



GRANT ADMINISTRATION POLICIES AND PROCEDURES

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GRANT ADMINISTRATION

Serve DC- The Mayor's Office on Volunteerism administers Learn and Serve America, AmeriCorps, and Citizen Corps grants to non-profit community-based organizations and K-12 public schools operating in the District of Columbia. It is of the utmost importance that Serve DC's grant process is administered effectively and efficiently to ensure that the resources awarded are managed and distributed in a timely manner. In accordance with the District of Columbia government policies and procedures and the Corporation for National and Community Service's (CNCS) and the Department of Homeland Security's (DHS) federal regulations, the following policies and procedures establish Serve DC's guidance when making grant awards and on-going administration of grants.

Non-Competitive Grant Process and Selection

Serve DC shall make all AmeriCorps grant opportunities competitive. Learn and Serve America and Citizen Corps grant opportunities may follow the Non-Competitive Grant Process and Selection if and only if after following the normal procedures for the competitive grant process, and it is determined by the Program Officer that there is a lack of qualified proposals. The Program Officer will send a Proposal for Non-Competitive Grant Process and Selection to the District of Columbia Commission on National and Community Service's Program Committee ("Program Committee") and federal funder. The federal funder must approve the non-competitive grant process and selection. Once approved, the Program Officer, in consultation with the Executive Director, will continue to solicit non-profit community-based organizations or public schools applications on a non-competitive basis for an additional 30 days. The Program Officer will select candidate(s) and send recommendation(s) to the Program Committee.

The Program Committee will have five business days to meet to review the recommendation and make a final decision to be submitted to the District of Columbia Commission on National and Community Service ("Commission") or the District of Columbia Commission on National and Community Service's Executive Committee ("Executive Committee")¹. If the Program Committee is unable to meet the deadline, the recommendation is sent directly to the Executive Committee for a final decision.

After the Program Committee has met regarding the recommendation and reached consensus on the recommendation, a formal recommendation is sent to the Executive Committee for approval. The Executive Committee will have five business days to vote on the recommendation. If the Executive Committee is unable to meet within five business days, the Program Committee and Serve DC's Executive Director will make the final decision on the recommendation.

¹ If a Commission meeting is not scheduled within the one week deadline, then the Program Committee recommendation will be sent to the Executive Committee.

Competitive Grant Process and Selection

The Competitive Grant Process and Selection outlines how: 1) grant funding is advertised and solicited 2) training and technical assistance for prospective applicants is given 3) grant applications are reviewed and 4) grant awards are disbursed.

Timeline

All grants will follow a suggested timeline. The timeline begins after the Program Officer has reviewed all budgets with the Grants and Operations Department to ensure that there is adequate funding available to proceed with a grant competition. The Program Officer will also consider deadlines associated with the funding source.

Per CNCS State Administrative Standard Number Five, the timeline must show that application due dates allow potential applicants sufficient time to prepare quality proposals. The timeline must also allow the commission sufficient time to conduct a quality peer review and a complete staff review of proposals and budgets.

Start

1. Confirm grant funding is available
2. Consider deadlines associated with the funding (dates that the funds must be spent by, timelines for grant closeouts)

Month One

Week 1

3. Request for Application (RFA) and Notice of Funding Available (NOFA) development.
4. Reserve space for at least two mandatory Training and Technical Assistance Sessions with the date, time and location to be included in the NOFA and RFA. Serve DC staff may also conduct a Training and Technical Assistance session via conference call.

Week 2

5. Continue RFA and NOFA development

Week 3

6. Notice of Funding Available (NOFA) submission to Office of Documents and Administrative Issuances, Office of Partnerships and Grants Services to be included in the DC Funding Alert and the Serve DC website.

The NOFA must be submitted to Serve DC's Communication Director by Tuesday for advertisement on the Serve DC website by Monday of the following week. In addition, the NOFA must be sent to the Office of Documents and Administrative Issuances by noon on Tuesday to ensure publication in the DC Register on the Friday of the same week.

7. Send timeline to Program Committee to include proposed conference call date(s) and dial-in information if available at the time when original information is sent.
8. Select Program Committee Representative to participate in the grant review process.
9. Select a Facilitator for the Grant Peer Reviewer Session.

Week 4

10. Outreach

Month Two

Week 1

11. Outreach

Week 2

12. Call for Grant Reviewers submission to Serve DC website, Office of Partnerships and Grants Services, and Office of Documents and Administrative Issuances.

The Call for Grant Reviewers will be sent at the same time as the NOFA submission.

Week 3

13. Request for Application and FAQs Submission to Office of Partnerships and Grants Services and Serve DC website.
14. If the grant competition requires submission in eGrants, ensure that the eGrants system is prepared for accepting applications in the prime Serve DC application using the appropriate CNCS NOFA.

Week 4

15. Outreach

16. Training and Technical Assistance Session for prospective grant applicants.
Note: Questions raised during the session will be posted on the Serve DC website following the session under Program Name– FAQs.

Month Three

Week 1

17. Outreach

18. Post new FAQs on Serve DC website.

Week 2

19. Selection of Grant Peer Reviewers. Serve DC staff will select three reviewers and at least one alternate.
20. Prepare Grant Peer Reviewer and Facilitator materials
21. Training and Technical Assistance Session for prospective grant applicants.
Note: Questions raised during the session will be posted on the Serve DC website following the session under Program Name– FAQs.

22.

Week 3

23. Post new FAQs on Serve DC website.
24. Prepare Serve DC staff on application intake (date/time stamping, appropriate sign-in, and receipt to applicants).

Month Four

Week 1

25. Grant application due date
26. Training of Grant Peer Reviewers
27. Peer Review of Grant Applications-a minimum of one week to review
28. Serve DC Staff Review of Grant Applications

Week 2

29. Peer Review Consensus Session
30. Serve DC Staff Consensus Session

Week 3

31. Recommendation to the Program Committee

Week 4

32. Recommendation to the Executive Committee or full Commission

Month Five

Week 1

33. Notification to Grant Applicants
34. Clarification/negotiation of grant award

Week 2

35. Sign Grant Agreement²

² For Corporation funded grants, the selected applicants must receive a Notice of Grant Award from the Corporation before a grant agreement is signed.

Notice of Funding Available

The Program Officer will prepare and disseminate a Notice of Funding Availability (NOFA). The NOFA **must** be advertised in the DC Register through the Office of Documents and Administrative Issuances, the Office of Partnerships and Grants Services, and the Serve DC website. The Program Officer may advertise in newspapers, community bulletins and other forms of information dissemination. Payments for advertisements need to follow Serve DC's Purchase and Procurement Process.

The NOFA **must** include the following information³:

1. a brief description of the purpose for which funds are available
2. amount of funding available and related matching funds requirements
3. criteria for eligible applicants
4. time and location at which the Request for Application may be obtained
5. time and location of Training and Technical Assistance Sessions
6. contact information for grant opportunity

The NOFA **must** be submitted to the Office of Documents and Administrative Issuances by Tuesday at noon to ensure advertisement in the DC Register by the Friday of the same week. Per a change in policy in the Office of Documents and Administrative Issuances, submissions to the DC Register can be emailed to DCdocuments@dc.gov based on the same timeline outlined above. The NOFA must follow the DC Register Publication Guidelines. The NOFA must also be submitted to Serve DC's Communication Director and the Office of Partnerships and Grants Services by Tuesday at noon to ensure dissemination on Monday of the following week. The Program Officer must ensure that all published information is accurate.

Request for Application

The Program Officer will complete the Request for Application (RFA) that describes the requirements for grant applications. The RFA must include the following information⁴:

1. Contact information for the Program Officer
2. Eligibility requirements for applicants
3. Parameter of the program and State priorities (if applicable)
4. The amount of total funding anticipated for approved applications the average amount of each grant or the range of grant awards the criteria that will be used for scoring and selecting applications
5. The deadline for submitting applications; the deadline set in the RFA for submitting applications must be at least thirty business days from the release date of the RFA
6. Timeline of grant competition outlined including T/TA sessions and due dates

³ DC Municipal Regulations: Title 1 – Mayor and Executive Agencies, Chapter 50 Subgrants to Private and Public Agencies

⁴ DC Municipal Regulations: Title 1 – Mayor and Executive Agencies, Chapter 50 Subgrants to Private and Public Agencies

7. Selection process
8. The date, time and locations of Training and Technical Assistance Sessions
9. The purpose of the program by defining the type and range of services or activities that a grantee shall carry out under a grant. The grant applicant shall propose measurable goals, objectives and timeframes, target recipients and a plan of formal evaluation for each specific service proposed by the grant applicant
10. The purpose of the program should also specify the time period for which all services will be funded and any special requirements in the authorizing statute or regulations
11. Federal match requirements, if any
12. Submission requirements
13. Timelines with due dates
14. Link to grant provisions
15. Link to OMB circulars
16. Link to federal agency website, if one.
17. Assurances and certifications
18. A responsible state official or the commission itself confirms in writing that the RFA and subgrant process for each grant comply with any applicable state laws and requirements

The RFA must be submitted for inclusion on the Serve DC website and the Office of Partnerships and Grants Services at least thirty days from the initial advertisement of the RFA.

Training and Technical Assistance

The Program Officer **must** facilitate a minimum of two Training and Technical Assistance Sessions. These sessions will provide assistance to prospective grant applicants in creating an application based on the RFA criteria. Each Training and Technical Assistance Session will consist of, at minimum, the following information:

1. Program Officer contact information
2. Brief introduction to Serve DC
3. The purpose and goals of the grant
4. Overview of the RFA
5. Criteria for the grant application
6. Selection process; criteria for scoring applications
7. Submission information
8. Timeline for notification
9. Grantee requirements
10. Session evaluation

After the session, the Program Officer will aggregate data from the session evaluation to positively impact future sessions and the Frequently Asked Questions. The updated FAQs will be posted on the Serve DC website following each session.

Peer Review

Serve DC will establish a peer review panel to review and score applications and make funding recommendations to Serve DC staff and the Program Committee. The panel shall be comprised of a minimum of four individuals, including a representative from the Program Committee, with knowledge and expertise in the objectives of the grant and RFA (Request for Application). Serve DC will conduct a training session for the panelists prior to the review activities and instruct them on the goals and objectives of the grant and the RFA, the scoring criteria and instruments, and the timeframe for completion of the panel's work. The peer reviewers will use the ranking and scoring procedures and selection criteria described in Serve DC's RFA.

The Peer Review Process will include:

1. A training for peer reviewers
2. Completion of Conflict of Interest Statements from each peer reviewer and the consensus session facilitator
3. Completion of individual peer review Scoring Sheets and Ranking Sheets
4. Peer Review Consensus Session with an independent facilitator who has not reviewed the applications
5. Completion of Consensus Scoring and a Consensus Ranking Sheet signed by the facilitator and the peer reviewers

Peer Reviewer Selection

Serve DC will release a Call for Grant Reviewers and advertise the opportunity through the DC Register, Office of Partnerships and Grants Services, Serve DC website, and other related outreach mechanisms as determined by the Program Officer. The Call for Grant Reviewers announcement will include the following:

1. Reviewer qualifications
2. The time commitment involved (including dates and times for the peer review training session)
3. The application review period
4. The consensus session date, time and location
5. Application guidelines
6. Compensation or volunteer opportunity

Serve DC may provide a stipend to grant reviewers based on funding availability. DC government employees are not permitted to receive compensation for serving on a peer review panel. Serve DC cannot use grant funds to provide food or beverages.

Serve DC will select a minimum of three peer reviewers and one representative from the Program Committee for the review panel. Peer reviewers will be selected by Serve DC staff based on but not limited to the following:

1. Experience or familiarity with national service
2. Grants writing/management experience

3. Experience in service-learning, education, youth development, emergency preparedness
4. Experience reviewing federal grant applications

Representatives from CNCS-funding programs are encouraged to serve as reviewers, but cannot participate if their organization is applying for funds. AmeriCorps Alums are encouraged to serve as grant reviewers. Serve DC staff determine the minimum requirement for the amount of time a member has exited the program before they are eligible to apply (typically six months).

Serve DC will notify all applicants of the status of their selection as a grant reviewer or alternate. The Program Officer will select at minimum three grant reviewers and one alternate. The alternate grant reviewer would assume the role as a grant reviewer should a selected reviewer be unable to participate in the review process.

Peer Review Training Session

Reviewers will be required to participate in a peer review training session prior to the grant review process to become familiar with the goals of the grant competition and the instructions for reviewing and scoring proposals. Serve DC will provide grant reviewers with appropriate timelines and necessary documentation related to the grant review process. Reviewers will be required to sign and date a conflict of interest statement that reflects statements included in the CNCS or DHS conflict of interest form for peer reviewers.

Peer Review Packet

1. Agenda for Peer Review Training
2. List of Applicants
3. Grant Applications
4. Instructions for Reviewing and Scoring Proposals
5. Peer Reviewer Roles and Responsibilities
6. Conflict of Interest Statement
7. Scoring Sheets
8. Scoring Rubric
9. Peer Reviewer Ranking Sheet
10. Peer Review Process Evaluation
11. Review Panel Recusal Form

Conflict of Interest and Confidentiality

If a peer reviewer identifies a conflict of interest with an applicant, the reviewer must submit a Review Panel Recusal Form to Serve DC and remove him/herself from individually scoring the application and from providing feedback on the application during the peer review panel consensus session. The peer reviewer may still read the application.

The identities of all peer reviewers will be kept confidential and will not be shared with the applicants. Applicants may request reviewer forms from Serve DC. Peer reviewers may not discuss the names of reviewers with applicants or other individuals.

Individual Peer Review and Scoring

Peer reviewers will have a minimum of one week to individually score all applications using the Scoring Sheet and Scoring Rubric. Peer reviewers will also rank the proposals on an individual basis during the review period.

Facilitator Selection

Serve DC will select one facilitator to guide and support the work of the reviewers. Serve DC staff will provide a brief training session for the facilitator to familiarize him/her with the overall goals and objectives of the grant competition and the role of the facilitator. The purpose of the facilitator role is to:

1. Ensure thoughtful, fair, well-documented appraisals of all applications
2. Ensure that panelists observe the schedule
3. Manage the flow of documentation during the peer review panel consensus session

The facilitator will resolve any conflicts among the panelists and guide them to consensus on ranking and evaluating the proposals. The facilitator will also ensure that all proposals and notes are collected at the end of the consensus session and that all documents will have signatures as required. Serve DC staff will provide the Facilitator with a document to capture overall comments and scores, such as an Excel spreadsheet. Serve DC may also designate a volunteer to assist the Facilitator in capturing notes during the consensus session. Serve DC may provide a stipend to the facilitator if funding is available.

Facilitator Packet

1. Facilitator Roles and Responsibilities
2. Facilitator Conflict of Interest Form
3. Facilitator Talking Points
4. Consensus Scoring Sheet
5. Scoring Rubric
6. Consensus Ranking Sheet
7. Facilitator Checklist

Peer Review Consensus Session

Peer reviewers will reconvene after the application review period is over to participate in a consensus session lead by a facilitator. Peer reviewers will be asked to discuss their findings with the panel and the facilitator and, as a panel, come to consensus to score and rank the proposals according to quality and the selection criteria outlined in the RFA. Serve DC staff will provide the Facilitator with appropriate documents to capture overall comments and scores. Serve DC staff will also provide the facilitator with a flipchart and markers. The Consensus Scoring Sheet, Peer Review Ranking Sheet,

copies of all of the proposals, and all related notes will be provided to Serve DC staff at the close of the consensus session. The facilitator and the peer reviewers must sign documents as instructed. In addition, each peer reviewer will complete an evaluation of Serve DC's Peer Review Process.

Serve DC Staff Review

Serve DC staff will review, score, and rank all applications. The Serve DC review panel will consist of (at least):

1. A facilitator
2. Program Officer
3. One staff member from Serve DC's Grants and Operations Department
4. One staff volunteer from another Serve DC department
5. One representative from the Program Committee to observe the staff review process

The Serve DC review panel will review grant applications with the individual Scoring Sheet and Scoring Rubric during the Individual Peer Review and Scoring period. The panel will also rank the applications individually.

Serve DC Staff Consensus Session

After the Peer Review Consensus Session has been completed, the Serve DC review panel will convene to reach consensus based on the following information:

1. Serve DC panel individual scores
2. Recommendation from the peer review panel
3. Applicant's past history as a Serve DC grantee (site visits, grant reimbursements, progress reports) *(if applicable)*

The facilitator will resolve any conflicts among the panelists and guide them to consensus on ranking and evaluating the proposals.

Recommendation to Program Committee

Once consensus has been reached, the panel will draft a recommendation to the Commission Program Committee within two business days of the staff consensus session. The recommendation will consist of the following information:

1. Competition background
2. Grant proposal review process
3. A rubric outlining each applicant and description, requested amount, peer ranking by each peer reviewer, peer score for each peer reviewer in each category, staff ranking for each staff, staff score in each category, and Serve DC staff recommendation
4. Funding recommendation and request

The Program Committee will have five business days to meet via phone and/or email to review the recommendation and make a final decision to be submitted to the Commission or Executive Committee⁵. If the Program Committee is unable to meet the deadline, the recommendation is sent directly to the Executive Committee for final decision.

Recommendation to Executive Committee

After the Program Committee has met regarding the Serve DC staff recommendation and reached consensus on the recommendation, a formal recommendation is sent to the Executive Committee for approval. **Note:** A formal recommendation is sent to the Executive Committee if the Commission is not scheduled to be in session prior to the agreed upon commencement date of the grant.

The Executive Committee will have five business days to vote via phone and/or email on the recommendation. If the Executive Committee is unable to meet within five business days, Serve DC's Executive Director and the Program Committee will make the final decision on the recommendation.

Grant Application Feedback

All applicants will receive review score sheets and notes from Serve DC within 10 days upon receipt of a written request.

Continuation Application Review Process and Selection

Multi-year grantees will be required to submit a continuation application to Serve DC for each new program year. Additional funding is contingent upon satisfactory progress under the terms and conditions of the award and the availability of funds. AmeriCorps Continuation Application Review Process and Selection must follow the Competitive Grant Selection and Process. Learn and Serve America and Citizen Corps will follow the following process.

The Program Officer will allow grantees at least two weeks to complete and submit a continuation application. Grantees must submit the continuation application by the deadline to be considered for continuation funding. The Program Officer will create a timeline from the end of the program year to allow sufficient time to review continuation applications.

Initial Continuation Application Review

The Program Officer will review the continuation application and budget within one week of receipt of the documents. The Program Officer will request supplemental information from the grantee as necessary. The grantee will be given up to five business days to amend the application and/or budget and submit the information to Serve DC.

⁵ If a Commission meeting is not scheduled within one week deadline, then the Program Committee recommendation will be sent to the Executive Committee.

Scoring and Recommendation

Upon receipt of the requested information, the Program Officer and two staff members will score the continuation application. Within three weeks from receipt of the complete application, the Program Officer will provide the Program Committee with a comprehensive recommendation.

Continuation Application Recommendation Packet

1. Brief overview of the program
2. Amount of funding requested
3. Score for continuation application (including information about the application sections and point values)
4. Comments on continuation application
5. Program Officer comments on overall strengths, accomplishments, weaknesses, and areas of improvement for the ending program year (to include updates regarding annual site visit monitoring report response, compliance issues, communication with Serve DC staff, etc.);
6. Serve DC plan for technical assistance
7. Information about matching funds
8. Brief overview of past continuation application scoring and staff comments (if applicable)
9. Brief overview of past site visits
10. Prior grant amounts
11. Serve DC staff funding recommendation to the Program Committee

Continuation Recommendation

After the Program Officer has submitted the Continuation Application Recommendation Packet to the Program Committee, the Program Committee and the Program Officer will meet via phone and/or email within five business days to reach consensus on the recommendation. If the Program Committee and the Program Officer fail to meet within the five business days to reach consensus, the recommendation will be sent directly to the Executive Committee. **Note:** A formal recommendation is sent to the Executive Committee if the Commission is not scheduled to be in session prior to the agreed upon commencement date of the grant.

Once consensus has been reached, the final recommendation is sent to the Executive Committee to determine funding based on the recommendation of the Program Committee and the Serve DC staff. The Executive Committee will have five business days to review and vote via phone and/or email on the recommendation. If the Executive Committee fails to meet within the given deadline, Serve DC's Executive Director and the Program Committee will make the final decision on the recommendation.

Recommendation to Terminate Funding

If either the Serve DC staff, the Program Committee or the Commission recommends terminating the grant, the Program Officer and at least one Program Committee Member must conduct a site visit at the grantee site. The site visit team will develop a

report on the grantee's status to be shared with the Program Committee and Serve DC staff.

If the grantee is found to be non-compliant with the Serve DC policies and procedures, the grant may be terminated per Clause 13 "Termination at Will" in the grant agreement. Serve DC may terminate the Agreement upon thirty (30) days written notice to the Grantee. Upon termination, Serve DC's liability will be limited to the actual costs incurred in carrying out the project as of the date of termination plus any termination expenses having prior written approval of Serve DC.

Appeals Process

A Serve DC grantee may apply under these Regulations for any decision recommended by Serve DC staff or the Commission for matters that are directly related to the grant award to be re-considered in light of new or additional evidence that might dramatically affect the outcome of the decision.

Grounds for Appeal

For these purposes, 'new evidence' is defined as:

1. Process error either by staff or during the reporting of the offense or the noncompliance issue;
2. Extenuating circumstances which the grantee was unable to place, or for valid reasons, did not place before the staff or the Program Committee;
3. Evidence of a failure of supervision which significantly affected the grantee's performance and which could not reasonably be expected to have been the subject of complaint by the grantee to Serve DC program officer or the Executive Director.
4. Evidence of undisputed negligence or misconduct on the part of staff or Commission;

These are the only grounds upon which representations can be made. Appeals will not be considered against final judgments that have been approved by the Commission.

Procedure

A grantee who wishes to place such new evidence before the Commission shall submit in writing, the facts which the organization wishes the Commission to consider and showing how those facts constitute new evidence as defined. The application must be made to the Executive Director.

The Executive Director may extend the time limit imposed by this Regulation.

For the purposes of these Regulations, the date of grantee request means the date upon which the grantee submitted its request for appeal to the Executive Director and is first made available to the grantee, even though the decision is still subject to review by the Program Committee and the full Commission.

If, after consulting the Chair of the Program Committee, the Executive Director is satisfied that a *prima facie*⁶ case has been established by the grantee, the Executive Director may:

1. Determine that the appeal be upheld; or
2. Convene the Appeals Committee of the Commission to consider the merit of the appeal and decide on the appropriate action.

Serve DC Appeals Committee

The Appeals Committee shall be comprised of:

1. Serve DC Executive Director and/or his/her designee;
2. Two members of the Program Committee, as identified by the Committee Chair;
3. Two members of the Commission, as identified by the Commission Chair.

The organization may opt either (a) for the appeal to be dealt with on written submissions; or (b) for an oral hearing.

Where the appeal is to be dealt with on written submissions, the Executive Director shall receive:

1. The material submitted by the grantee;
2. Any written comments made on that material by or on behalf of the Executive Director and, where appropriate, by the Program Officer; and

Where there is an oral hearing, the Appeals Committee shall hear oral submissions by or on behalf of the grantee, the Executive Director, and where appropriate, staff. The staff or Commissioners may comment on the submissions to support the appeal. In any case in which factual matters are in dispute, the Executive Director and appointed members of the Program Committee shall investigate the facts, and may invite appropriate staff to attend to assist; during this process, the grantee may be present and may ask questions, make comments, and produce other persons who can provide information, testimony or letters of support.

The Committee shall reconsider the action, request, result or other subject of the appeal in light of the material available to it. Except as provided above, no person other than members of the Program Committee, appropriate staff and the Executive Director shall be present during deliberations.

The Executive Director or the Appeals Committee shall report to the Commission and may make any recommendation based on deliberation outcome.

⁶ Sufficient to establish a case for an appeal

The decision of the Commission, acting on the recommendations of the Appeals Committee and Staff are final.

Where the substance of the appeal concerns acts or omissions of the staff, and in any other case where it is inappropriate for the Executive Director to act under these Regulations, the Executive Director shall appoint a Deputy to act on his or her behalf.

Grant Application Feedback

All grantees will receive continuation score sheets and notes from Serve DC within 10 days upon receipt of a written request.

Grant Award Process

Once an application has been approved for funding through the Competitive Grant Process and Selection or the Continuation Application Review Process and Selection, the new grantee will be notified of their selection and the next step in the process through a grant award letter.

Notification

Each new and continuing grantee will receive a grant award letter one week after the final decision of the Executive Committee⁷. The award letter will consist of the following information:

1. Amount of the grant award
2. Negotiation items
3. Budget recommendations
4. Continuous improvement/clarification questions
5. Deadline for resubmission of information
6. Request for A-133 or most recent audit
7. Program Officer contact information
8. Grant period (duration of the grant)
9. Information concerning request for peer reviewer notes
10. Financial Systems Survey
11. Grantee Orientation Session Information
12. Grant Document Checklist

Grant Agreement

Each new and continuing grantee must review and sign a grant agreement that includes the grant award number. The terms of an agreement will not commence until the agreement is signed. The Program Officer will send the grant agreement via mail once all information requested via the grant award letter is received; and, the Notice of Grant Award has been awarded by the federal agency. The grant agreement **must** contain the follow addendum items:

⁷ If a Commission meeting is not scheduled within one week deadline, then the Program Committee recommendation will be sent to the Executive Committee.

1. National Service Program Director Training Calendar (AmeriCorps Programs only)
2. Due dates for the Progress Report, Financial Status Report and other reporting requirements
3. Program federal provisions
4. Approved application and budget
5. Budget modification policies and procedures with sample budget modification request letter
6. Program modification guidelines with sample program modification letter
7. Proof of Expenditures (AmeriCorps Programs Only)
8. Tentative monitoring site visit dates (can be included in Contract Addendum I of the grant exhibits)

Grant Reimbursement Process

Each grantee will submit monthly grant reimbursements. Monthly grant reimbursements must include the Sub-Grantee Request for Funds form with an original signature and budget spreadsheets. Grantees designated as high risk will be required to submit receipts and other appropriate financial documentation with their monthly requests. The reimbursements will be submitted to the Program Officer by the last business day of the following month, i.e. May reimbursements are due by the last business day of June. The Program Officer will have three business days to review the reimbursement for accuracy. The reimbursement is then submitted to the Grants and Operations Department for review and submission to the Office of Finance and Resource Management (OFRM). It is OFRM's policy that check requests may take up to 45 days to process. Grantees may request direct deposit for reimbursements by applying to the DC Office of Finance and Resource Management for ACH Enrollment. Grantees must complete and submit the ACH Vendor Payment Enrollment Form.

Each grantee must submit all required documentation based on designated risk level or guidelines provided by Serve DC. Failure to provide proper documentation will result in a delay in reimbursements. If a grantee fails to submit grant reimbursements for four months, Serve DC reserves the right to terminate grant funding from the grantee based on the "At Will" condition of the grant agreement. The remaining grant dollars from the terminated grant may be allocated among current grantees based on approval from funding source to be spent within the original grant agreement. Each grantee will submit a plan on how to use the newly distributed funds.

Grant Closeout⁸

Serve DC is required to closeout all grants and submit documentation to the CNCS Grants Officer within 90 days after the expiration of the grant period.

The grantee will have thirty days to submit the following:

- I. Final Financial Status Report (AmeriCorps only)

⁸ Grant Closeout only applies to Corporation for National and Community Service grants.

2. Equipment Inventory
3. Inventory of Unused or Residual Supplies
4. Final grant reimbursement
5. Closeout survey

Serve DC will have 60 days to audit files and submit final document to CNCS and OFRM. Federal reporting and record keeping guidelines require the maintenance of financial files for either three years after the closure of the Serve DC grant or three years after the completion of an audit. As applicable, Serve DC will provide grantees with the timeframe for which records must be maintained.

Communication

Serve DC must communicate consistently and effectively with all grantees to ensure grantees: 1) understand policies and procedures 2) are aware of training and technical assistance opportunities and 3) are given up to date information that will affect their grant.

Point of Contact

The Program Officer is the point of contact for all grantees regarding the operation of their grant. The Program Officer initiates all communication with grantees unless the Program Officer designates a fellow Serve DC staff member to communicate on his/her behalf.

The Program Officer will consult with various Serve DC departments to identify solutions when necessary to answer inquiries made by grantees.

On-going Communication with Grantees

The Program Officer will send, at minimum, monthly email transmissions to grantees to provide information regarding their grant. The information may consist of:

1. Upcoming reporting deadlines
2. Training and technical assistance opportunities
3. Upcoming grantee events
4. Information on policies and procedures
5. Resources

The Program Officer will encourage grantees to submit upcoming events by the 15th of each month for inclusion in the monthly update, Serve DC website and newsletter.

The Program Officer will return all messages (voicemail and email) within 24 hours unless specified by automatic email message reply or extended absence greeting.

Outreach

The Program Officer will conduct outreach to community-based organizations, civic groups, schools, and other institutions concerning their program. The Program Officer

will consult with the Communications Director to ensure that their program message is transmitted effectively.

Grantees must use the Serve DC logo and supporting funding source logo when they promote their programming.

Grantee Evaluation

All Serve DC granted programs will receive on-going evaluation. Evaluation is intended to ensure compliance with DC Government regulations as well as CNCS program provisions and other federal regulations.

Risk Based Monitoring

The Program Officer will assess each grantee based on a risk level ranging from low to high. The risk will be determined by site visits, desk audits, progress reports and/or recommendations from the Corporation for National and Community Service or the Department of Homeland Security. Each attribute below is assigned a number 1 through 3. The attribute is assigned 3 if listed under “High;” 2 if listed under “Moderate;” and, 1 if listed under “Low.” A score is generated by adding up the number assignment for each attribute (See Appendix 1.1 and 1.2). The following scale is used to identify the risk level:

1. Low = 26-39
2. Moderate = 40-60
3. High = 61-78

The following are tables of determining factors in assessing risk for AmeriCorps and non-AmeriCorps programs.

AmeriCorps Only

	High	Moderate	Low
Program Management	Does not have adequate staffing to oversee program	Adequate staffing to oversee program	Adequate staffing to oversee program
	Has significant turnover in key program/fiscal staff and organizational leadership	Has some turnover in key program/fiscal staff and organizational leadership	Low to no turnover in key program/fiscal staff and organizational leadership
	Failure to respond to Serve DC's requests three or more times, i.e. phone calls, emails, follow-up	Failure to respond to Serve DC's requests in a timely manner one to three times, i.e. phone calls, emails, follow-up	Responsiveness to Serve DC's requests
	Unable to meet performance objectives	Moderate success in meeting performance objectives	Success in meeting performance objectives
	Less than 50% participation in mandatory Serve DC training events	50% participation in mandatory Serve DC training events	Participation in Serve DC mandatory training events
	Significant changes in overall program design	Some changes in overall program design	No changes in overall program design
	Expansion of programs or sites		
	Incomplete or late reports without extensions	Some reports late with extensions	Reports on time
Failed participation in volunteer. as required by the grant agreement	Some participation in volunteer. as required by the grant agreement	Full participation in volunteer. as required by the grant agreement	
Member Management	Low retention of members	Moderate retention of members	High retention of members
	Unsuccessful filling of awarded slots	Moderate success of filling of awarded slots	Success of filling awarded slots
	Undocumented member files	Some issues with documented member files	No issues with documented member files
	Evidence of member involvement in prohibited activities	Member activities are appropriate	Member activities are appropriate
	Negative substantiated calls from members or community partners	Calls of concern from members or community partners	No negative calls from members or community partners

Financial Management	Inaccurate and incomplete budget	Complete and accurate budget	Complete and accurate budget
	No tracking of in-kind donations	Some tracking of in-kind donations	Tracks in-kind donations
	Reported disallowed costs	No disallowed costs	No disallowed costs
	Budget modification requests exceed the number allowed	Budget modification requests are within guidelines	Budget modification requests are within guidelines
	Late submission of incomplete or insufficiently detailed financial reports and reimbursement requests	Timeliness in completing reimbursement requests	Timeliness in completing reimbursement request
	No use of time and attendance forms	Some use of time and attendance forms	Use of time and attendance forms
	No written financial policies or procedures	Written financial policies and procedures	Written financial policies and procedures
	Required match is unmet or appears it will not be met	Match is met or will be met	Match is met or will be met
	Audit reports allegations of illegal acts under any grant or non-grant operations	Audit reports no allegations of illegal activity under any grant or non-grant operations	Audit reports no allegations of illegal activity under any grant or non-grant operations
	Questioned costs are greater than 10% of the award	Questioned costs are less than 10%	No questioned costs
	Fundraising attributed to the grant	No fundraising attributed to grant	No fundraising attributed to grant
	Mismanagement of approved program budget	Has some problems with managing the budget	No problems with managing the budget

Non-AmeriCorps

	High	Moderate	Low
Program Management	Does not have adequate staffing to oversee program	Adequate staffing to oversee program	Adequate staffing to oversee program
	Turnover in key program/fiscal staff and organizational leadership	Some turnover in key program/fiscal staff and organizational leadership	No turnover in key program/fiscal staff and organizational leadership
	Unresponsiveness to Serve DC's request, i.e. phone calls, emails, follow-up three or more times	Unresponsiveness to Serve DC's request in a timely manner, i.e. phone calls, emails, follow-up less than three times	Responsiveness to Serve DC's request
	Unable to meet performance objectives	Fair success in meeting performance objectives	Success in meeting performance objectives
	No participation in mandatory Serve DC training events	Some participation in mandatory Serve DC training events	Participation in Serve DC mandatory training events
	Significant changes in overall program design	Some changes in overall program design	No changes in overall program design
	Expansion of programs or sites		
	Incomplete or late reports without extensions	Some reports late with extensions	Reports on time
Failed participation in <i>volunteer</i> . as required by the grant agreement	Some participation in <i>volunteer</i> . as required by the grant agreement	Full participation in <i>volunteer</i> . as required by the grant agreement	

Participant Management	Low retention of participants	Moderate retention of participants	High retention of participants
	Unable to mobilize participants	Moderate success of mobilizing participants	Success of mobilizing participants
	Undocumented volunteer hours	Some documentation of volunteer hours	Documents volunteer hours
	Evidence of participant activities not in line with program narrative	Participant activities coincide with program narrative	Participant activities coincide with program narrative.
	Negative substantiated calls from participants or community partners	Calls of concern from participants or community partners	No negative calls from participants or community partners

Financial Management	No tracking of in-kind donations	Some tracking of in-kind donations	Tracks in-kind donations
	Inaccurate and incomplete budget	Complete and accurate budget	Complete and accurate budget
	Reported disallowed costs	No disallowed costs	No disallowed costs
	Budget modification requests exceed the number allowed	Budget modification requests are within guidelines	Budget modification requests are within guidelines
	Late submission of incomplete or insufficiently detailed financial reports and reimbursement requests	Timeliness in completing reimbursement requests	Timeliness in completing reimbursement request
	No use of time and attendance forms	Some use of time and attendance forms	Use of time and attendance forms
	No written financial policies or procedures	Written financial policies and procedures	Written financial policies and procedures
	Required match is unmet or appears it will not be met	Match is met or will be met	Match is met or will be met
	Audit reports allegations of illegal acts under any grant or non-grant operations	Audit reports no allegations of illegal activity under any grant or non-grant operations	Audit reports no allegations of illegal activity under any grant or non-grant operations
	Questioned costs are greater than 10% of the award	Questioned costs are less than 10%	No questioned costs
	Fundraising attributed to the grant	No fundraising attributed to grant	No fundraising attributed to grant
	Mismanagement of approved program budget	Has some problems with managing the budget	No problems with managing the budget

Risk Based Monitoring Plan

The Program Officer will follow a plan for each grantee based on the risk based monitoring plan based on the level of risk. All new grantees that have never been a Serve DC grantee will automatically be assessed as high risk for their first program year until a monitoring site visit is conducted. Existing grantees will be given a risk level based on the assessments of site monitoring visits, progress reports, desk audits from the previous year an/or recommendation from federal funder(s). After completion of the risk based monitoring plan, existing grantees' risk level can be changed through outcomes of their risk based monitoring plan. The following charts are the risk based monitoring plan for AmeriCorps only and non-AmeriCorps sites.

AmeriCorps Only

High			Moderate			Low		
Year 1	Year 2	Year 3	Year 1	Year 2	Year 3	Year 1	Year 2	Year 3
<ul style="list-style-type: none"> ▪ Review organizational capacity narrative in application ▪ Review A-133 audit ▪ 2 site visits ▪ Review 50% of member files ▪ Bi-weekly phone communications ▪ Monthly review with copies of member service logs ▪ Copies of receipts with reimbursement requests ▪ Mandatory attendance at Serve DC training events ▪ Review and verify progress report data Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention 	<ul style="list-style-type: none"> ▪ Review A-133 audit ▪ 2 site visits ▪ 1 desk audit per year ▪ Review 35% of member files ▪ Bi-weekly phone communications ▪ Monthly review with copies of member service logs ▪ Mandatory attendance at Serve DC training events ▪ Copies of receipts with reimbursement requests ▪ Review and verify progress report data ▪ Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention ▪ Budget modification for outside consultant to assist program 	<ul style="list-style-type: none"> ▪ Review A-133 audit ▪ 2 site visits ▪ 1 desk audit per year ▪ Review 20% of member files ▪ Bi-weekly phone communication ▪ Monthly review with copies of member service logs ▪ Mandatory attendance at Serve DC training events ▪ Review and verify progress report data ▪ Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention ▪ Copies of receipts with reimbursement requests <p>Note: If after year 3 and the site is still high risk, Serve DC will not recommend that the site be funded in the next grant competition.</p>	<ul style="list-style-type: none"> ▪ Review organizational capacity narrative in application ▪ Review A-133 Audit ▪ 1 site visit ▪ 1 desk audit ▪ Review 20% of member files ▪ 1 site visit ▪ 1 desk audit ▪ Review 20% of member files ▪ Monthly phone communications ▪ Monthly review ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports ▪ Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention 	<ul style="list-style-type: none"> ▪ Review A-133 Audit ▪ 1 site visit ▪ 1 desk audit ▪ Review 20% of member files ▪ Monthly phone communications ▪ Monthly review ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports ▪ Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention 	<ul style="list-style-type: none"> ▪ Review A-133 Audit ▪ 1 site visit ▪ 1 desk audit ▪ Review 20% of member files ▪ Monthly phone communications ▪ Monthly review ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports ▪ Monitor member enrollment/retention 	<ul style="list-style-type: none"> ▪ Review organizational capacity narrative in application ▪ Review A-133 Audit ▪ 1 site visit ▪ Review 20% of member files ▪ Occasional phone communications ▪ Monthly review ▪ Mandatory attendance at Serve DC training events ▪ Review all progress reports ▪ Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention 	<ul style="list-style-type: none"> ▪ Review A-133 Audit ▪ 1 site visit ▪ Review 20% of member files ▪ Occasional phone communications ▪ Monthly review ▪ Mandatory attendance at Serve DC training events ▪ Review all progress reports ▪ Conduct AmeriCorps member focus group ▪ Monitor member enrollment/retention 	<ul style="list-style-type: none"> ▪ Review A-133 Audit ▪ 1 site visit per year ▪ Review 20% of member files ▪ Occasional phone communications ▪ Monthly review ▪ Mandatory attendance at Serve DC training events ▪ Review all progress reports ▪ Monitor member enrollment/retention

Non-AmeriCorps

High			Moderate			Low		
<p>Year 1</p> <ul style="list-style-type: none"> ▪ Review organizational capacity narrative in application ▪ Review A-133 or general audit ▪ 1 site visit per year ▪ Perform desk audit six months after site visit ▪ Bi-weekly phone communications ▪ Mandatory attendance at Serve DC training events ▪ Copies of receipts with reimbursement requests ▪ Mandatory attendance at Serve DC training events ▪ Review and verify progress report data 	<p>Year 2</p> <ul style="list-style-type: none"> ▪ Review A-133 or general audit ▪ 1 Site visit per year ▪ Perform desk audit six months after site visit ▪ Bi-weekly phone communications ▪ Mandatory attendance at Serve DC training events ▪ Copies of receipts with reimbursement requests ▪ Review and verify progress report data <p>Note: If after year 2 and the site is still high risk, Serve DC will not recommend that the site be funded in the next grant competition.</p>	<p>Year 3</p> <ul style="list-style-type: none"> ▪ Review A-133 or general audit ▪ 1 Site visit per year ▪ Perform desk audit six months after site visit ▪ Bi-weekly phone communications ▪ Mandatory attendance at Serve DC training events ▪ Review and verify progress report data ▪ Copies of receipts with reimbursement requests 	<p>Year 1</p> <ul style="list-style-type: none"> ▪ Review organizational capacity narrative in application ▪ Review A-133 or general audit ▪ Perform desk audit ▪ Monthly phone communications ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports 	<p>Year 2</p> <ul style="list-style-type: none"> ▪ Review A-133 or general audit ▪ Monthly phone communications ▪ 1 site visit per year ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports 	<p>Year 3</p> <ul style="list-style-type: none"> ▪ Review A-133 or general audit ▪ 1 site visit per year ▪ Monthly phone communications ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports 	<p>Year 1</p> <ul style="list-style-type: none"> ▪ Review A-133 or general audit ▪ Perform desk audit ▪ Occasional phone communications ▪ Mandatory attendance at Serve DC training events ▪ Review and verify all progress reports 	<p>Year 2</p> <ul style="list-style-type: none"> ▪ Review A-133 or general audit ▪ Perform desk audit ▪ Occasional phone communications ▪ Mandatory attendance at Serve DC training events ▪ Review all progress reports 	<p>Year 3</p> <ul style="list-style-type: none"> ▪ Review A-133 general audit ▪ Perform desk audit ▪ Occasional phone communications ▪ Mandatory attendance at Serve DC training events ▪ Review all progress reports

Monitoring Site Visit

A monitoring visit is an on-site assessment by Serve DC to determine if the program is in compliance with the Grant Award Agreement, Grant Provisions, and Federal Regulations. Serve DC's goal in monitoring is to support programs and help it achieve its goals.

The monitoring visit will cover all areas of program operation. Source documentation to be reviewed may include: data collection sheets, member files, financial documents, and any other documents that will substantiate data reported in progress reports and/or Financial Status Reports (FSR). Achievement of program objectives will be verified by examining source data on several separate objectives.

Frequency

Non-AmeriCorps Programs

Monitoring site visits will occur within the first year of a multi-year grant under a new grant agreement. On-going and yearly visits will be determined by the assessment conducted in the previous year. Monitoring visits are also administered within six months of a grant closeout if and only if the grantee was rated as high risk from the previous yearly monitoring visit.

AmeriCorps Programs

Monitoring visits will occur each year for all AmeriCorps grantee programs under their current grant agreement. On-going visits beyond the annual site visit will be determined by the initial assessment or risk designation.

Procedures

Annually, the Program Officer prepares a site visit schedule as a part of the risk-based monitoring policy. The information on the site visit schedule will be provided in the grant agreement (See Grant Agreement). Each program will undergo a 'risk-assessment' to identify specific areas to be reviewed and the frequency of such monitoring activity.

1 month prior to the visit

The program will be contacted via email or letter to arrange a mutually convenient date for the visit. Both program and financial staff should be consulted in arranging the date for the visit. The contact information for financial staff will be documented at this time.

2-3 weeks prior to the visit

Written confirmation of the site visit date and requirements will be mailed to the program director and the financial staff contact. (A copy will also be sent to the Commission member(s) who has/have "adopted" the program.) Confirmation will include a reminder of the length of time the visit is expected to take, and a brief agenda for the visit indicating a lunch break and a specific time period to be spent with financial staff. The final agenda item will be a brief 'exit interview' to disclose any and all concerns noted during the visit.

1-5 days prior to the site visit

Serve DC Staff will:

- Review the most recent WBRS reports (AmeriCorps only), rosters, member forms, Periodic Expense Report, Progress Report and Financial Status Report (AmeriCorps only).
- Identify most recent audit report and management letter on file and note any material findings or questioned costs related to the program.
- Identify all recent site visit reports and associated follow-up for the program and note any identified findings/concerns and the associated continuous improvement/corrective action measures.
- Survey all Serve DC staff to determine if there are any outstanding issues other than those identified above.
- Prepare copies of the agenda, monitoring site visit materials, and other resources relevant for the program
- Invite a Commissioner to attend
- Provide the Grantee with an agenda and requested financial sample for review during the visit

On the day of the visit

Serve DC Staff will:

- Arrive promptly at the agreed upon time.
- Wear Serve DC identification (pin, button, sticker or shirt). Follow the agenda and make every attempt to stay on schedule.
- Document the review process – keep all notes and copies, identify which files were reviewed, etc. For any findings, document by provision number the discussion, testing or other event leading to the finding AND document that the finding was discussed with appropriate staff both at the time it was noted and during the exit interview.

Following the visit

- Within 3 working days, the program will receive acknowledgement of the visit and the next steps as it relates to site visit report.
- Within 2-3 weeks (or when all requested items have been received), complete the formal written site visit report.
- The site visit report will be sent to the program director. The report will note any concerns or findings identified at the site visit.
- The program will have 30 days to respond to the site visit report by providing a corrective action plan. *
- Send a copy of the site visit report to the Commission member(s) who has/have adopted the program as well as the Program Committee Chair.

Follow-up

- If written response is not received on the date requested (and an extension has not been granted), the AmeriCorps Program Officer will send the site visit report to the next level of authority within the organization, if applicable. The cover letter will indicate the overdue response and allow for an additional week to provide the requested information.
- If a written response is not received after the second request, notice will be sent to the certifying official (who signed the grant application) that reimbursements are being held pending receipt of the requested response. In addition, the program will be suspended until the request is received.
- If after 60 days from the original date of request Serve DC has not received a written response, Serve DC staff will develop a corrective action plan for the grantee.
- Once all deliverables have been received by Serve DC and the monitoring visit is fully completed, the Program Officer will send a memo within 10 business days to the grantee stating the site visit is complete.
- Program Officer will follow up with the grantee after the site visit report has been sent out to address training and technical assistance needs as indicated during the site visit. The Program Officer will work closely to schedule training, provide resources, and or provide information on upcoming sessions in the National Service Program Director Training Calendar.

Desk Audit

The Program Officer will conduct a desk audit if:

- The program received a low to moderate assessment based on the most recent monitoring visit
- The Program Officer is conducting a grant closeout and the program received a low to moderate assessment based on the most recent monitoring visit.

Procedures

The Program Officer will send a listing of requested documents to the program. The documents requested may include financial audit, management letter, operations manual, personnel manual, financial procedures manual and any other program related materials.

Progress Reports

All programs must submit progress reports either quarterly or biannually as dictated by the Program Officer. If a program fails to meet the original deadline of submission, the Program Officer will give an additional five days for the program to submit the report. In the event the program fails to meet the extension deadline, a memo from Serve DC Executive Director will be transmitted stating grant funding will be suspended until the progress report is received. Late progress reports will adversely affect the grant continuation application and monitoring requirements.

Reporting Requirements

The Program Officer must meet all DC and federal guidelines. Failure to do so may result in disciplinary action as listed in the District of Columbia Government's personnel regulations.

Allocation of Additional Funding

The Program Officer may allocate additional funding to current grantees based approval from the federal grantor. The Program Officer will allow each grantee to apply for the additional funding. Each grantee that is interested in receiving additional funding will be required to submit the following:

- A planned budget for the additional funding.
- A concept paper outlining how the additional funding will be used.

Approval of the allocation funding to the grantee will based on the planned budget and concept paper, monitoring information, and current progress report. The Program Officer will review the applications and send a recommendation to the Program Committee.

The Program Committee will have five business days to review the recommendation to reach a final decision. If the Executive Committee fails to convene, the Program Committee and the Executive Director will make the final decision.

Training and Technical Assistance

The grantee program director or his/her designee is strongly encouraged, unless indicated as mandatory by the Program Officer or identified as a training need during a monitoring site visit, to attend program director meetings, orientations, training events and statewide special events, as stated in the grant agreement.

The Program Officer will send the Serve DC Training and Technical Assistance Needs Survey to all existing grantees to complete in the Fall of each year.⁹ The aggregate results from grantee survey will result in the National Service Training and Meeting Calendar for the following calendar year. New grantees will receive a needs survey as part of their award letter package.

Grantee Orientation Session

All new grantees will receive an orientation after they have received their official award letter. The orientation must cover the following topics:

1. Overview of Serve DC
2. Grant Agreement

⁹ Corporation for National and Community Service grants only

3. Financial management of the grant (how to request reimbursement and in-kind donations, and budget modification guidelines)
4. Program management of the grant (tracking volunteer hours, participant/member management, reporting guidelines, training and technical assistance)

Each program must receive a program director handbook that will serve as a guide for grant provisions and procedures.

APPENDIX

Appendix I.1 AmeriCorps Risk Level Assessment

**AMERICORPS
RISK LEVEL ASSESSMENT**

Program Name: _____

Program Director Name: _____

Email: _____

Address: _____

Phone: _____

City/State: Zip Code: _____

Fax: _____

Grant Period: _____

Directions:

Each column (“High,” “Moderate,” and “Low”) is assigned a number 1 through 3. Check each attribute that best fits the program. Generate the score for each heading by adding the number of attributes checked times the column number. For example if you check five attributes under “High,” the total is $5 \times 3 = 15$. Once there is a score for each heading, add the numbers to get the final risk level for the program. The following scale is used to identify the risk level:

4. Low = 26-39
5. Moderate = 40-60
6. High = 61-78

TOTAL

$$\underline{\hspace{2cm}} \quad + \quad \underline{\hspace{2cm}} \quad + \quad \underline{\hspace{2cm}} \quad = \quad \underline{\hspace{2cm}}$$

	High (3)	Moderate (2)	Low (1)
Program Management	<input type="checkbox"/> Does not have adequate staffing to oversee program	<input type="checkbox"/> Adequate staffing to oversee program	<input type="checkbox"/> Adequate staffing to oversee program
	<input type="checkbox"/> Has significant turnover in key program/fiscal staff and organizational leadership	<input type="checkbox"/> Has some turnover in key program/fiscal staff and organizational leadership	<input type="checkbox"/> Low to no turnover in key program/fiscal staff and organizational leadership
	<input type="checkbox"/> Failure to respond to Serve DC's requests three or more times, i.e. phone calls, emails, follow-up	<input type="checkbox"/> Failure to respond to Serve DC's requests in a timely manner one to three times, i.e. phone calls, emails, follow-up	<input type="checkbox"/> Responsiveness to Serve DC's requests
	<input type="checkbox"/> Unable to meet performance objectives	<input type="checkbox"/> Moderate success in meeting performance objectives	<input type="checkbox"/> Success in meeting performance objectives
	<input type="checkbox"/> Less than 50% participation in mandatory Serve DC training events	<input type="checkbox"/> 50% participation in mandatory Serve DC training events	<input type="checkbox"/> Participation in Serve DC mandatory training events
	<input type="checkbox"/> Significant changes in overall program design	<input type="checkbox"/> Some changes in overall program design	<input type="checkbox"/> No changes in overall program design
	<input type="checkbox"/> Expansion of programs or sites		
	<input type="checkbox"/> Incomplete or late reports without extensions	<input type="checkbox"/> Some reports late with extensions	<input type="checkbox"/> Reports on time
<input type="checkbox"/> Failed participation in volunteer. as required by the grant agreement	<input type="checkbox"/> Some participation in volunteer. as required by the grant agreement	<input type="checkbox"/> Full participation in volunteer. as required by the grant agreement	
Member Management	<input type="checkbox"/> Low retention of members	<input type="checkbox"/> Moderate retention of members	<input type="checkbox"/> High retention of members
	<input type="checkbox"/> Unsuccessful filling of awarded slots	<input type="checkbox"/> Moderate success of filling of awarded slots	<input type="checkbox"/> Success of filling awarded slots
	<input type="checkbox"/> Undocumented member files	<input type="checkbox"/> Some issues with documented member files	<input type="checkbox"/> No issues with documented member files
	<input type="checkbox"/> Evidence of member involvement in prohibited activities	<input type="checkbox"/> Member activities are appropriate	<input type="checkbox"/> Member activities are appropriate
	<input type="checkbox"/> Negative substantiated calls from members or community partners	<input type="checkbox"/> Calls of concern from members or community partners	<input type="checkbox"/> No negative calls from members or community partners
Financial Management	<input type="checkbox"/> Inaccurate and incomplete budget	<input type="checkbox"/> Complete and accurate budget	<input type="checkbox"/> Complete and accurate budget
	<input type="checkbox"/> No tracking of in-kind donations	<input type="checkbox"/> Some tracking of in-kind donations	<input type="checkbox"/> Tracks in-kind donations
	<input type="checkbox"/> Reported disallowed costs	<input type="checkbox"/> No disallowed costs	<input type="checkbox"/> No disallowed costs
	<input type="checkbox"/> Budget modification requests exceed the number allowed	Budget modification requests are within guidelines	<input type="checkbox"/> Budget modification requests are within guidelines
	<input type="checkbox"/> Late submission of incomplete or insufficiently detailed financial reports and reimbursement requests	<input type="checkbox"/> Timeliness in completing reimbursement requests	<input type="checkbox"/> Timeliness in completing reimbursement request
	<input type="checkbox"/> No use of time and attendance forms	<input type="checkbox"/> Some use of time and attendance forms	<input type="checkbox"/> Use of time and attendance forms
	<input type="checkbox"/> No written financial policies or procedures	<input type="checkbox"/> Written financial policies and procedures	<input type="checkbox"/> Written financial policies and procedures
	<input type="checkbox"/> Required match is unmet or appears it will not be met	<input type="checkbox"/> Match is met or will be met	<input type="checkbox"/> Match is met or will be met
	<input type="checkbox"/> Audit reports allegations of illegal acts under any grant or non-grant operations	<input type="checkbox"/> Audit reports no allegations of illegal activity under any grant or non-grant operations	<input type="checkbox"/> Audit reports no allegations of illegal activity under any grant or non-grant operations
	<input type="checkbox"/> Questioned costs are greater than 10% of the award	<input type="checkbox"/> Questioned costs are less than 10%	<input type="checkbox"/> No questioned costs
	<input type="checkbox"/> Fundraising attributed to the grant	<input type="checkbox"/> No fundraising attributed to grant	<input type="checkbox"/> No fundraising attributed to grant
	<input type="checkbox"/> Mismanagement of approved program budget	<input type="checkbox"/> Has some problems with managing the budget	<input type="checkbox"/> No problems with managing the budget

Appendix 1.2 Learn and Serve America or Citizen Corps Risk Level Assessment

**LEARN AND SERVE AMERICA OR CITIZEN CORPS
RISK LEVEL ASSESSMENT**

Program Name: _____

Program Director Name: _____

Email: _____

Address: _____

Phone: _____

City/State: Zip Code: _____

Fax: _____

Grant Period: _____

Directions:

Each column (“High,” “Moderate,” and “Low”) is assigned a number 1 through 3. Check each attribute that best fits the program. Generate the score for each heading by adding the number of attributes checked times the column number. For example if you check five attributes under “High,” the total is $5 \times 3 = 15$. Once there is a score for each heading, add the numbers to get the final risk level for the program. The following scale is used to identify the risk level:

7. Low = 26-39
8. Moderate = 40-60
9. High = 61-78

	High	Moderate	Low
Program Management	<input type="checkbox"/> Does not have adequate staffing to oversee program	<input type="checkbox"/> Adequate staffing to oversee program	<input type="checkbox"/> Adequate staffing to oversee program
	<input type="checkbox"/> Turnover in key program/fiscal staff and organizational leadership	<input type="checkbox"/> Some turnover in key program/fiscal staff and organizational leadership	<input type="checkbox"/> No turnover in key program/fiscal staff and organizational leadership
	<input type="checkbox"/> Unresponsiveness to Serve DC's request, i.e. phone calls, emails, follow-up three or more times	<input type="checkbox"/> Unresponsiveness to Serve DC's request in a timely manner, i.e. phone calls, emails, follow-up less than three times	<input type="checkbox"/> Responsiveness to Serve DC's request
	<input type="checkbox"/> Unable to meet performance objectives	<input type="checkbox"/> Fair success in meeting performance objectives	<input type="checkbox"/> Success in meeting performance objectives
	<input type="checkbox"/> No participation in mandatory Serve DC training events	<input type="checkbox"/> Some participation in mandatory Serve DC training events	<input type="checkbox"/> Participation in Serve DC mandatory training events
	<input type="checkbox"/> Significant changes in overall program design	<input type="checkbox"/> Some changes in overall program design	<input type="checkbox"/> No changes in overall program design
	<input type="checkbox"/> Expansion of programs or sites		
	Incomplete or late reports without extensions	<input type="checkbox"/> Some reports late with extensions	<input type="checkbox"/> Reports on time
Failed participation in <i>volunteer.</i> as required by the grant agreement	<input type="checkbox"/> Some participation in <i>volunteer.</i> as required by the grant agreement	<input type="checkbox"/> Full participation in <i>volunteer.</i> as required by the grant agreement	
Participant Management	<input type="checkbox"/> Low retention of participants	<input type="checkbox"/> Moderate retention of participants	<input type="checkbox"/> High retention of participants
	<input type="checkbox"/> Unable to mobilize participants	<input type="checkbox"/> Moderate success of mobilizing participants	<input type="checkbox"/> Success of mobilizing participants
	<input type="checkbox"/> Undocumented volunteer hours	<input type="checkbox"/> Some documentation of volunteer hours	<input type="checkbox"/> Documents volunteer hours
	<input type="checkbox"/> Evidence of participant activities not in line with program narrative	<input type="checkbox"/> Participant activities coincide with program narrative	<input type="checkbox"/> Participant activities coincide with program narrative.
	<input type="checkbox"/> Negative substantiated calls from participants or community partners	<input type="checkbox"/> Calls of concern from participants or community partners	<input type="checkbox"/> No negative calls from participants or community partners
	<input type="checkbox"/> Low retention of participants	<input type="checkbox"/> Moderate retention of participants	<input type="checkbox"/> High retention of participants
Financial Management	<input type="checkbox"/> No tracking of in-kind donations	<input type="checkbox"/> Some tracking of in-kind donations	<input type="checkbox"/> Tracks in-kind donations
	<input type="checkbox"/> Inaccurate and incomplete budget	<input type="checkbox"/> Complete and accurate budget	<input type="checkbox"/> Complete and accurate budget
	<input type="checkbox"/> Reported disallowed costs	<input type="checkbox"/> No disallowed costs	<input type="checkbox"/> No disallowed costs
	<input type="checkbox"/> Budget modification requests exceed the number allowed	<input type="checkbox"/> Budget modification requests are within guidelines	<input type="checkbox"/> Budget modification requests are within guidelines
	<input type="checkbox"/> Late submission of incomplete or insufficiently detailed financial reports and reimbursement requests	<input type="checkbox"/> Timeliness in completing reimbursement requests	<input type="checkbox"/> Timeliness in completing reimbursement request
	<input type="checkbox"/> No use of time and attendance forms	<input type="checkbox"/> Some use of time and attendance forms	<input type="checkbox"/> Use of time and attendance forms
	<input type="checkbox"/> No written financial policies or procedures	<input type="checkbox"/> Written financial policies and procedures	<input type="checkbox"/> Written financial policies and procedures
	<input type="checkbox"/> Required match is unmet or appears it will not be met	<input type="checkbox"/> Match is met or will be met	<input type="checkbox"/> Match is met or will be met
	<input type="checkbox"/> Audit reports allegations of illegal acts under any grant or non-grant operations	<input type="checkbox"/> Audit reports no allegations of illegal activity under any grant or non-grant operations	<input type="checkbox"/> Audit reports no allegations of illegal activity under any grant or non-grant operations
	<input type="checkbox"/> Questioned costs are greater than 10% of the award	<input type="checkbox"/> Questioned costs are less than 10%	<input type="checkbox"/> No questioned costs
	<input type="checkbox"/> Fundraising attributed to the grant	<input type="checkbox"/> No fundraising attributed to grant	<input type="checkbox"/> No fundraising attributed to grant
	<input type="checkbox"/> Mismanagement of approved program budget	<input type="checkbox"/> Has some problems with managing the budget	<input type="checkbox"/> No problems with managing the budget

TOTAL

_____ + _____ + _____ = _____