits Request for Funds (RFF) to OCSV
(and PER in OnCorps)**

**AmeriCorps Grants Officer: Reviews PER and Request,
Approves payment, Updates internal spreadsheet, Enters
request (creates voucher) in state accounting system**

**Director, Finance & Operations: Reviews voucher, Verifies
encumbered funds for grants, Authorizes payment
Requests money from CNCS through electronic draw down**

**State Budget/Management Office: Processes payment, EFT
direct deposited to appropriate bank account, Deposit
verification mailed to Sub-grantee**

***The entire process, from receipt of sub-grantee request to issuance of EFT generally takes four weeks or less.**



Required Documents Knowing Your Responsibilities

Audit Submission: A-133 or Elective

- Due 9 months after FY end date
- May submit via email



Financial Monitoring Purpose

- To ensure compliance with all grant rules, regulations and requirements
- Safeguard Federal funds against fraud, waste and abuse
- Help identify actual and potential issues
- Identify TA and training needs
- Ensure follow-up on issues and corrective actions



Financial Monitoring Methods

- ✓ Financial Management Survey
- ✓ Risk Based Assessment (application-new & award-continuing)
- ✓ Monitoring Strategy

- PER – Quarterly
- On-Site Visit (all new operational; continuing based on Risk Assessment)
- Desk Review
- Transaction Detail Review (Planning Grants)



Financial On-Site Monitoring Areas to Review

- **Financial systems**
- **Grant and Match expenditures**
- **Matching in-kind contributions**
- **Financial reports**
- **Accounting policies and management procedures**
- **Internal controls**
- **Staff timesheets**
- **Member stipend distribution**
- **Exit discussion**



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QUESTIONS





Finance & Grants Management Federal Awards

GOAL

- To identify common audit findings and potential problems to avoid to comply with the financial requirements of operating an effective AmeriCorps program.



Finance & Grants Management Policy, Procedure and Regulation Compliance

- Your organization must abide by a set of requirements and policies once you accept federal money

Compliance is not optional!

- Consequences for non-compliance vary depending on the nature and severity of the non-compliance. For example, late reporting may result in a loss of funding or failure to document costs may result in disallowable costs and sub-grantee having to repay funds.



Solid Financial Management

- All required financial systems, policies, procedures, and separation of duties are in place and followed.
- Consistent checks and balances are established and followed.



Solid Financial Management

The organization's accounting system must:

- Be able to document and verify all costs – grant and match, cash and in-kind.
- Record financial transactions by budget line item and program year.
- Distinguish between federal and non-federal funds.
- Distinguish between match and grant funds – establish appropriate account numbers so both AmeriCorps federal funds and matching funds are reported separately in the accounting system.



Solid Financial Management

The organization must:

- Regularly reconcile budget to actual expenditures, as required by OMB A-110 Circulars, and tie to PER.
- Keep a clear audit trail that properly documents and records expenses.
- Retain thorough/complete documentation that supports all expenditures and in-kind matching funds.
- Retain time and activity reports that support staff time spent on the grant (and other activities if less than 100% AmeriCorps).
- Segregate financial responsibilities (proper internal controls).
- Complete staff Criminal History Checks on-time and maintain appropriate documentation.
- Submit required financial reports and audits on-time.
- Maintain and follow written policies and procedures.

Accounting systems and internal controls must be adequate to report grant expenditures and management controls must be sufficient to safeguard Federal funds.



Financial System Necessities

Chart of Accounts (COA)

Must have the ability to distinguish federal funds from all other organizational funding and must include matching funds. The COA should be representative of the general ledger.

Internal Controls

- An integral part of a sound financial management system.
- Are a set of procedures and cross checks that minimize misappropriation or misstatement of assets.
- Properly established internal controls leads to reliable financial reporting, safeguarding of assets and compliance with management policies and grant regulations.



Examples of good internal controls

- *Follow written policies and procedures (required by OMB A-110) – review annually, include detailed information on all financial management and accounting practices, including*
- *Segregation of duties- the same employee should not authorize a purchase, sign the check and record the purchase in the accounting system; the same employee should not receive money, deposit the money and record the receipt in the accounting system.*
- *Adequate review process for financial reports and budgets*
- *Adequate cash management procedures*
- *Monthly bank reconciliations*
- *An established financial system to track/reconcile members' and staff time and activities*
- *A system to follow-upon problems identified to ensure resolution*



Common Audit Findings

Potential Problems to Avoid

- Budget Allocations in incorrect program year
- Account Reconciliation - records don't reconcile with general ledger (and PER)
- Inadequate time and activity records for grant staff (not applicable to Fixed-Amount Grants)
- Inadequate processes for Host Site Monitoring (in-kind time)
- Inadequate or no Documentation
 - Federal Expenditures
 - Match (cash and in-kind)
- Inadequate financial systems and internal controls
- Lack of Written Policies and Procedures

- Findings from OIG audits were common in audits conducted of CNCS grants between 2010 and 2013



Common Audit Findings

Budget Allocations

Sub-grantees charge costs in one grant that are actually carried out in a succeeding budget period in a new grant. For example a sub-grantee issues a contract for an evaluation late in the budget year for activities the evaluator will complete in the succeeding year under a new grant. Evaluator payments span both grants.

Findings from OIG audits were common in audits conducted of CNCS grants between 2010 and 2013



Common Audit Findings

Budget Allocations

Corrective Actions

- Review Budget to actual expenditures on a monthly basis.
- Ensure you incur/charge the costs to the correct grant or budget period.

Potential Consequences

Auditors question the costs as unallocable to the grant and ServeOhio/CNCS typically would disallow them during audit resolution.



Common Audit Findings

Account Reconciliation

Sub-grantees are not reconciling expenditures in their accounting systems/general ledger to amounts claimed on their financial report.

The amount on the Periodic Expense Report (PER) does not match the accounting records.

Potential Consequences

CNCS/ServeOhio must disallow costs if the sub-grantee cannot reconcile the difference between what the accounting system demonstrates as expended and what the PER reports.



Common Audit Findings Account Reconciliation

Corrective Actions

- Create, implement and follow written procedures to conduct a regular reconciliation between the PER and the accounting system
- If different offices or individuals prepare the reports, ensure they communicate with each other and reconcile differences

Findings from OIG audits were common in audits conducted of CNCS grants between 2010 and 2013



Activity Reporting Requirements **Documentation of Staff Time-Keeping** **(see OMB Circulars for your type of organization)**

- Signed time and attendance records must support salaries and wages charged to the grant or to matching funds for all employees regardless of position and by documented payrolls.
- All salaries and wages chargeable between this grant and other programs or functions must be supported by signed time and attendance records appropriately distributing the individual's time to the different programs or functions.
- Fixed-Amount Grants are exempt from timekeeping requirements

(see www.serveohio.org AmeriCorps Program Directors Resources, time and Attendance Report Sample))



Common Audit Findings

Staff Time-Keeping/Time & Attendance

- Staff allocating time to more than one grant are not keeping timesheets that show actual time spent on each grant. The project director's time does not allocate time between two different grants. The timesheet only records hours worked vs. vacation, sick and other leave.
- Subgrantees charge salaries to a grant based on budgeted amounts instead of actual after-the-fact time reported on timesheets. For example, subgrantee budgets for 20% of a staff member, claims 20% of the staff time, but timesheets support only 18%.

Findings from OIG audits were common in audits conducted of CNCS grants between 2010 and 2013



Common Audit Findings/Corrective Actions

Staff Time-Keeping/Time & Attendance

Ensure timesheets record hours by activity or cost center to track the actual time spent on each grant and clearly understand and follow the requirements of the OMB Cost Principles.

Manual or Electronic

Time and Attendance Records must:

- Account for the total activity of each employee and cannot account for time spent on AmeriCorps only, if less than 100%.
- Be signed/dated by the employee or the employee's supervisor and kept on file. Must include a Certification Statement.
- Be completed after the fact.

- Be **based on actual, not budgeted** time. Organizations must show they are charging appropriate grants based on time and activity data, as opposed to charging grants based on budgeted time.

- Be prepared at least monthly, and coincide with one or more pay periods.

Above applies to Non-Profits; Rules for State and Higher Ed subgrantees vary to some degree.

Fixed-Amount Grants are exempt.



Common Audit Findings/Corrective Actions Staff Time-Keeping/Time & Attendance

Electronic Timesheets

- Electronic timesheets are allowed when a sub-grantee:
- Has an established, written policy establishing the use of electronic timekeeping systems
- Has a secure, verifiable electronic signature system that:
 - Identifies and authenticates a particular person as the source of the electronic signature, and
 - Indicates such person's approval of the time; and
- Does not allow changes to the electronic record once appropriate electronic signatures have been applied unless there is a clear, auditable record of the revision



Potential Consequences

Entire claimed salaries and wages over the course of the grant may be disallowed

OCSV Recommends:

Subgrantees review CNCS Staff Timesheets: Requirements and Issues Training at

<https://www.nationalserviceresources.gov/staff-timesheets-requirements-and-issues#.U9fEqvldVyw>



Activity Reporting Requirements - Members

2014-2015 CNCS AmeriCorps Provisions

IV.G.1. Living Allowance Distribution

If a member serves all required hours and is permitted to conclude his or her term of service before the originally agreed upon end of term, the grantee may not provide a lump sum payment to the member. Similarly, if a member is selected after the program's start date, the grantee must provide regular living allowance payments from the member's start date and may not increase the member's living allowance incremental payment or provide a lump sum to make up any missed payments.



Member Living Allowance Highlights

- A living allowance is not a wage
- Not paid on an hourly basis
- Paid in regular increments, such as weekly, bi-weekly, monthly
- Payments should not fluctuate based on number of hours served in a particular time period
- **Payments can only be held if member is suspended**
- *Payments must cease when a member concludes a term of service.*



Member Living Allowance Distribution Example

Set up Stipend Distribution Increments
(over length of service)

2014-15 Member Living Allowance (FT)
(member term of service is 12 months/paid
semimonthly over 24 pays):

1 member x 24 pays @ \$504.16/pay for a total **up to**
\$12,100



Member Living Allowance Distribution OCSV Guidance

Establish a written policy that is reasonable and followed consistently:

- Outlining your practice of distributing the living allowance for FT and less than FT members, including HT members serving in a FT capacity; and
- For members who come on late or exit early. For example, if a member comes on board within the first two weeks of the month, you might set policy that gives them the entire living allowance. If they start service later than that, you could prorate the amount based on the number of days (not hours) in the month they will serve. The same would hold true for the end of service. If they leave within the first two weeks of the month, their living allowance is based on the number of days in the month they served. If they serve over the 2-week cut-off, they would get the full living allowance. You can establish different cut-off points as long as they are reasonable, documented in policy, and followed consistently.



Activity Reporting Requirements

Match Cash and In-kind

- Have the same requirements and standards of documentation as Federal expenditures.
- The budgeted match must be met, documented, reasonable and use of Other Federal Funds must be approved by the other funder).
- Must be supported by adequate documentation or verifiable subgrantee records.
- Host site supervisory in-kind time may be reported in OnCorps
- Match claimed must be necessary to operate the program and be incurred inside the grant period.



Common Audit Findings Match

- Subgrantees claim match that is not sufficiently supported. For example, subgrantees claim match for an activity that doesn't appear in the Approved Budget for which there is no supporting documentation, such as time and attendance records for donated staff.
- Subgrantees claim match that is excessive or substitute match for activities not in the approved budget. For example subgrantees claim a significant overmatch for donated PSAs or support for a training activity not included in the Approved Budget.

Findings from OIG audits were common in audits conducted of CNCS grants between 2010 and 2013



Common Audit Findings/Match Potential Consequences

- Undocumented, unmet or unacceptable match can reduce some or all of the allowable costs paid with Federal funds by the amount of required match not met for the program.
- Auditors may decide to audit the entire match or question the entire match based on inability to confirm whether the match is reasonable or allocable under the Approved Budget. When off-budget match appears, auditors may question the necessity of the cost.



Common Audit Findings/Match Corrective Actions

- Record all claimed match in accounting journals as both revenue and expenditure.
- Make sure claimed match is included in the budget and you maintain appropriate supporting documentation.
- Do not record match until supporting documentation is received and in hand.
- Ensure claimed match is reasonable and included in the budget (see OSP re: budget changes).



Grants Financial Management Where To Get More Information

- National and Community Service Act of 1990 –**
http://www.nationalservice.gov/sites/default/files/page/Service_Act_09_11_13.pdf

- Corporation for National and Community Service
AmeriCorps Regulations –** www.nationalservice.gov

- Ohio Supplementary Provisions –** www.serveohio.org



Grants Financial Management Where To Get More Information

OMB Circulars — www.whitehouse.gov/omb

Federal standards to ensure grants are managed properly and funds spent in accordance with applicable laws and regulations. (See Circular for your type of organization.)

| | State & Local Governments | Educational Institutions | Nonprofit Organizations |
|-----------------------------|---------------------------|--------------------------|-------------------------|
| Cost Principles | A-87 | A-21 | A-122 |
| Administrative Requirements | A-102 | A-110 | A-110 |
| Audit Principles | A-133 | A-133 | A-133 |



Grants Financial Management Where To Get More Information

- Learning Pathways for Program Start-Up
http://s3.amazonaws.com/resource_center_video/taag/program-start-up/index.html
- National Service Knowledge Network
<https://www.nationalserviceresources.gov/>
- Financial and Grants Management Institute, April 24-25, 2012
<https://www.nationalserviceresources.gov/files/pitfalls-pp-4-13-12.pdf>
- Building a High Quality AmeriCorps Program (Financial Only)
<https://www.nationalserviceresources.gov/ac-startup#U8U8HvldVyw>



Grants Financial Management Where To Get More Information

- ❑ AmeriCorps Fiscal Manual, ServeOhio, Ohio's Commission on Service and Volunteerism, Resources for Program Directors www.serveohio.org

- ❑ Future Trainings

- ❑ OCSV AmeriCorps Grants Officer – Lisa Tope
lisa.tope@serveohio.gov, 614.728.2920



Peer Conversations

| North | Central | South |
|--|--|---|
| NEOMed | State Library of Ohio | Ohio University |
| Family & Community Services | Community Properties of Ohio | Rural Action |
| YNDC | Red Cross | Starfire |
| United Way Greater Toledo | The Ohio State University | Santa Maria |
| University Settlement | Ohio History Connection | Teach for America |
| City Year Cleveland | ESC Central Ohio | Mentoring Collaborative of Montgomery County |
| College Now Gr. Cleveland | City Year Columbus | University of Dayton |
| | Office of Criminal Justice | |
| www.serveohio.org | Ohio Association of Community Colleges | <i>Strengthening Ohio Communities through Service and Volunteerism.</i> |



Discussion Questions

- What types of professional development opportunities and service projects do you offer your members?
 - Is there an opportunity to partner with other Corps?
- How do you help members make up hours (multiple snow days, holidays, sick days, etc.)?



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Lunch!



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Performance Measures

- **Mary Cannon**, *Program Development & Evaluation Officer*



Acknowledging Stakeholders & Sponsors in News Releases and Publications

- ✓ AmeriCorps
- ✓ “ServeOhio, Ohio’s commission on service and volunteerism...”
 - ✓ All following mentions: “ServeOhio.”
- ✓ Local Supporters as Recognized by the Host Sites
- ✓ CNCS



SERVE OHIO
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Media Outlets

- Newspapers
- Television
- Radio
- Social Media
- Newsletters and Publications
- Internet/Websites



SERVE OHIO
Ohio Commission on Service and Volunteerism



Logos

- ServeOhio
- AmeriCorps
- Provisions

Non-AmeriCorps staff should always ask ServeOhio permission to use ServeOhio logos.





Example of great usage

IN THEIR OWN WORDS...



RURAL ACTION AMERICORPS MEMBER

KELLY

“There is no ‘typical’ day as a Rural Action AmeriCorps member. The variety of experiences is incredible! I’ve planned and led day camps, fixed acid mine drainage treatment systems, written successful grants, started a wildlife research project, worked with local communities and schools, gained professional certificates, and witnessed the return of 6 new species of fish to Monday creek.”

Image Courtesy of Wayne Natinal Forest





Opportunities at the Site

- AmeriCorps Logos, Signage and Clothing* (*required*)
- Introduction of AmeriCorps to Stakeholders
 - Member Testimonials
 - Presentations
- Photo Opportunities- Take lots of pictures with gear!
 - Action shots, group shots
 - Social Media
- “AmeriCorps Member for a Day”
 - Information Packet with Statistics (*Elected official-specific, where possible*)
- Sponsor Logos on Printed Materials



Corps Cohesion

- A common spirit of comradeship, enthusiasm, and devotion to the program among the members.
- The spirit of AmeriCorps emphasizes a commitment to operation as a team.
- Cooperation, mutual support; open and direct communication, a positive attitude, good humor, accountability, and compassion for those you serve.



Corps Cohesion

- Members should be enthusiastic about the AmeriCorps ideals as well as being committed to making a contribution to the community through service.



Best Practices

- Ask members regularly if they have needs, fresh ideas, problems, or concerns.
- Tie community action, projects, media events, and publications with member recognition.
- National Days of Service
- Justice Talking



National Days of Service

- **9/11 Day** – September 11, 2014
- **Make A Difference Day** – October 25, 2014
- **Martin Luther King, Jr. Day of Service** –
January 19, 2015
- **Global Youth Service Day** – April 17-19, 2015

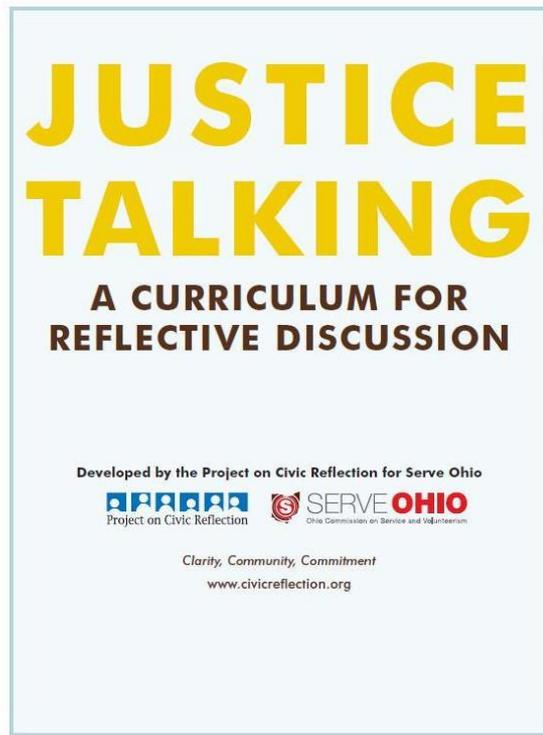


Justice Talking

- Reading and discussion program for members featuring discussions that use short philosophical and literary texts, images, videos and news articles on the nature of justice, service, and related themes.
- Partnership with Ohio Humanities Council



Justice Talking: Ohio Curriculum



1. LEADERSHIP AND RESPONSIBILITY
2. SERVING
3. POVERTY AND NEED
4. DIVERSITY AND DIFFERENCE
5. JUSTICE AND EQUALITY
6. IDENTITY AND COMMUNITY
7. MOTIVES AND VALUES
8. CHANGE



Justice Talking

- September 26th, 2013 8:00- 5:00 PM at The State Library of Ohio
- **At least one member and new staff must attend**
- Train-the-Trainer: Member Profile
 - Good Listener
 - Articulate
 - Willingness to devote extra time
 - Strong facilitator to avoid dissention
- Monthly meetings

Justice Talking: Positive Results

- “Recharged leadership”
- “Builds relationships among members”
- “Improved member development!”
- “Retention”
- “Improved and innovative curriculum.”



Justice Talking: Ways to Improve

- Conference calls do not have the same effect and prevent member cohesiveness
- Scheduling can be difficult
- Offer relief to the trained member



2014-15 Key Dates

| Date | Topic |
|--|--|
| August 4, 2014, 10:00AM – 5:00PM AND August 5, 2014 9:00AM-5:00PM | Starting the Year Strong: Orientation State Library of Ohio Conference Room D |
| September 12, 2014 12:30PM- 4:00PM (All members and program staff are required to attend) | AmeriCorps 20th Anniversary Event Capitol Theatre at the Vern Riffe Center 77 South High Street Columbus, OH 43215 |
| September 26, 2014 8:30AM- 5:00PM | Justice Talking for members and new staff State Library of Ohio Boardroom 274 E. First Avenue Columbus, Ohio 43201 |
| October 21, 2014, 8:30AM – 5:00PM | 2014 Ohio Conference on Service and Volunteerism Quest Conference Center 8405 Pulsar Place Columbus, Ohio 43240 |
| October 25, 2014 | Make A Difference Day of Service |
| Winter-Spring 2015: TBD | Regional Meeting |
| January 13, 2015, 2:00PM- 3:30PM | Winter Conference Call |
| January 19, 2015 | MLK Day of Service |
| April 2, 2015 10:00AM- 5:00PM | Spring Meeting |
| April 3, 2015 9:00AM- 12:00PM | |
| April 17-19, 2015 | Global Youth Service Day |



AmeriCorps 20th Anniversary Event

- 9/12/14 12:30- 4:00 in Columbus
 - AmeriCorps Alums Columbus hosting informal happy hour after the event.
- All members/program staff are required to attend
 - Register at www.serveohio.org by September 1st
- All members are required to wear AmeriCorps gear- grey shirts highly preferred
- All programs will have a table in the lobby- 1 or 2 members to represent programs



AmeriCorps 20th Anniversary Event

What we need from you:

- Media
 - We need your help in reaching out to local media
 - Highlighting your programs at the local level
- Pictures, 1-2 sentences about your program
- Send the invitation to your Alums



2014 Ohio Conference on Service and Volunteerism

- 10/21/14 8:30- 5:00PM at Quest Conference Center in Columbus
- Leveraging Leadership
- At least 1 Program Staff and 1 member required to attend



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Ohio Commission on Service and Volunteerism



Professional Development

- Professional Development survey coming soon
- Focus on volunteer management and increased # volunteers/capacity



Contact Information

- Mary Cannon, Program Development and Evaluation Officer
 - mary.cannon@serveohio.gov
 - 614-728-5177
- Ingyr Coleman, AmeriCorps Compliance Officer
 - ingyr.coleman@serveohio.gov
 - 614-728-5175
- Lisa Tope, AmeriCorps Grants Officer
 - lisa.tope@serveohio.gov
 - 614-728-2920
- Rebeccah Verhoff-Kiss, Outreach & Education Officer
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 - 614-995-5269



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Final Thoughts or Questions?

Thank you!