



**Office of  
Victim Services**

**Management Assessment Plan  
(MAP) – Subgrantee Guide**

**New York State  
Office of Victim Services**

*Effective October 1<sup>st</sup>, 2022*

## INTRODUCTION

This plan is developed in compliance with the Office of Victims of Crime (OVC) requirement that State Administering Agencies (SAA) develop and implement monitoring plans that include regular desk monitoring and on-site monitoring, of all subawards. Monitoring plans must include a risk assessment plan. The rule, consistent with 2 CFR §200.331 (b), (d) and (e), permits SAAs to develop and implement alternative monitoring plans and further clarifies that SAAs may also implement alternative monitoring timeframes.

## ABOUT

Since October 1, 2017, the New York State Office of Victim Services (OVS) has required all subgrantees to submit detailed backup documentation for when requesting reimbursement. OVS has developed an alternative monitoring plan referred to as a Management Assessment Plan (MAP). This MAP is effective for all Victim Assistance Programs (VAPs) beginning October 1, 2021 and will be periodically reviewed and altered, as appropriate, during the term of the contract.

# MANAGEMENT ASSESSMENT PLAN

OVS is implementing this revised subrecipient monitoring plan. The monitoring plan is directed by assessments conducted using a Program MAP tool.

OVS will use the MAP to assess each program fiscally and programmatically in order to implement a specific set of monitoring requirements for each program. This includes but is not limited to backup and supporting documentation levels, site visit and desk audit frequencies, and additional programmatic requirements.

Based on the results of the MAP tool, each program will receive two assessments; one Fiscal and one Programmatic. Assessments will place each program into a Tier, which will outline the program’s monitoring and reimbursement requirements. Assessments are subject to change

Tier 1 consists of the minimum level of OVS requirements, Tier 2 consists of mid-level requirements, and Tier 3 consists of the maximum levels of OVS requirements. Tier requirements are detailed in the **Assessment Outcomes** section of this document.

Each program’s assigned Contract Management Specialist (CMS) will be responsible for completing each program’s MAP annually. Supervisor’s review and approve the initial and subsequent MAP assessment outcomes.

## ASSESSMENT CRITERIA

Each program will be assessed on predetermined Fiscal and Programmatic criteria.

Each program’s Fiscal MAP score is informed by the following areas:

Total Annual Budget Dollar Value	Fiscal Request Response Timeliness
Percentage of Overall Funding Provided by OVS	History of Underspending VOCA Funding
Independent Audits/Office of the State Comptroller Audits	Fiscal Cost Report Timeliness
Fiscal Staff Turnover	BAR Accuracy and Allowability
Desk Audit Findings and Recommendations	

Each program’s Programmatic MAP score is informed by the following areas:

Site Visit Findings and Recommendations	Programmatic Request Response Timeliness
Senior Management Turnover	Changes in Services Provided Without Justification
PMT Accuracy	Participation In OVS Training Opportunities
Victim Service Complaints	Legal Claims, Civil Actions, Judgements, Liens, Etc.

## ASSESSMENT OUTCOMES

At the start of every contract period, Contract Management Specialists will send notification letters informing programs of their assessments and the resulting requirements. Requirements remain in effect for one year, or until receipt of a new and different assessment outcome.

For each Assessment component, Fiscal and Programmatic, programs will have separate scores which will result into two separate Tier assignments. Each Tier assignment has a prescribed set of requirements detailed in the subsequent sections. Assessments are subject to change.

Regardless of the assigned Tier, OVS reserves the right to require additional documentation at any time. Failure to provide documentation in a timely manner may result in assignment to a higher Tier level. Contract Management Specialists will assess this continually and make recommendations to OVS management. Failure to provide required documentation will be taken into consideration for a program’s next annual MAP.

<b>FISCAL OUTCOMES</b>	
<b>Tier/Score</b>	<b>Requirements</b>
Tier 1	<ul style="list-style-type: none"> <li>• Desk Audit: Every 2 Years</li> <li>• Reimbursement Supporting Documentation*:               <ul style="list-style-type: none"> <li>○ Fiscal Cost Report (FCR)</li> </ul> </li> <li>• Other:               <ul style="list-style-type: none"> <li>○ Policies regarding cash and cash equivalency (only to be collected once per Federal Fiscal Year)</li> </ul> </li> <li>• For one quarter, Fiscal Tier 1 Agencies will be required to comply with Fiscal Tier 2 requirements. Agencies will be notified prior to submitting their Fiscal Cost Reports of their assigned quarter</li> </ul> <p style="text-align: right;"><i>* Additional backup/supporting documentation, including proof of payment, may be requested by OSC or OVS at any time.</i></p>
Tier 2	<ul style="list-style-type: none"> <li>• Desk Audit: Every 2 Years</li> <li>• Reimbursement Supporting Documentation*:               <ul style="list-style-type: none"> <li>○ Fiscal Cost Report (FCR)</li> <li>○ Payroll/Salary Backup and Volunteer Logs (only if volunteers are used as match)</li> <li>○ Invoice and proof of payment for any single vendor over \$500 to OVS (Contractual, Travel, Equipment, Operating Expenses)</li> <li>○ Client Expenses (such as emergency client expenses or client transportation expenses - invoice or proof of payment)</li> <li>○ Travel/Mileage Logs (if program is submitting travel expenses)</li> </ul> </li> <li>• Other:               <ul style="list-style-type: none"> <li>○ Policies regarding cash and cash equivalency (only to be collected once per Federal Fiscal Year)</li> </ul> </li> </ul> <p style="text-align: right;"><i>* Additional backup/supporting documentation, including proof of payment, may be requested by OSC or OVS at any time.</i></p>
Tier 3	<ul style="list-style-type: none"> <li>• Desk Audit: At least every 2 Years</li> <li>• Reimbursement Supporting Documentation*:               <ul style="list-style-type: none"> <li>○ Fiscal Cost Report (FCR)</li> <li>○ Payroll/Salary Backup and Volunteer Logs (only if volunteers are used as match)</li> <li>○ Invoices and proof of payment for any expense (excluding Fringe and Space)                   <ul style="list-style-type: none"> <li>▪ Including Client Expenses (Such as emergency client expenses or client transportation expenses - invoice or proof of payment)</li> </ul> </li> <li>○ Travel/ Mileage Logs (if program is submitting travel expenses)</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>• Other:             <ul style="list-style-type: none"> <li>○ Policies regarding cash and cash equivalency (only to be collected once per Federal Fiscal Year)</li> </ul> </li> </ul> <p style="text-align: right;"><i>* Additional backup/supporting documentation, including proof of payment, may be requested by OSC or OVS at any time.</i></p>
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<b>PROGRAMMATIC OUTCOMES</b>	
<b>Tier/Score</b>	<b>Requirements</b>
Tier 1	<ul style="list-style-type: none"> <li>• Site Visit:             <ul style="list-style-type: none"> <li>○ Once during contract period (~every 3 years)</li> </ul> </li> </ul> <p style="text-align: right;"><i>** Additional requirements may be imposed by OVS at any time including but not limited to: Victim Compensation Training, Follow-up Visits, Additional Technical Assistance Visits, Additional Site Visits, etc. **</i></p>
Tier 2	<ul style="list-style-type: none"> <li>• Site Visit:             <ul style="list-style-type: none"> <li>○ Every 2 Years (Based on date of previous site visit)</li> </ul> </li> </ul> <p style="text-align: right;"><i>** Additional requirements may be imposed by OVS at any time including but not limited to: Victim Compensation Training, Follow-up Visits, Additional Technical Assistance Visits, Additional Site Visits, etc. **</i></p>
Tier 3	<ul style="list-style-type: none"> <li>• Site Visit:             <ul style="list-style-type: none"> <li>○ At least every 2 Years (Based on date of previous site visit)</li> </ul> </li> <li>• Technical Assistance:             <ul style="list-style-type: none"> <li>○ Required on off-years of site visit</li> </ul> </li> <li>• Other:             <ul style="list-style-type: none"> <li>○ Program may be required to create a plan to address concerns or issues found during Programmatic Assessment. CMS 1 will inform program of requirements if needed.</li> </ul> </li> </ul> <p style="text-align: right;"><i>** Additional requirements may be imposed by OVS at any time including but not limited to: Victim Compensation Training, Follow-up Visits, Additional Technical Assistance Visits, Additional Site Visits, etc. **</i></p>

Programs' Contract Management Specialist will schedule a phone call to discuss MAP Fiscal and Programmatic outcomes and Tier requirements. Contract Management Specialists will discuss areas that programs can improve on in order to reach a different Tier for the next contract year, if necessary.

Programs that have never received OVS funding or have not held a contract with OVS in the previous 12 months will automatically be placed on a Probationary Status for the first year of their award and will be assigned Tier 3 Fiscally and Programmatically. Upon the start of the second year of the program's award, the Contract Management Specialist will conduct a new review of the MAP and the program will receive a Fiscal and Programmatic Score based on its previous year's performance.

## CHANGES TO ASSESSMENT OUTCOMES

There are limited circumstances in which OVS will make changes to a program's MAP outcome and subsequent requirements. Programs will have an opportunity to appeal their outcome outlined in the guidance below. Alternatively, OVS may require additional information, or may modify a program's score for various reasons including but not limited to noncompliance, changes in criteria or status, audit findings, etc. Assessments are intended to be completed annually. Tier assignments remain in place until a program is notified upon the completion of the proceeding assessment.

### **APPEALS**

Programs may appeal MAP outcomes within 10 business days of receiving the notification letter. Appeals must be requested in writing and must document a supported justification for the appeal. All appeals must be sent to [ovsgrants@ovs.ny.gov](mailto:ovsgrants@ovs.ny.gov).

OVS will respond to appeals and may request additional information or notify the program regarding its new MAP Tier if applicable, within 30 days of receipt of the appeal.

Programs will receive a notification either confirming the original outcome or notification of a new score and Tier assignment. Appealing MAP outcomes does not guarantee movement into a new Tier. Upon submitting a request to appeal, the program is agreeing to the requirements assigned after appeal. In limited cases, this may mean being moved into a Tier with additional requirements. All appeal decisions are final.

### **ADDITIONAL REQUIREMENTS IMPOSED**

Regardless of the assigned MAP Tier assignment, OVS staff will use their professional judgement on an ad-hoc basis in order to determine if additional supporting documentation, monitoring, or technical assistance may be required.

Map outcomes serve as a plan for Contract Management Specialists to follow, and OVS reserves the right to require supporting documentation in addition to assigned Tier requirements at any time for any reason. This may include additional documentation for a particular claim.

### ***New York State Office of the State Comptroller (OSC) Audits***

The New York State Office of the State Comptroller sometimes selects payment vouchers to be audited and requires specific backup documentation to ensure the payment is just, due, and owing for the voucher. OSC requires the supporting documentation to be provided within a strict deadline. In the event OSC is auditing a program's payment request and requires backup documentation not normally collected within the program's assigned Tier, Contract Management Specialists will reach out to the program to collect the OSC required documentation. Because programs are still required to keep all supporting documentation, OVS expects this will be provided in a timely manner within the deadline provided. Failure to produce the supporting documentation will result in a rejected payment voucher by OSC. Contract Management Specialists will determine if movement into a Tier with an increased level of supporting documentation is warranted. Programs with 2 or more instances of failing to provide the

requested documentation will automatically be moved into Fiscal Tier 3 for the remainder of the period.

### ***OVS Additional Requests***

As outlined in the Fiscal and Programmatic Outcomes above, additional supporting documentation, including proof of payment, may be requested by OSC or OVS at any time.

### **MID-YEAR CHANGES**

OVS reserves the right to modify existing MAP outcomes or conduct a new review of the MAP at any time. This includes but is not limited to a decrease in prompt communication requests; debarment; and timeliness of FCR submissions. Additional documents may be requested outside of the Tier requirements as a result of desk audits findings, site visit findings, etc.

## **COMMUNICATIONS**

In order to remain in compliance with Federal and State requirements, this guidance is subject to change. OVS Subrecipients are expected to remain in contact with their Contract Management Specialists, and are encouraged to regularly review OVS Broadcast Bulletins, Advisory Bulletins, email correspondence and [OVS VAP Connect](#) Posts. Any major changes to this plan affecting monitoring requirements will be communicated with programs. Programs are expected to review any changes before submitting for reimbursement, as changes may affect Tier level and requirements.

For any questions related to this Management Assessment Plan, please contact your assigned Contract Management Specialist.