

## GN - Subrecipient Monitoring Guide

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## Introduction to Subrecipient Monitoring

Grantors, or organizations or individuals that provide funding for a project or program through a grant, have a responsibility to ensure that the funds they provide are used appropriately and in accordance with the terms of the grant agreement. One way that grantors can fulfill this responsibility is by performing subrecipient monitoring for grants.

Subrecipient monitoring is the process of evaluating the performance and compliance of organizations or individuals that receive funding from a grant as subrecipients, rather than as the primary recipient. This is often necessary when the grant funds are being used to support a specific program or project that is being implemented by a subrecipient organization.

### Reasons why grantors may need to perform subrecipient monitoring for grants:

- **Ensuring compliance** with grant terms and conditions: Grantors need to ensure that subrecipients are using grant funds in accordance with the terms and conditions of the grant agreement. This includes ensuring that funds are being used for the purposes outlined in the grant proposal and that any reporting requirements are being met.
- **Protecting the integrity** of the grant program: Subrecipient monitoring helps grantors ensure that grant funds are being used effectively and efficiently to achieve the goals and objectives of the grant program. This can help protect the integrity of the grant program and ensure that it is achieving its intended outcomes.
- **Managing financial risk**: Grantors also have a responsibility to manage financial risk and ensure that grant funds are being used appropriately. Subrecipient monitoring can help grantors identify any potential financial risks or issues with subrecipients and take corrective action as needed.
- **Providing accountability**: Subrecipient monitoring helps grantors provide accountability for the use of grant funds. This is important for maintaining the trust of stakeholders and the public, as well as for demonstrating the impact and effectiveness of the grant program.

## Ways to Monitor Subrecipients

There are several ways that grantors can perform subrecipient monitoring for grants. These can include:

- **Reviewing financial reports and documentation:** Grantors can review financial reports and documentation from subrecipients to ensure that grant funds are being used appropriately and in accordance with the terms of the grant agreement. This can include reviewing budget reports, expenditure reports, and other financial documents.
- **Conducting site visits:** Grantors may also conduct site visits to the subrecipient organization to observe program or project activities and assess the use of grant funds. Site visits can provide valuable information about the effectiveness and efficiency of the program or project, as well as identify any potential issues or concerns.
- **Reviewing progress reports:** Subrecipients may be required to submit progress reports to the grantor detailing the progress of the program or project and the use of grant funds. Grantors can review these reports to assess the progress of the program or project and ensure that it is on track to meet its goals and objectives.
- **Engaging in regular communication:** Grantors can also engage in regular communication with subrecipients to discuss the progress of the program or project and any issues or concerns that may arise. This can be done through meetings, conference calls, or other forms of communication.

You can now monitor the subrecipients in eCivis, schedule site visits, request reports and documentation, identify concerns, create a Corrective Action Plan (CAP) and lot more. Follow this guide to learn how.

# How to create a Monitoring and Preparation task for a single Program

## 1. Program Dashboard > Visit Program

Open the Program for which you want to create a monitoring task.

Program Dashboard

[Add New Program](#) [Generate Task Report](#) [Generate Funding Source Report](#) [Public Solicitations Listing](#) [Subrecipient Monitoring](#)

Search:


Your Pending Tasks

Program	Project	Org Name	Award/ Contract Number	Created Date	Invoice Number	Task Type	Actions
Capital Grants Program - 2022	Baltimore County Schools Parks and Playgrounds Project	Baltimore County School District	DGS- 21-208	05/25/2022		Activity Report Approval	<a href="#">Visit Program</a>

## 2. Add Task > Monitoring

This action will open a modal/lightbox that you can use to create a new monitoring task.

Hello Anna Haney, your License is provided by State Demo [Help / Training](#) [Logout](#)

 [Home](#) [COVID-19](#) [Grant Management](#) [Research](#) [Insight](#) [Reports](#) [Administration](#)

[Home](#) / [Program Dashboard](#) / [Program Detail](#)

### Program Detail

**Capital Grants Program - 2022** Published

Department: DOA- Department of Administration  
Total Funding: \$25,200,000.00  
Application Period: 01/01/2022 - 12/31/2022

[Subrecipient Reporting](#) [Subrecipient Monitoring](#) [Add Task](#) [Edit Solicitation](#) [Preview Application](#) [Ext. Solicitation Listing](#) [Application Workspace](#)

Miscellaneous

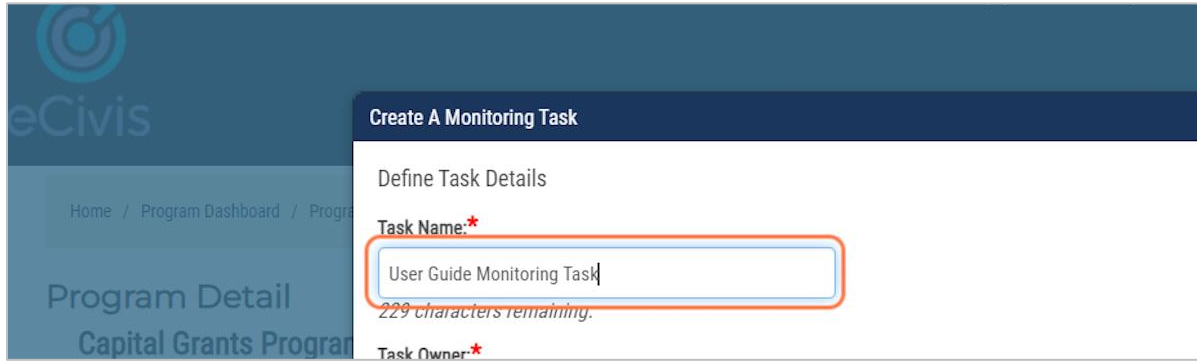
[Monitoring](#)

Search:

[Award Recommendation Approval](#)

### 3. Fill out the New Monitoring Task form

Required fields are denoted by a red asterisk. Here is a list of the fields:



Home / Program Dashboard / Program Detail  
Capital Grants Program

**Create A Monitoring Task**

Define Task Details

**Task Name:**\*

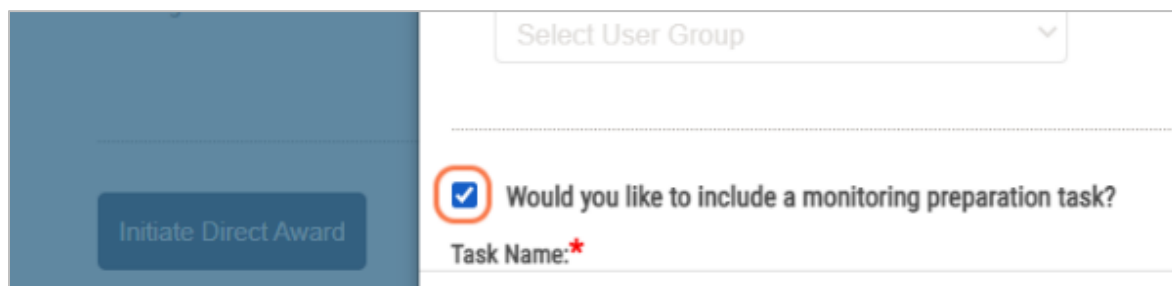
User Guide Monitoring Task  
229 characters remaining.

**Task Owner:**\*

1. **Task Name:** Provide a unique name that is easily recognizable when looking or searching for this task in a long list.
2. **Task Owner:** Department and User
3. **Subrecipients/Award Number:** You can select multiple by holding Shift on your keyboard
4. **Task Type:** Desk Visit, Site Visit, Technical Assistance, and Other.
5. **Due Date and Reminder Date**
6. **Task Note:** Provide a description for your subrecipient, so they are aware of what will be completed as part of a monitoring visit.
7. **Approval Type:** Standard or Sequential
8. **Designated for Approval:** Select a User or User Group as approver

## Add a Monitoring Preparation Task:

The monitoring preparation task can be assigned to an internal resource or the subrecipient so they can prepare for the monitoring activity e.g., keep the reports ready, make necessary arrangements for desk visit etc. Preparation tasks have similar options like a monitoring task or any other miscellaneous task. Check the box that says, “Would you like to add a monitoring preparation task?” and it will reveal other fields pertinent to the monitoring preparation task:



1. **Organization Tag:** Helps you group tasks/reports by tag (multiple selection permitted)
2. **Task Assignment:** The preparation task could also be assigned to an internal resource
3. Require **Note** and **File Upload**?
4. **Attach Files**

## 4. Click on Save

Performing this action will save all the information you have entered and complete the process of creating a monitoring and monitoring preparation task.



An email notification is sent to the Task Owner. In case you have created an external preparation task, the Subrecipient will also receive an email notification at this point.

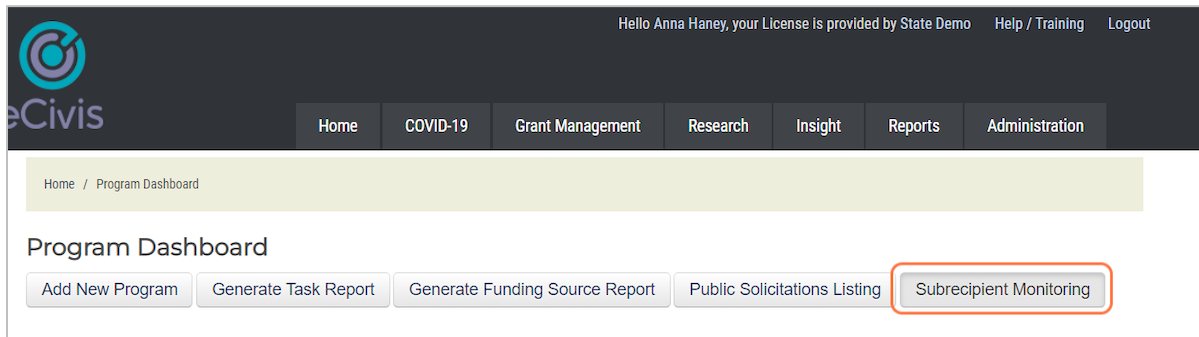
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# How to create Monitoring and Preparation tasks for multiple Programs

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## 1. Program Dashboard > Subrecipient Monitoring


Open the Subrecipient Monitoring Dashboard



The screenshot shows the eCivis user interface. At the top right, it says "Hello Anna Haney, your License is provided by State Demo" with links for "Help / Training" and "Logout". Below this is a navigation bar with tabs for "Home", "COVID-19", "Grant Management", "Research", "Insight", "Reports", and "Administration". Underneath the navigation bar is a breadcrumb trail: "Home / Program Dashboard". The main content area is titled "Program Dashboard" and contains five buttons: "Add New Program", "Generate Task Report", "Generate Funding Source Report", "Public Solicitations Listing", and "Subrecipient Monitoring". The "Subrecipient Monitoring" button is highlighted with a red rectangular box.

## 2. Subrecipient Monitoring > Add Monitoring Task

From the Subrecipient Monitoring Dashboard, click on 'Add Monitoring Task'



The screenshot shows the "Subrecipient Monitoring" dashboard. It features four buttons: "Add Monitoring Task", "Filter By Subrecipient", "Filter By Program", and "Filter By Current Status". The "Add Monitoring Task" button is highlighted with a red rectangular box.



### 3. Select Multiple Programs and Subrecipients/Award Numbers

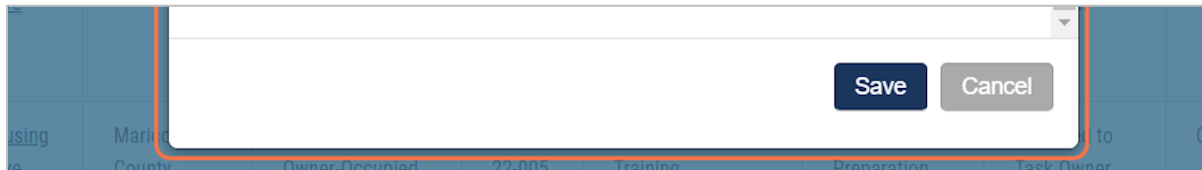
This is the key reason why you might want to create a monitoring and monitoring preparation tasks from the Subrecipient Monitoring Dashboard.



The screenshot shows a web interface for creating monitoring tasks. On the left, there is a sidebar with a button labeled 'Add Monitoring Task'. The main area contains two dropdown menus. The first, labeled 'Available program(s):\*', lists several grant programs including '21st Century Community Learning Centers (CCLC) Competitive Grant', 'Capital Grants Program - 2022', 'CDBG- Housing Competitive FY22', 'Central Monitoring Program', 'Homeland Security Grant Program - FY22', 'Safest Routes to School Boost Grant Program', 'Small Business Relief Grants', and 'Youth at Work Equity Grant Program - SY 21-22'. The second dropdown, labeled 'Subrecipients/Award Number:\*', lists specific award numbers for the selected programs, such as '21st Century Community Learning Centers (CCLC) Competitive Grant - Balitmore Ele...', '21st Century Community Learning Centers (CCLC) Competitive Grant - Community S...', 'Capital Grants Program - 2022 - Baltimore County School District - DGS-21-208', 'CDBG- Housing Competitive FY22 - City of Phoenix - CDBG-22-001', and 'CDBG- Housing Competitive FY22 - Mariposa County - CDBG-22-005'. Below the dropdowns, there are columns for 'Program Name', 'Subrecip...', 'Status', and 'Due Date'.

### 4. Fill the form

Provide all the relevant details and click 'Save' to preserve your monitoring and monitoring preparation tasks for all the selected Programs/Subrecipients.



The screenshot shows a form completion screen. A large white rectangular area is outlined in orange, indicating the form content. At the bottom right of this area, there are two buttons: a dark blue 'Save' button and a grey 'Cancel' button. The background shows a table with columns for 'Status' and 'Due Date'.



An email notification is sent to the Task Owner(s) and the Subrecipient(s).

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# How to Review/Finalize a Monitoring and Preparation task

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## 1. Program Dashboard > Subrecipient Monitoring

As a task owner, open the Subrecipient Monitoring Dashboard



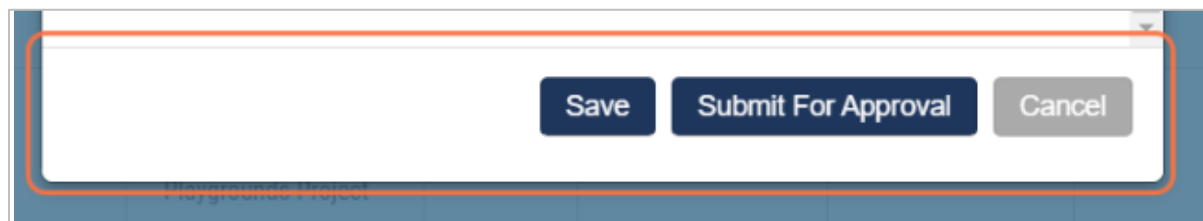
## 2. Actions > Review/Finalize

Find a monitoring/preparation task you want to review, click on Actions and select Review/Finalize



## 3. Submit for Approval

This step will notify the approver about the task and its status.

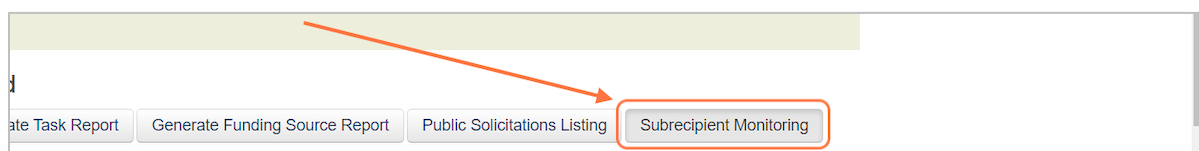


An email notification is sent to the Approver.

# How to Approve a Monitoring and Preparation task

## 1. Program Dashboard > Subrecipient Monitoring

As a task approver, open the Subrecipient Monitoring Dashboard



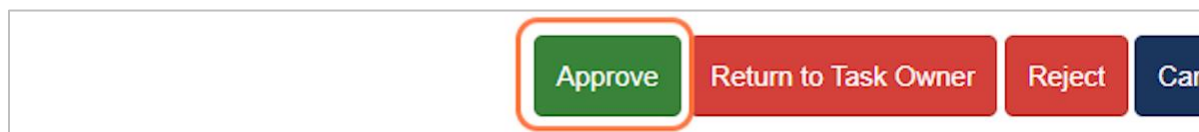
## 2. Actions > Review

Find a monitoring or preparation task you want to review, click on Actions and select Review

DGS-21-208	03 Monitoring Task	Desk Visit	Pending Approval	12/24/2022	<a href="#">Actions</a>
					<a href="#">Review</a>
					<a href="#">View Task</a>
DGS	User Guide	Desk Visit	Draft	12/30/2022	<a href="#">Actions</a>

## 3. Approve or Return to Task Owner

Carefully review all the information and click on Approve to proceed. You can also return the task to the Task Owner to rectify any mistakes or provide more information.



## 4. Enter Internal/External Notes

Optionally, you can provide additional notes at this point for both external and internal users. Click OK to complete the process of approving a monitoring task.

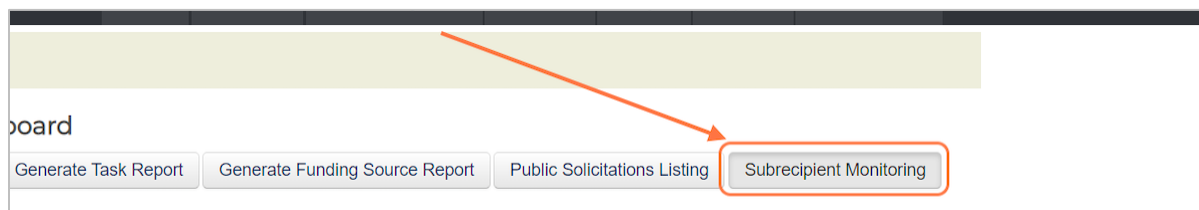


An email notification is sent to the subrecipient and the task owner.

# How to Complete a Monitoring task and Create a Corrective Action Plan (CAP)

## 1. Program Dashboard > Subrecipient Monitoring

Go to the Subrecipient Monitoring Dashboard to see a list of all the monitoring tasks



## 2. Actions > Complete

Find a monitoring task you want to Complete, click on Actions and select Complete

DGS-21-208	03 Monitoring Task	Desk Visit	Pending Completion	12/24/2022	Actions	<b>Complete</b>
DGS-	User Guide	Desk Visit	Draft	12/30/2022	Actions	

## 3. Fill the Monitoring task completion form

Add notes and files for internal and/or external users

Subrecipient Monitoring

Complete Monitoring Task

Exit Conference Notes - External:

H1 H2 H3 **B** *I* U [List Icons] [Link Icon]

Done

## 4. Checkbox: Create a Corrective Action Plan (CAP)

This will reveal other input field pertinent to the CAP. The additional fields include:

Create a Corrective Action Plan (CAP)  
Select Findings/Concerns created for your Organization or add new findings/concerns for this CAP. All finding/concerns included for this award will display on the table below.

Add (Findings/Concerns):

Select one or multiple findings/concerns from the Organization Library

You can also create a new finding or concern for this monitoring visit:

Type: Finding or Concern

Title of Finding/Concern

Notes

### Add Findings/Concerns

Do you want to select an existing Finding/Concern from your Organization Library?

- Finding - Known or likely fraud affecting a federal award
- Finding - Material noncompliance with the provisions of Federal statutes, re
- Finding - Material weaknesses in internal controls
- Finding - Missing Accounting Policies and Procedures


You can also create a new finding or concern for this monitoring visit.

Type:

Title

135 characters remaining.

## Change Status of Finding/Concern

Type	Title	Notes	Status	Actions
Finding	Known or likely fraud affecting a federal award		Assigned	

### Response Due Date

Response Due Date Actions:

Finalize after Due Date

Return to Grantor After Due Date

Approval Type:

Standard

Sequential

Designated for Approval:

User

User Group

## 5. Click on Complete

To finish creating a Corrective Action Plan and Complete a monitoring task, choose 'Complete'

Save Complete Cancel



An email notification is sent to the Subrecipient.

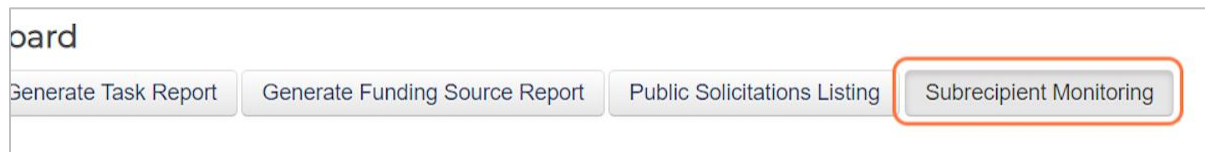
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## How to Review/Finalize a Corrective Action Plan (CAP)

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### 1. Program Dashboard > Subrecipient Monitoring

As a Task Owner, open the Subrecipient Monitoring Dashboard



### 2. Pending Tasks > Actions

On the task row, click on Actions > Review/Finalize

28 - AB Monitoring Task - CAP	Desk Visit	Pending Grantor Finalization	01/07/2023	<a href="#">Actions</a> <b>Review/Finalize</b>
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### 3. Click on Finalize

Carefully go through the response submitted by the Subrecipient. In case you are not satisfied with the response, click on 'Return to Subrecipient' otherwise choose 'Finalize'.



If finalized, an email notification is sent to the Approver. Subrecipient will be notified in case the task is return to them.

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## How to Approve a Corrective Action Plan (CAP)

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### 1. Program Dashboard > Subrecipient Monitoring

As an Approver, open the Subrecipient Monitoring Dashboard

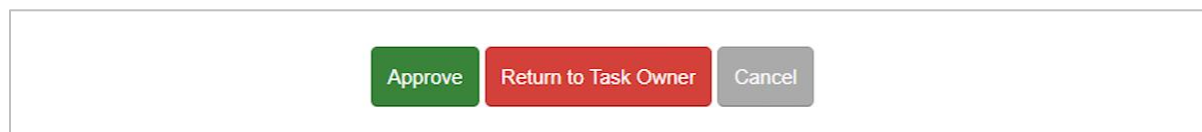


### 2. Pending Tasks > Actions

On the task row, click on Actions > Review Task

DGS-21-208	28 - AB Monitoring Task - CAP	Desk Visit	Pending Approval	01/07/2023	Actions
					<a href="#">View Task</a> <b><a href="#">Review Task</a></b>

### 3. Approve or Return to Task Owner



Task owner will be notified through email in both cases.



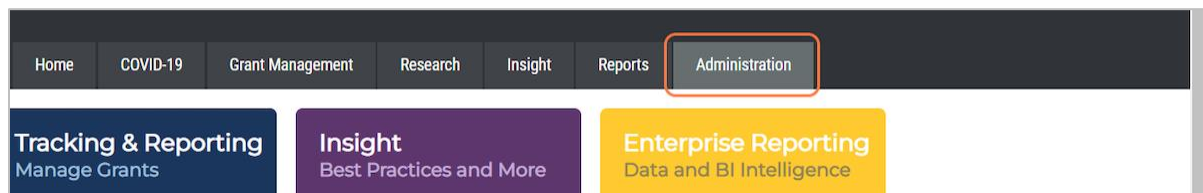
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# How to add a Finding/Concern to the Organization Library

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## 1. Administration > Organization Library

Open the Organization Library

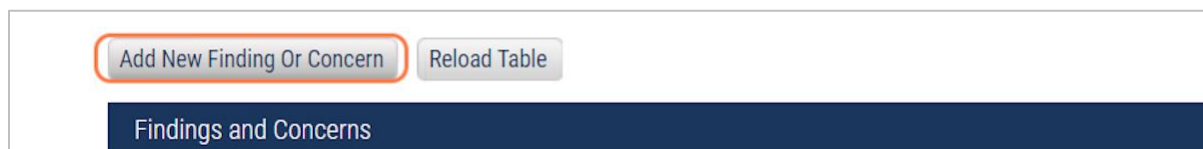


## 2. Organization Lookups > Subrecipient Monitoring Findings/Concerns

Click on the pencil icon to add/edit a finding or concern.

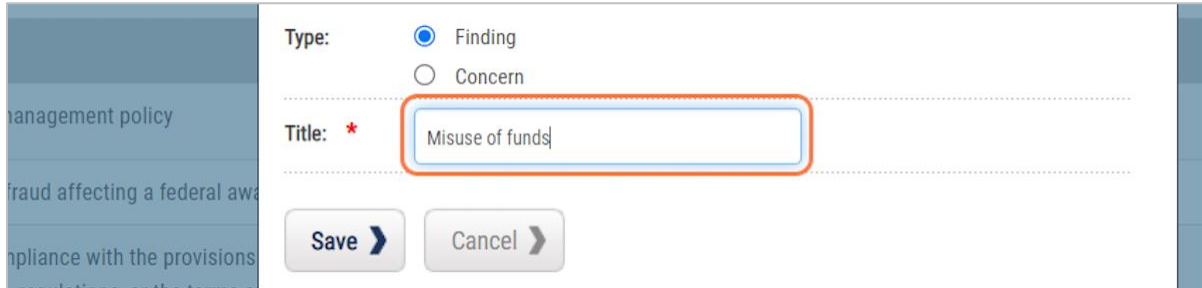
Organization Page	06/02/2021	A. Haney	
Subrecipient Monitoring Findings/Concerns	12/27/2022	A. Haney	

## 3. Click on Add New Finding or Concern



## 4. Fill the form and click Save

Select if it's a finding or concern, give it a title and click Save to add it to the organization library.



The screenshot shows a form with the following elements:

- Type:** Radio buttons for "Finding" (selected) and "Concern".
- Title:** A text input field containing "Misuse of funds", marked as required with a red asterisk.
- Buttons:** "Save" and "Cancel" buttons, both with right-pointing chevrons.



Additional Resource(s):

Subrecipient Management Guide

Question? Contact support at [support@ecivis.com](mailto:support@ecivis.com)