

# HVRP On-Site Review (OSR) Assessment Tool Template

## Administrative Data and OSR Progress Completion Tracker

Organization Name:

Grant Number:

Authorized Representative:

Point of Contact:

Period of Performance (PoP): \_\_\_\_\_ to \_\_\_\_\_

Program Year (PY) Reviewed:

Operating Under an HR Designation:      Yes      No

On a Drawdown Restriction:      Yes      No

Virtual or In-Person:      Virtual      In-Person      Combination

VETS Staff Member(s) Conducting Review:

Date Notification Letter Sent to Grant Recipient:

Date(s) of OSR Visit: \_\_\_\_\_ to \_\_\_\_\_

Date of Entrance Brief:

Date of Exit Brief:

Date Final Report Received Approval from RAVET:

Date Final Report Sent to Grant Recipient:

Date Final Report Filed in GrantSolutions:

## Documentation Request Inventory

- The General Ledger with cost codes covering grant expenditures incurred through  
As a reminder, this includes a review for purchases made for participant support costs and gift card/incentive expenditures.

Received:      No      Yes      Date:



## Staff Interview List

Instructions: VETS staff will complete the table below for everyone interviewed.

| Name | Title | Phone | Email | Date Scheduled for Interview | Date Completed Interview |
|------|-------|-------|-------|------------------------------|--------------------------|
|      |       |       |       |                              |                          |
|      |       |       |       |                              |                          |
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## Verification of Grant Physical Address

Instructions: Beginning with new PY25 awards, grant recipients must have a physical address within 50 continuous miles of each Service Delivery Area (SDA). VETS staff must validate the grant recipient's physical address(es) where their staff is located and where they provide services. The street address(es) should match their VETS-704 – Abstract (tab 1 in Attachment A). While office locations may change over time, the city is the basis for defining the 50-mile SDA radius. The new physical address must be within a 50-mile radius of the counties served under the previous address. No changes to the grant's existing SDA will occur as a result of the new address unless there is an approved SDA change amendment. Failure to maintain a physical location will result in a managerial corrective action plan and may potentially contribute to a high-risk designation for non-compliance with grant requirements. Do the physical locations align with their Abstract? If not, did the grant recipient document any physical address changes via a grant message in GrantSolutions, and does it meet the requirements above?

## Performance Summary

1. Are the performance reports submitted timely in accordance with the due dates prescribed in VPL 03-24, or the latest guidance on the subject?            Yes        No

Instructions: If no, VETS staff will note this as a finding and list the quarterly reporting period end date(s) that the reports were received untimely.

2. Has the grant recipient failed to meet minimum expectations for three performance indicators for three consecutive quarters in accordance with VPL 03-24, or the most recent guidance on High Risk Designations (cells are shaded red)?            Yes        No

Instructions: If yes, VETS staff will list which performance indicators. VETS staff will note this as a finding and will recommend the grant recipient be placed on high-risk.

3. Are the staffing levels to the number of positions and percent of time listed, compared to the latest approved budget narrative for the program year being reviewed?            Yes        No  
Is only one person listed for each Budget Narrative authorized position?            Yes        No

Instructions: If no, VETS staff will summarize the results and findings from the review of the Personnel Section of the grant recipient's budget narrative for the PY being reviewed, compared to the VGRS Narrative Personnel Section to note inconsistencies.

## Financial Review

Quarterly reporting period end date:    9/30    12/31    3/31    6/30

Do actual staff levels and assignments agree with those described in the approved grant?

Yes    No

Instructions: VETS staff will summarize the results and findings from the review of the Personnel Section of the grant recipient's budget narrative for the PY being reviewed, compared to the VGRS Narrative Personnel Section. The main difference is comparing the payroll records for individuals paid by grant funds to the VGRS Narrative Personnel Section. Is the time, rate of pay, and position consistent with the grant recipient's budget narrative, payroll records, and VGRS Narrative Personnel Section?

Does the grant recipient have documenting evidence of expenditures (e.g., subrecipients, receipts/invoices, documentation from employer that specific tools or clothing is required for employment, purchase orders, travel costs, equipment, supplies, time sheets)?

Yes    No

Instructions: VETS staff will summarize the results and findings from the review of supporting documentation for expenditures from/through the dates requested in the notification letter. VETS staff will compare invoices and recipients to total expenditures reported for the period reviewed. In reviewing the documentation for expenditures, VETS staff will evaluate whether the expenditures are consistent with those described in the reviewed PY's budget narrative.

Does the grant recipient's accounting system track total funds available for the grant and total funds available for a budget cost category (e.g., Personnel, Travel, etc.)?

Yes      No

Instructions: If no, VETS staff will describe how the grant recipient accounts for grant fund expenditures amongst cost categories, noting whether or not there are any financial performance issues.

Is the grant recipient using carryover funding on a first-in, first-out (FIFO) basis, prioritizing the charging of expenditures to any remaining funding attached to the earliest awarded increment?

Yes      No

Instructions: For grant recipients in their second or third year, VETS staff will review the Payment Management System (PMS) subaccount balance(s) in order to determine whether or not the recipient is following VPL 03-24, FIFO, or the latest guidance on the subject. In some cases, the VETS staff member will need to provide technical assistance (TA) when spending is occurring on multiple subaccounts. VETS staff should consider the following TA options: Option 1: Move funds (up to 10 percent) without an amendment (not an option for participant support costs); Option 2: Amendment Required; Move more than 10 percent of the total awarded amount between cost categories. Move any amount from the Participant Funds category to another cost category. Option 3: Make no change to the Approved Budget and risk having unexpended funds at closeout. Failure to change their budget could also impact consideration for future VETS awards.

Are the quarterly financial reports being submitted timely and accurately in accordance with VPL 03-24, or the most recent guidance on the subject?

Yes      No

Instructions: If no, VETS staff will summarize the issues and TA provided.

Does the grant recipient have an approved Indirect Cost Rate Agreement, Cost Allocation Plan, or charge de minimis?

Yes      No      If yes, which one?

Indirect Cost Rate Agreement      Cost Allocation Plan      De Minimis

Instructions: If other than de minimis, VETS staff will state whether the documentation is current for the timeframe reviewed. If the grant recipient does not charge indirect costs, state that.

Does the grant recipient have policies and SOPs as required by VPL 06-24 and their Terms & Conditions?

Yes      No

Instructions: VETS staff will summarize the results of the policy and SOPs collected in response to the notification letter. VETS staff will identify the absence of any policies and SOPs and will note any deficiencies within the policies and SOPs that do not conform to required guidance.

## Participant Case File Review and Analysis

Instructions: The VETS staff member completing the review will complete the Participant File Review Workbook for each participant listed in the Notification Letter. Use the workbook to complete the answers below.

### Number of Case Files Reviewed:

Provide the number of case files you reviewed during this OSR.

### Number of Case Files with VGRS Data Validation Issues

Provide the number of case files you reviewed during this OSR with VGRS data validation issues.

### Number of Case Files with Participant Case File Documentation Issues

Provide the number of case files you reviewed during this OSR with participant case file documentation issues.

## Summary

Instructions: The VETS staff member will summarize the outcomes of the review, comparing the overall results of the findings from the participant file review, and note any findings, trends, promising practices or improvement needs.

## Functions of HVRP Staff

Instructions: VETS staff will meet with grant recipient staff responsible for duties associated with the functions of the HVRP staff. VETS staff should formulate questions for HVRP staff that should allow the interviewer to gauge whether or not the grant recipient is effective in the performance of the required programmatic functions.

### Outreach

#### To Participants

Instructions: Grant recipients must conduct effective outreach, recruitment, and engagement to meet participant enrollment goals. This is accomplished by using a flexible, effective, non-threatening, and persistent approach to meet veterans where they are. This means knowing the population and where to reach out to sheltered and unsheltered veterans in the SDA. This includes reaching veterans living in encampments, such as tent cities, as well as veterans in institutional settings, such as jails and hospitals. Referrals can also come from outreach to local partners, including shelters, jails, and American Job Centers (AJC). Outreach must also allow for in-person, virtual, socially distanced, or hybrid models.

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

#### To Employers

Instructions: It is critical that HVRP case managers align with a variety of partners to ensure supportive services are available to the participant to address all employment barriers with a goal of coordinated service delivery. HVRP case managers must work closely with other service providers to coordinate services, ensuring services are not duplicated and creating a positive customer experience. Stable housing, health care (including mental health), transportation, childcare, and other supportive services are critical in helping veterans experiencing homelessness reintegrate into the labor force.

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

## Supportive Services

Instructions: Grant recipients must leverage resources by conducting outreach and coordinating with other local and national organizations and supportive service programs, including penal institutions and halfway houses, to assist HVRP participants in overcoming barriers to employment. VETS promotes collaboration with other organizations to leverage federal, state, and local resources to the maximum extent possible in support of reintegrating veterans experiencing homelessness. Grant recipients must implement effective outreach on behalf of the participant to facilitate the delivery of effective job training, soft skills training, counseling, and other wraparound services, such as the provision of housing, transportation, childcare, and necessary health services (including mental health) as the means for expediting the reintegration of eligible veterans into the labor force.

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

## Case Management

Instructions: Case management is a client-centered approach in the delivery of individualized career services designed to develop comprehensive employment plans for participants, assist participants to overcome barriers to employment, ensure access to the necessary training and supportive services that impart relevant skills and connect participants with high-quality career opportunities, and provide support during program participation and after job placement. HVRP case managers are essential in keeping the participant engaged in the program. Case management is a collaborative process of assessment, planning, facilitation, care coordination, evaluation, and advocacy for options and services to meet an individual's comprehensive needs through communication and available resources to promote quality, cost-effective outcomes. Case

management is provided through the following activities: 1) Needs Assessment, 2) Individual Employment Plan, and 3) Employment and Supportive Services. VETS staff should familiarize themselves with the elements of these services as described in VPL 06-24.

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

### Collaboration

Instructions: It is critical that HVRP case managers align with a variety of partners to ensure supportive services are available to the participant to address all employment barriers with a goal of coordinated service delivery. HVRP case managers must work closely with other service providers to coordinate services, ensuring services are not duplicated and creating a positive customer experience. Stable housing, health care (including mental health), transportation, childcare, and other supportive services are critical in helping veterans experiencing homelessness reintegrate into the labor force.

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

### Job-Driven Training and Job Placement

Instructions: Employment and job-training plans will be included within the IEP. The job-training plan is based on the individual job-training needs assessment for each veteran. Job-driven training is targeted to the specific industries, occupations, and skills that are in demand locally and align with the participant's employment goals. In addition to strategies to address the participant's employment goals, the job-training plan should reflect, as appropriate, other

approaches to help the participant achieve self-sufficiency, including referrals to other services or programs. Job-driven training must enable a participant to become employable or seek a higher grade of employment and must align with the participants' employment goals. See VPL 06-24, section VIII. E. Grant recipients must have sound strategies for placing participants into unsubsidized employment in jobs that pay wages consistent with the relevant market. Grant recipients must work toward assisting participants to secure or attain employment in accordance with their employment goals during the period of performance, either through direct involvement by the grant recipient, through a robust referral system, or through the participant's own efforts. In accordance with VPL 06-24, the following are approved methods (through an employer, the participant, or an automated system) for documenting placement/employment outcomes (including dates of employment, hourly wages, and hours worked): pay stubs, automated employment verification systems; employer statement of earnings; documented contact with the employer attesting to employment of the participant; and supporting documentation of self-employment and wages earned (see VPL 06-24 for more details).

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

### Follow-up Services

Instructions: Grant recipients must provide post-exit follow-up services to participants enrolled and placed during the current PoP and for four quarters after exit (through the end of the PoP) to increase the participant's success in employment retention.

VETS staff will summarize a response to this element based on the results of their evaluation through staff interviews and observations.

## Participant Support Costs

Instructions: VETS staff reviews and evaluates whether the grant has a budget that includes participant support, and if so, that the participant support costs are reasonable and necessary to enable a participant to take part in services and activities related to the employment plan. If applicable, the VETS staff member should request to review additional case files where participants incurred costs to test that the cost was allowable and to test the grant recipient's adherence to their SOP. VETS staff should describe the results of their reviews.

## Participant Incentive Costs

Instructions: Incentives may be provided to active HVRP participants for recognition and achievement directly tied to participation in the program and employment goals. Incentives may be provided to enrolled participants and participants maintaining employment throughout the 12-month retention period. If applicable, the VETS staff member should request to review additional case files where participants were issued incentives to test that the cost was allowable and to test the grant recipient's adherence to their SOP. VETS staff should describe the results of their reviews.