

## Managing Site Visits & Desktop Reviews

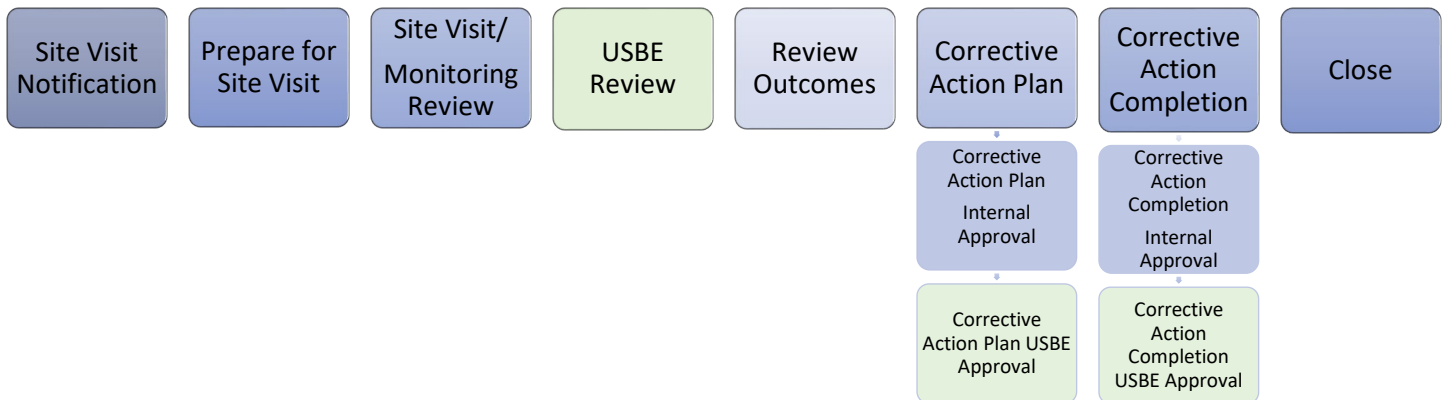
Site visits and desktop reviews in Utah Grants are used by Utah State Board of Education (USBE) to notify subrecipient of an upcoming review. The subrecipient will access Utah Grants to attach requested documents prior to the site visit. Workflows have been established to track and approve outcomes and corrective actions (if any). All information pertaining to the visit and review are maintained in the site visit record.

USBE program staff create a site visit record within Utah Grants. The site visit record contains details regarding the program(s) to be reviewed, period being reviewed, date of the visit, etc.

Note that a site visit may not necessarily occur “on-site.” While the visit may be in-person, many monitoring visits are conducted during an online meeting or information is reviewed independently. Please contact the site visit Key POC with any questions on scheduling.

Upon completion of the monitoring visit, any outcomes will be documented directly in the site visit record. If corrective action is needed, that will also be tracked within the site visit record.

Below shows the workflow for site visit activities. If multiple findings are reported, a corrective action plan is required for each finding.



## Site Visit Notification

1. An email notification is sent via Utah Grants to all site-visit contacts. The notification goes only to the individuals listed in the site-visit record and includes the Subrecipient Key Point of Contact.

**Note:** individuals may receive notification even if they are not a user in Utah Grants. The notice is for informational purposes, and it is expected that a Subrecipient Utah Grants user will manage the documentation required within the system. If additional users are needed, please refer to the training titled *Managing Users in Utah Grants* or contact the Utah Grants Help Desk.

Dear User,

A Site Visit has been scheduled for [Subrecipient]. Please navigate to Monitoring: View Site Visits and view [Site Visit Title] for details. More information will be provided by the USBE program office.

Site Visit Start & End Dates:

Site Visit Period Start & End Dates:

Required to be in attendance:

If you have questions / concerns, contact [Site Visit Contact].

Note: if you are not an active user in Utah Grants, this notification is for informational purposes only.

Sincerely,

UtahGrants Support Team

# Prepare for Site Visit

2. Navigate to the site visit record. Click the **Monitoring** tab (top menu), then click **View Site Visits** link (left menu)

Enterprise Grants Management System - UAT

Monitoring

View Site Visits

Pending Payments

Created Submitted to Grantor Approval 2 Approved

Monitoring Schedule for All Active Grants

This Section Manages Post Award Activities for Grant as below:

3. Click the **green eye** icon next to view the site visit detail.

Activity	Site Visit Name	ID	LEA Name	Monitoring Type	Site Visit Period	Status	Actions
Site Visit	Title Programs Site Visit	SV-2666	Alpine School District	Fiscal	1/5/2020 – 3/31/2020	Active	
Site Visit	SV-Jan4_01	SV-2663	Alpine School District	Fiscal	1/3/2020 – 2/1/2020	Closed	
Desktop Review	Desk Review -001	SV-2662	Alpine School District	Program & Fiscal	1/2/2020 – 1/31/2020	Active	
Site Visit	Site Visit - 002	SV-2661	Alpine School District	Program & Fiscal	1/2/2020 – 1/31/2021	Closed	

4. Alternatively, the site visit can be accessed via the **Home** tab (top menu), click **Manage Organization Profile**, go to the **Management** tab and locate the site visit record. Click the **green eye** icon to view.

Enterprise Grants Management System

HOME

Organization: Alpine School District

ID: 010 Status: Active Registered Date: 05/11/2018 11:32 AM Parent Organization: USBE

Management

Site Visit

Activity	Site Visit Name	ID	Monitoring Type	Site Visit Period	Status	Actions
Site Visit	TAP testing 080620	SV-2582	Program & Fiscal	8/10/2020 – 8/11/2020	Active	
Site Visit	test 3	SV-2581	Program	4/5/2020 – 4/30/2020	Sent to Subrecipient	
Site Visit	Grant	SV-2580	Program	4/6/2020 – 4/30/2020	Active	
Site Visit	test sv	SV-2579	Program	4/3/2020 – 4/30/2020	Closed	

Tip: If you do not see the left navigation pane, please expand the arrow next to the **Home** tab.



5. View the site visit details on the **Overview** tab.
  - a. Note the following information in the Heading:
    - i. Monitoring Activity: Desktop Review (review conducted remotely) or Site Visit (review conducted in-person)
    - ii. Monitoring Type: Program, Fiscal, or Program and Fiscal
  - b. In the Overview tab, note the details of the visit.
    - i. Monitoring Activity Start and End Dates – this is when the review will take place
    - ii. Period Being Monitored Start and End Dates – the period for which information will be gathered.
    - iii. USBE Key POC – USBE contact information
    - iv. Instructions for Subrecipient
    - v. Required Staff to be in attendance
    - vi. Instructions for Subrecipient**
    - vii. Programs – programs to be monitored
    - viii. Contacts

Site Visit  
**Site Visit Training**

Grantee Name	Monitoring Activity	Monitoring Type	ID
Alpine School District	Desktop Review	Program & Fiscal	SV-2578

Progress: ✔ Created ✔ Notified ○ Active ○ Submitted for Approval ○ Sent to Subrecipient ○ Pending ○ Closed

**Overview** | Attachments | History

▲ **Site Visit Details**

Monitoring Activity Start Date ⓘ 02/22/2023 9:00 AM	Monitoring Activity End Date ⓘ 03/03/2023 5:00 PM
Period Being Monitored Start Date 07/01/2021	Period Being Monitored End Date 06/30/2022
Description For training purposes	Unresolved Close Comments

▲ **USBE Key POC**

Email rebecca.nielsen@schools.utah.gov	Full Name Rebecca Nielsen
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**▲ Required Staff to be in Attendance**

Site Visit Persons  
Title I Director

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**▲ Instructions for Subrecipient**

Instructions for Subrecipient  
Please include time and effort documentation

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**▲ Programs**

Program Name	Fiscal Year	Program Pathway	Funder Type	Grants Manager
21T1FT Title IA	SFY-2021	Fed-Formula	Federal	Rebecca Donaldson

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**▲ Contacts to be Notified**

Name ↑	Organization Name	Phone	Email
Rebecca Donaldson	USBE	(801) 538-7869	rebecca.nielsen@schools.u...
Robert Smith	Alpine School District	(801) 610-8417	rebecca.nielsen@schools.u...

6. View the **Attachments** tab. Note there is a section for Attachments from Grantor (USBE); this section will include details regarding the site visit, including requested documentation. The section for Attachments from Grantee (LEA) should be used to attach requested documentation for USBE.
  - a. To include attachment, click on **New**

Site Visit  
**Site Visit Training**

Grantee Name: Alpine School District | Monitoring Activity: Desktop Review | Monitoring Type: Program & Fiscal | ID: SV-2578

Progress: Created Notified Active Submitted for Approval Sent to Subrecipient Pending Closed

Overview | **Attachments** | History

**▲ Attachments from Grantor**

Search...

#	Attachment Name	Classification	Description	Created By	Assigned To
No records found					

**▲ Attachments from Grantee** New

Search...

#	Attachment Name	Classification	Description	Created By	Assigned To
No records found					

- b. In the New pop-up window, **choose the file**, add a **description** of the file, and **Save**.

New

Upload file from Computer

\*Type Requested Documents

\*File Choose File No file chosen

\*Description

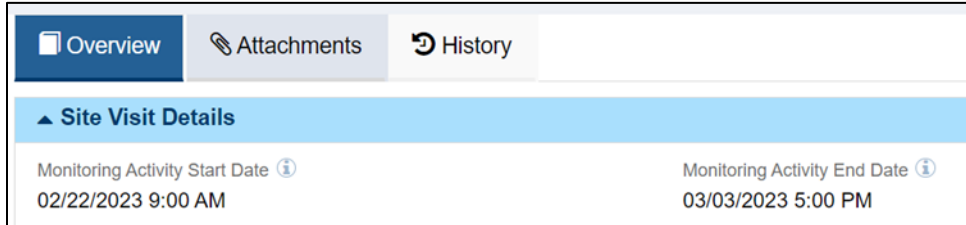
Save

7. The site visit is considered “Active” when the scheduled visit begins. Attachments can be added before the site visit or during the site visit period. Attachments can also be added after the visit if the visit record has not been closed.

## Site Visit / Monitoring Review

- The site visit will take place on the dates specified in the Site Visit Details, Monitoring Activity Start Date.

Note that a site visit may not necessarily occur “on-site.” While the visit may be in-person, many monitoring visits are conducted during an online meeting or information is reviewed independently. Please contact the site visit Key POC with any questions on scheduling.



Monitoring Activity Start Date ⓘ	Monitoring Activity End Date ⓘ
02/22/2023 9:00 AM	03/03/2023 5:00 PM

## USBE Review

- USBE monitoring team will review the information provided and prepare outcomes if necessary. Possible outcomes are as follows:
  - Finding – Requires Corrective Action
  - Finding – Corrective Action Complete
  - Observation
  - Concern
- There may be more than one outcome from a site visit. A corrective action is required for each finding. A pending task will be created for each finding requiring a corrective action.

# Review Outcomes

- Subrecipients will be notified with an email from Utah Grants directing user to pending tasks associated with findings. Any active user can complete the corrective action, but the notification and pending task will only be issued for the users specified in the site visit.

Note: A corrective action plan is required for each finding. A pending task will be created for each finding.

Dear User,

A finding has been associated with the [Site Visit Title] for [Subrecipient]. Please navigate to Monitoring: Pending Tasks to add a corrective action for the finding: [Finding # and Title].

Sincerely,  
UtahGrants Support Team

- Navigate to **Monitoring > Pending Tasks** and select appropriate site visit.

Ref. ID	Type	Subject	Created By	Created Date	Actions
PR-USBE-5105	Recipient Review Paym...	Waiver	Chip Koop	8/21/2019 2:09 PM	▶
Test 1	Create Corrective Actio...	Create Corrective Actions for Site Visit	Rebecca Alpine District11	1/3/2020 11:22 AM	▶
F1:Time & Effort ...	Create Corrective Actio...	Create Corrective Actions for Site Visit	Rebecca Donaldson	1/6/2020 11:54 AM	▶

- Review detail on the **Outcomes** tab, then click **Back**.

Outcome  
**F1: Time & Effort Reporting**

ID	Created Date	Site Visit Name	Site Visit ID
OTC-014	1/6/2020 11:29 AM	Title Programs Site Visit	SV-2666

**Outcome Details**

Type  
Finding

Title  
F1:Time & Effort Reporting

Description  
Time & Effort not signed

Discussed with  
Mel Gibson



Criteria  
Time & Effort not signed



# Corrective Action Plan

12. On the **Outcomes** tab, click **Corrective Action** hyperlink. (Clicking the Green Eye will take you to the Outcome Record overview page.)

Note: This is the plan for correction, not the report of the resolution. Resolution will be reported in step 18.  
Note: A Corrective Action Plan is required for each Finding. Repeat steps 12-14 for each finding.

Type	Title	Description	Created By	Actions
Finding	F1:Time & Effort Reporting	Time & Effort not signed	Rebecca Alpine District11	 <a href="#">Corrective Action</a>
Observation	Observation 1	Observation 1 description	Rebecca Alpine District11	

13. Complete the **Corrective Action information**, then click **SAVE**.  
Assigned To: will be the user responsible for reporting corrective action completion.  
Due Date: Is the date the action is expected to be complete.

Create Corrective Action

Status: Created ID: [ ]

Fields marked as \* are required

**Corrective Action** Roles

**Corrective Actions**

\*Title: [ ]

\*Assigned To: [ ]

Description: [ ]

\*Due Date: [M/d/yyyy]

Cancel Save

14. Complete the **Roles** tab with the Grantee Approver (this is the Subrecipient approver that will approve the corrective action plan). Click **SAVE**.

Corrective Action Roles

**Grantee Approver**

\*Grantee Approver: Samuel Jarman

Grantor Approver: Rebecca Alpine District11

Cancel Save

## Corrective Action Plan Internal Approval

15. Subrecipient Internal Approver reviews the Corrective Action Plan. Navigate to **Monitoring** (top tab) > **Pending Tasks** (left menu). Select appropriate Corrective Action.

Note: This is the plan for correction, not the report of the resolution.

Note: A Corrective Action Plan is required for each Finding.

The screenshot shows the 'Enterprise Grants Management System - UAT' interface. The top navigation bar includes 'HOME', 'Opportunities', 'Applications', 'Grants', and 'Monitoring' (highlighted with a red box). The left sidebar menu shows 'Tasks' > 'My Tasks' > 'Pending Tasks' (highlighted with a red box). The main content area displays 'Pending Tasks (Assigned To Me)' with a search bar and a table of tasks.

Ref. ID	Type	Subject	Created By	Created Date	Actions
Test 1	Create Corrective Actio...	Create Corrective Actions for Site Visit	Rebecca Alpine District11	1/3/2020 11:22 AM	▶
CC- 2	Complete Corrective Ac...	Complete Corrective Action for Site Visit	Brian Olmstead	1/3/2020 12:11 PM	▶
CC- 2	Complete Corrective Ac...	Complete Corrective Action for Site Visit	Jaime Barrett	1/3/2020 12:24 PM	▶
cc1	Complete Corrective Ac...	Complete Corrective Action for Site Visit	Jaime Barrett	1/4/2020 8:09 AM	▶
cc1	Complete Corrective Ac...	Complete Corrective Action for Site Visit	Jaime Barrett	1/4/2020 8:19 AM	▶
F1 Corrective Action	Corrective Action Appro...	Corrective Action Approval USBE for Site Visit	Robert Smith	1/6/2020 1:01 PM	▶
F1 Corrective Acti...	Corrective Action Appro...	Corrective Action Approval USBE for Site Visit	Robert Smith	1/6/2020 1:03 PM	▶

16. Review corrective action plan and approve (or send back if needed).

The screenshot shows the 'F1 Corrective Action' approval form. The title is 'F1 Corrective Action'. The status is 'Submitted for Approval' and the ID is 'CA-0009'. Under the 'Approval Decision' section, there are radio buttons for 'Approve' (selected) and 'Send Back'. A text input field labeled 'Enter Your Comments' is present, and a 'Submit' button is highlighted with a red box.

## Corrective Action Plan USBE Approval

17. USBE Grant Manager reviews the Corrective Action Plan. USBE Grant Manager will either approve the plan or send it back to the subrecipient for revisions. After USBE Grant Manager approves the Corrective Action, you will receive a task to Close the Site Visit.

# Corrective Action Completion

18. The Corrective Action Owner (as specified in Step 13) reports on the completion of the corrective action. Navigate to **Monitoring** (top menu) > **Pending Tasks** (Left pane) and select **Complete Corrective Action Plan**.

Ref. ID	Type	Subject	Created By	Created Date	Actions
PR-USBE-5105	Recipient Review ...	Waiver	Chip Koop	8/21/2019 2:0...	▶
Test 1	Create Corrective ...	Create Corrective Actions for Site Visit	Rebecca Alpine Distric...	1/3/2020 11:2...	▶
F1 Corrective...	Complete Correcti...	Complete Corrective Action for Site Visit	Rebecca Alpine Distric...	1/6/2020 1:11...	▶

19. Review **Corrective Action Plan**, add documentation of action via attachments.

Created Submitted for Approval Submitted to Grantor Open Requested to Close Grantor to Close Closed

**Corrective Action** Roles History

**Corrective Actions**

Title: F1 Corrective Action  
Assigned To: Robert Smith

Description: We are writing a policy  
Due Date: 1/31/2020

Comments: Unresolved Close Comments thanks!

**Attachments** Add

Name	Type	Description	Date Attached	Attached By	Actions
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20. Click **Request to Close**.

Back Request to Close

Title: F1 Corrective Action  
Status: Open  
ID: CA-0009

Created Submitted for Approval Submitted to Grantor Open Requested to Close Grantor to Close Closed

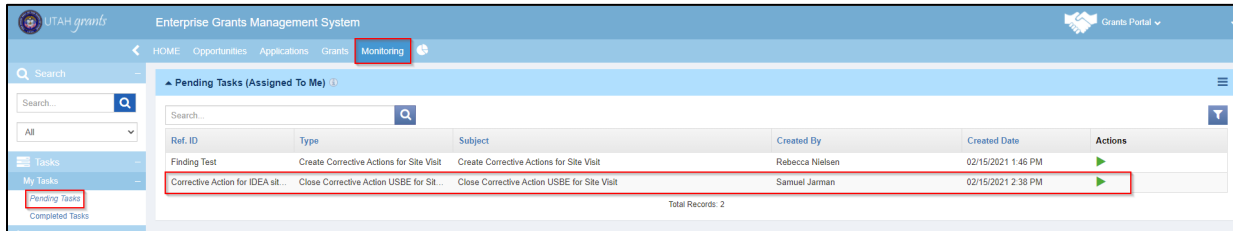
**Corrective Action** Roles History

**Corrective Actions**

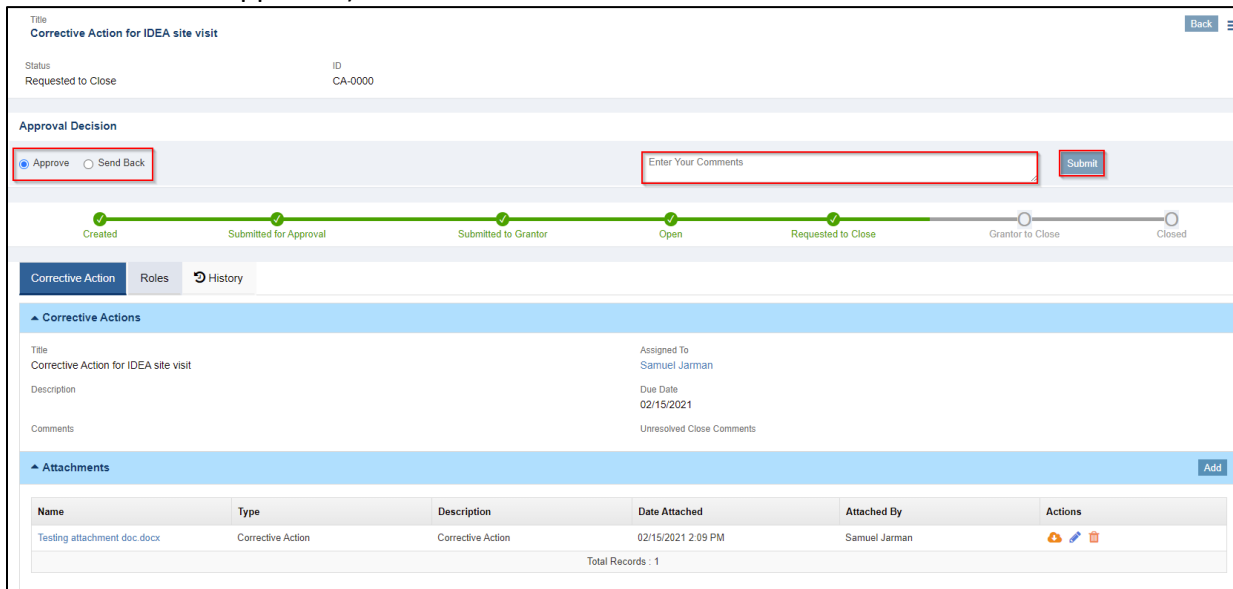
Title: F1 Corrective Action  
Assigned To: Robert Smith

## Corrective Action Completion Internal Approval

21. Subrecipient Internal Approver (as specified in step 14) approves the Corrective Action report. Navigate to **Monitoring** tab > **Pending Tasks** (left side bar) > **Green Play** button for the Close Corrective Action line.



22. Review the Corrective Action Record. Make an **Approval Decision**, add a **Comment**, and **Submit**. (If you choose Send Back, the record will go back to the Owner. Approving will move this on to USBE for their review and approval.)



## Corrective Action Completion USBE Approval

23. USBE Grant Manager reviews the Corrective Action and will either approve the Request to Close Corrective Action or send back for revision.

Note: A Corrective Action is required for each Finding. The site visit record will remain open until all findings are resolved.

## Site Visit Closed

24. After all corrective action activities are approved, the site visit record is considered closed.