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:

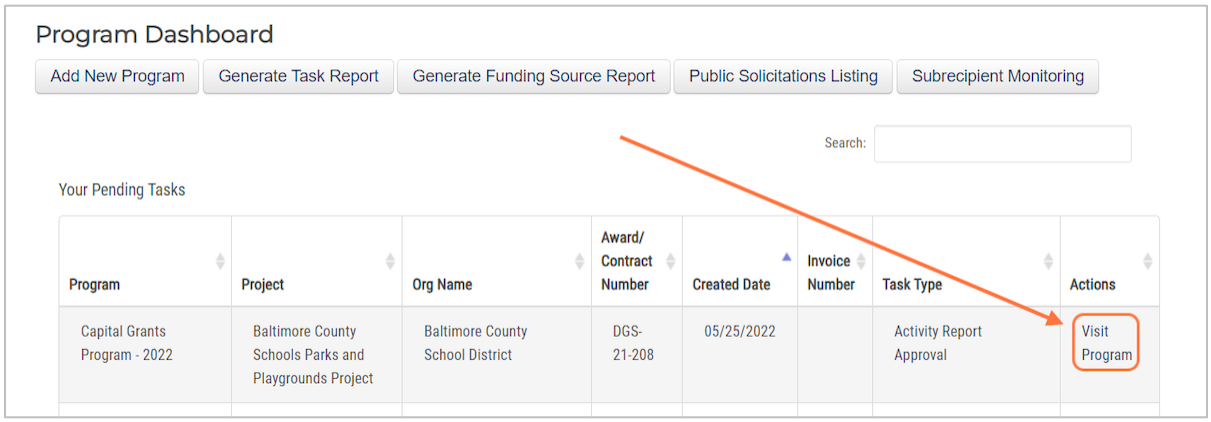
- Reviewing financial reports and documentation: Grantors can review financial reports and documentation from subrecipients to ensure that grant funds are being used appropriately and in accordance with the terms of the grant agreement. This can include reviewing budget reports, expenditure reports, 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

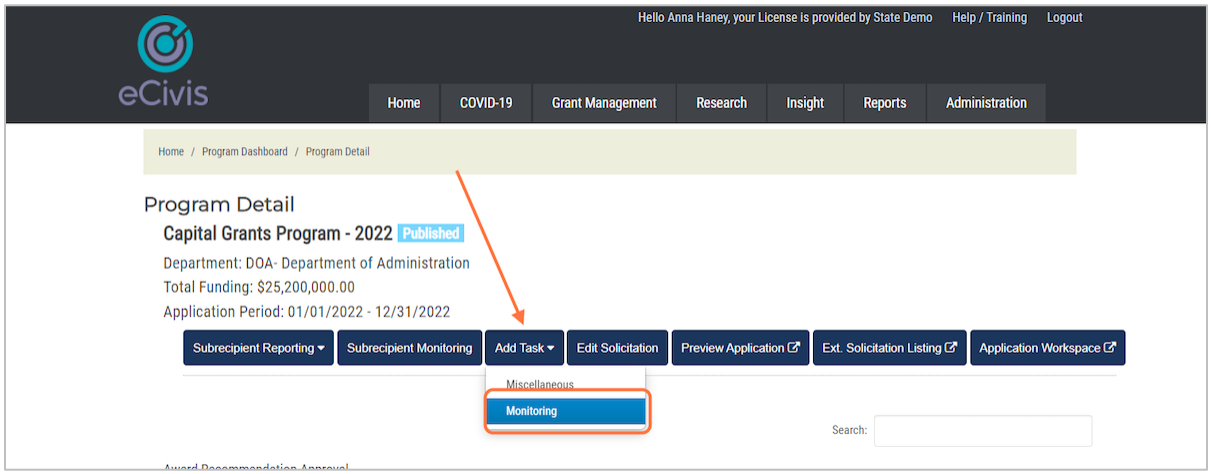
1. Program Dashboard > Visit Program

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



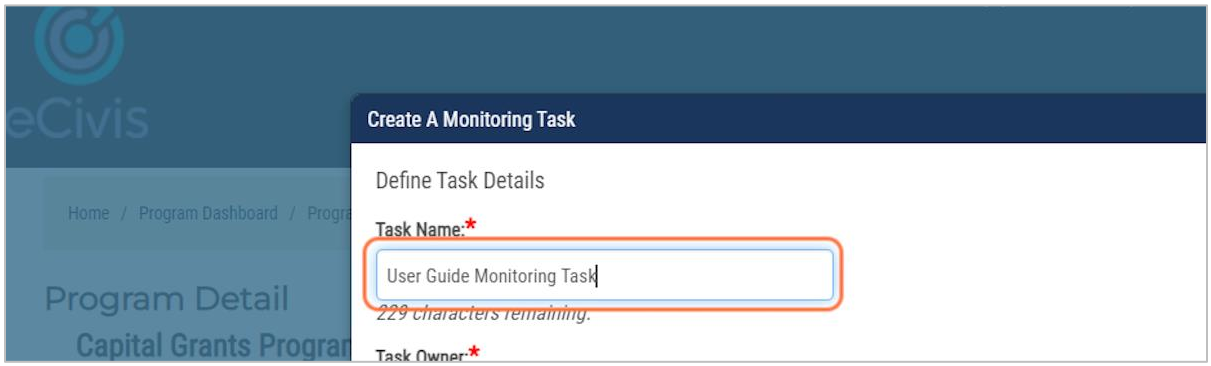
2. Add Task > Monitoring

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



3. Fill out the New Monitoring Task form

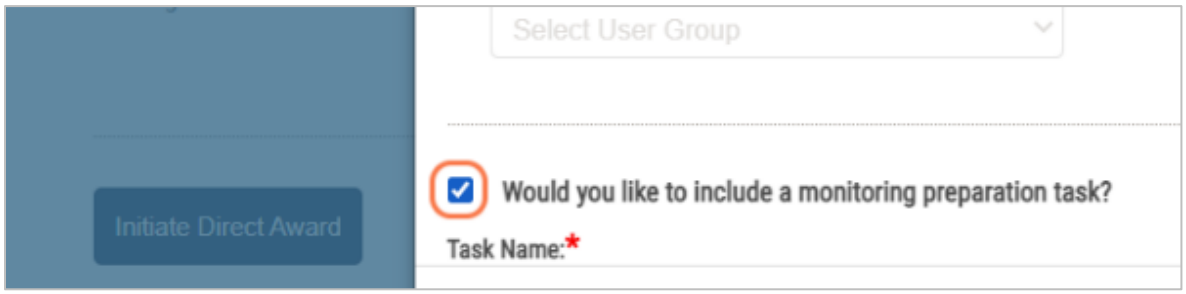
Required fields are denoted by a red asterisk. Here is a list of the fields:



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

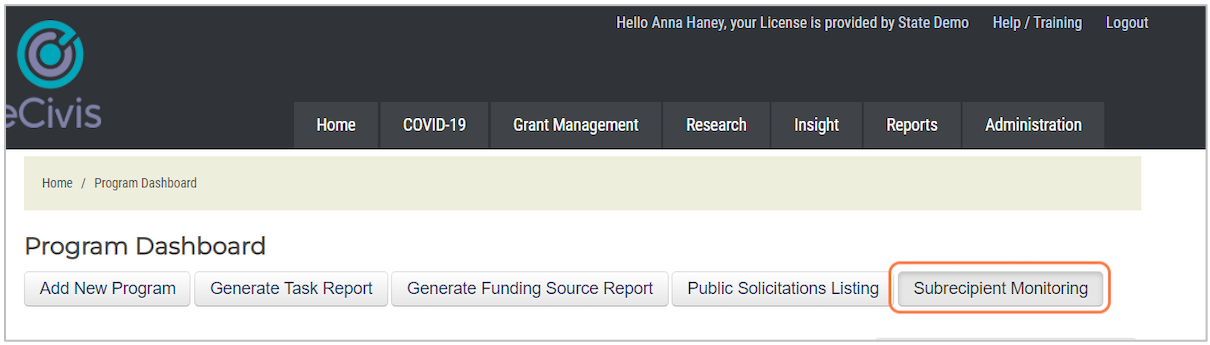
Performing this action will save all the information you have entered and complete the process of creating a monitoring and monitoring preparation task.

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.

How to create Monitoring and Preparation tasks for multiple Programs

1. Program Dashboard > Subrecipient Monitoring

Open the Subrecipient Monitoring Dashboard



2. Subrecipient Monitoring > Add Monitoring Task

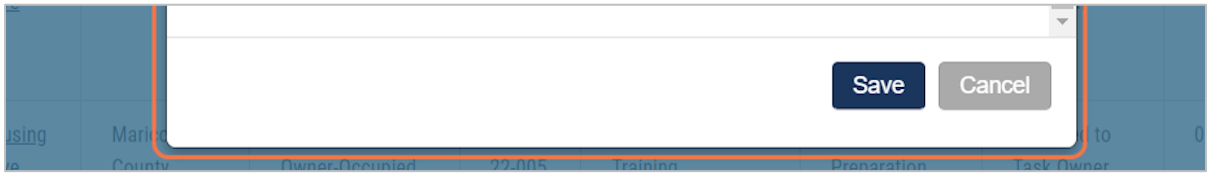
From the Subrecipient Monitoring Dashboard, click on 'Add Monitoring Task'

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.

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.



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

How to Review/Finalize a Monitoring and Preparation task

1. Program Dashboard > Subrecipient Monitoring

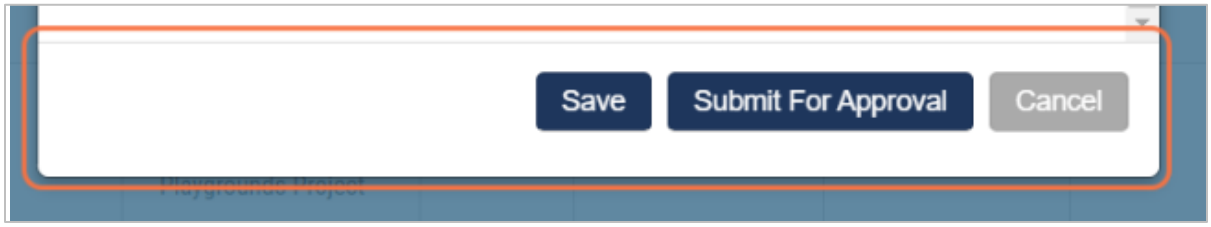
As a task owner, open the Subrecipient Monitoring Dashboard

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.

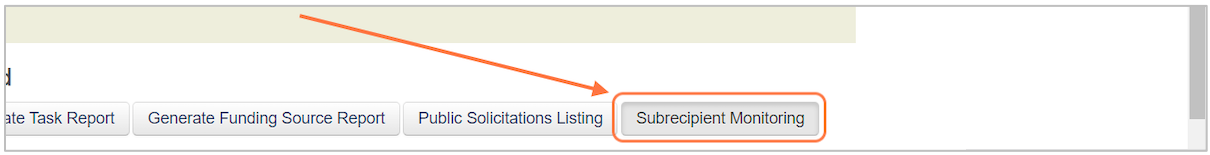


An email notification is sent to the Approver.

How to Approve a Monitoring and Preparation task

1. Program Dashboard > Subrecipient Monitoring

As a task approver, open the Subrecipient Monitoring Dashboard

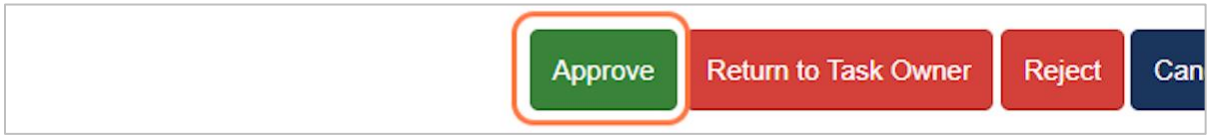


2. Actions > Review

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

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

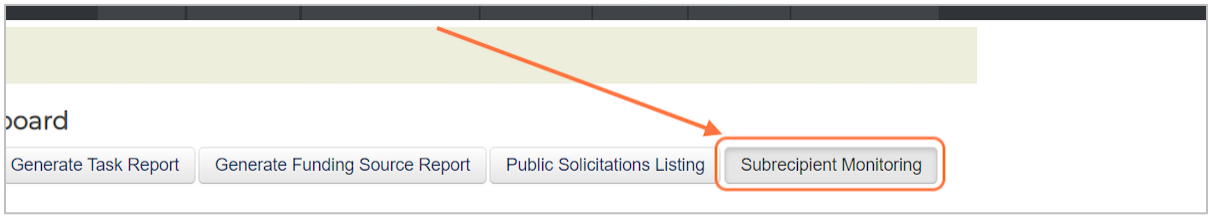
Optionally, you can provide additional notes at this point for both external and internal users. Click OK to complete the process of approving a monitoring task.

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

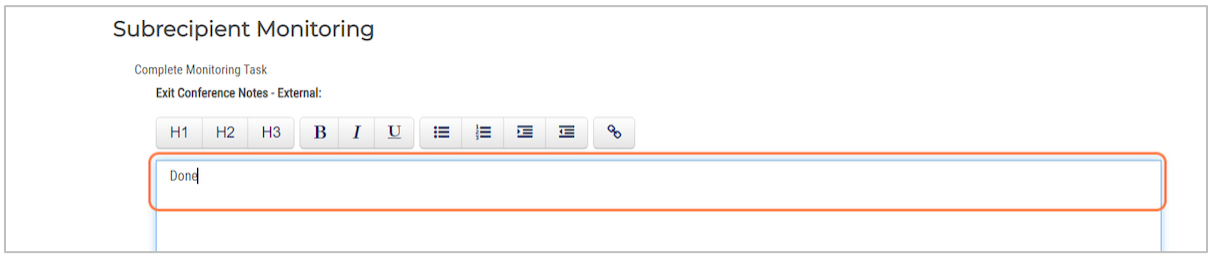


2. Actions > Complete

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

3. Fill the Monitoring task completion form

Add notes and files for internal and/or external users



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

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

Add (Findings/Concerns):

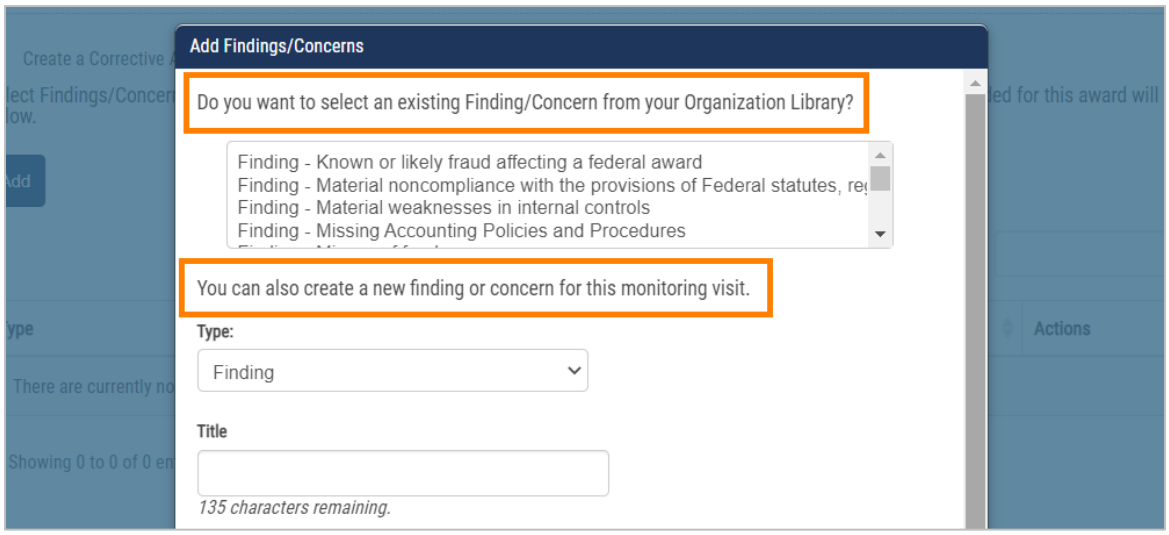
Select one or multiple findings/concerns from the Organization Library

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

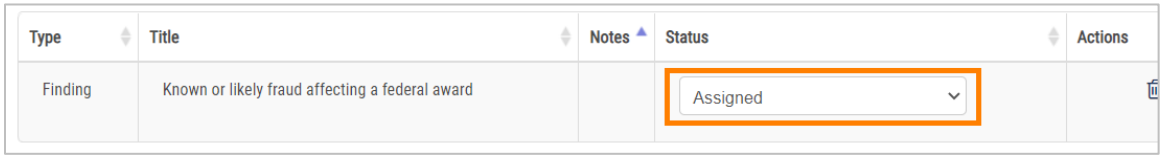
Type: Finding or Concern

Title of Finding/Concern

Notes



Change Status of Finding/Concern



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'

An email notification is sent to the Subrecipient.

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

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

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.

How to Approve a Corrective Action Plan (CAP)

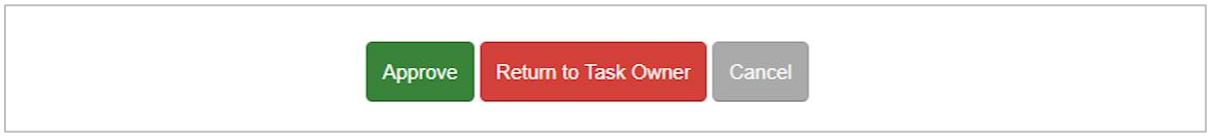
1. Program Dashboard > Subrecipient Monitoring

As an Approver, open the Subrecipient Monitoring Dashboard

2. Pending Tasks > Actions

On the task row, click on Actions > Review Task

3. Approve or Return to Task Owner

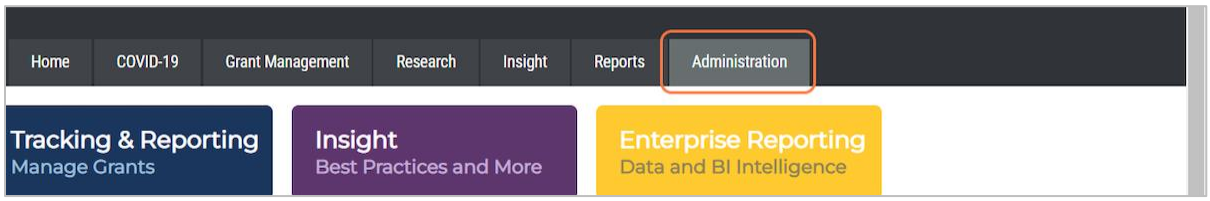


Task owner will be notified through email in both cases.

How to add a Finding/Concern to the Organization Library

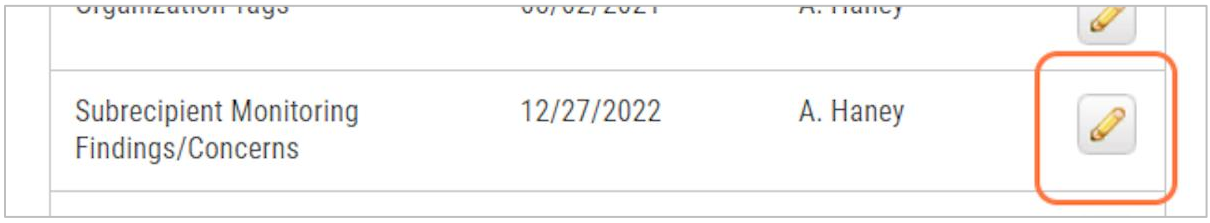
1. Administration > Organization Library

Open the Organization Library

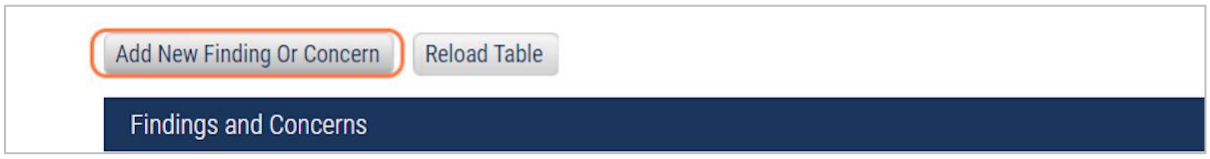


2. Organization Lookups > Subrecipient Monitoring Findings/Concerns

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

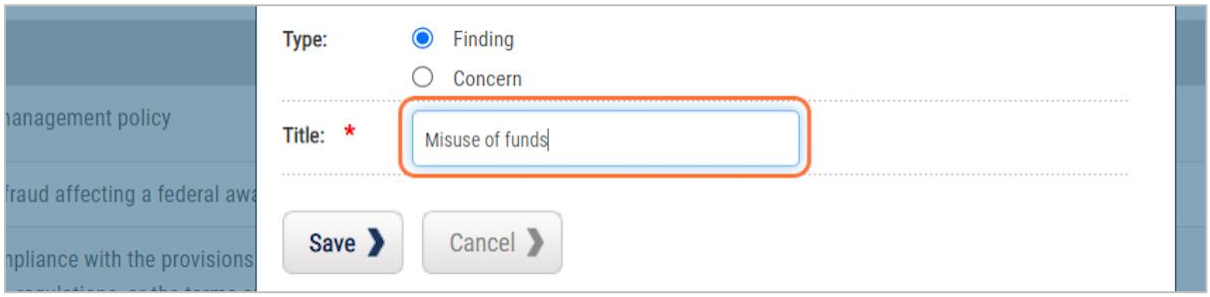


3. Click on Add New Finding or Concern



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.



Additional Resource(s):

Subrecipient Management Guide

Question? Contact support at support@ecivis.com