

APPENDIX C

GOVERNMENT PROGRAM MANAGEMENT SURVEILLANCE PLAN

This Surveillance Plan applies to the post-award administrative phase of the grant lifecycle and provides guidance for maintaining compliance with the Uniform Guidance 2 CFR 200 pertaining to monitoring site visits during the administration of federal grants. The surveillance plan is intended for use by all parties involved in the grant 'assistance agreement' process.

- References: 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

Surveillances (site visits) should be scheduled as needed and as resources allow. Formal site visits are conducted to allow for a comprehensive review of the recipient and how the program is being managed. It includes, but is not limited to financial review, personnel review, program management review, and property review. This type of site visit requires planning, time, and resources.

The administration of grants should be a partnership between the awarding agency and the grantee; together, we can ensure all programmatic goals are met and all laws and regulations are followed. This partnership includes site visits.

The government intends to coordinate and schedule periodic on-site visits during the performance of the award. These events will be implemented through the Government Program Office designee and offeror's designee.

The following surveillance checklist will be used as a tool in documenting findings. The checklist must be fully completed and uploaded to the IC CAE Program Office Shared Drive for all official site visits conducted. All site visit checklist items should be completed in full in order to prepare the site visit after action report. In completing the site visit checklist, please note the following:

- Program Managers are required to complete all elements contained within this checklist for full monitoring visits. Full site visit monitoring can occur on-site or off-site, including such venues as the event site where a project deliverable is being presented, conferences and meetings convened by grantees in connection to the project. Full monitoring visits must include:

- Financial,
- Administrative, and
- Programmatic review elements.

If adequate information cannot be obtained during an off-site visit, it is acceptable for Program Managers to follow up and complete the checklist by obtaining required materials via fax, documented phone contact, email correspondence, etc.

A. Grant Information

Recipient Program Name:	Grant Number:	Principal Investigator Name:
Site Visit Start and End Dates:		IC CAE Program Manager Name:

B. Entrance Interview

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
1.	Conduct entrance interview.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
The purpose of the entrance interview (or conference) is to: <ul style="list-style-type: none">• Set the tone and establish expectations for the on-site monitoring visit,• Reiterate items that have already been sent to the grant contact in the initial email indicating the agenda, and• Discuss issues, problems, or concerns that have developed since the site visit was scheduled.					

C. Financial Review

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
2.	Conduct general budget review.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Follow up on any financial items identified during the desk review such as timeliness of financial reports or unallowable expenditures. Request sample of expenditures by budget category if not already requested or received prior to site visit. Review expenditures to determine if they are reasonable and allowable. (Ref. 2 CFR 200.403) <ul style="list-style-type: none"> Reasonable expenditures are items purchased that are necessary to the project; the cost of the items or services should not be excessive. (Ref. 2 CFR 200.404) Allowable expenditures are those costs that are allowed under public laws and regulations (e.g., OMB circulars, FAR), as well as under the award agreement and approved budget. For example, entertainment, donations, and interest expenses are unallowable under Government projects. Where travel is charged to an individual award there should be documentation (such as a travel authorization) describing the travel and explaining how/why this trip is directly related to or will help accomplish award objectives. Review the budget to ensure that the recipient hasn't exceeded expenditures per budget category in excess of 10 percent. Movement of dollars between approved budget categories is allowable up to 10 percent of the total award amount, provided there is no change in project scope. IC CAE Program Managers should contact the Grants Officer / Grants Specialist to address any identified issues and questions, as necessary. 					

ITEM	COMPLETED			COMPLETED BY
	YES	NO	N/A	
3. Verify that grant funds are not commingled.				
COMMENTS AND/OR ACTION ITEMS				
ISSUES FOR RESOLUTION				
GUIDANCE				
<ul style="list-style-type: none"> If other funds are being used to support the grant activity, verify that the funds are segregated and that the recipient's financial management system keeps them separate. <ul style="list-style-type: none"> For example, can the recipient show that a budget code has been assigned to this grant? Do discrete grant items have separate activity/accounting codes from other grant funds or funding sources? 				

D. Administrative – Award File Review

ITEM	COMPLETED			COMPLETED BY
	YES	NO	N/A	
4. While on-site, review the award file and check for: <ul style="list-style-type: none"> Original Proposal. Signed award document. Award modifications. Approved/Current Budget Report. Performance Progress Reports. 				
COMMENTS AND/OR ACTION ITEMS				
ISSUES FOR RESOLUTION				
GUIDANCE				
<ul style="list-style-type: none"> Verify whether complete file is being maintained and all information is current. Address any concerns identified during desk review. 				

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
5.	Confirm that services/activities described in progress reports have been provided and/or completed.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Check that recipients are performing the services/activities as stated in their grant proposals and progress reports. 					
	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
6.	Confirm whether property information is being maintained, if applicable				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Involves review of records to make sure recipients are maintaining inventory of property used as part of the grant. 					

ITEM	COMPLETED			COMPLETED BY
	YES	NO	N/A	
7. Determine if any subcontractor/sub-recipient monitoring is being performed by recipient, if applicable, and that the recipient monitors it's sub-recipient for compliance with the conditions of the sub-recipient award.				
COMMENTS AND/OR ACTION ITEMS				
ISSUES FOR RESOLUTION				
GUIDANCE				
<p>OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR §200) ("Uniform Guidance"), specifically sections §200.330 and §200.331, requires prime recipients of federal funds to monitor sub-recipients and to ensure sub-recipients meet the audit requirements in Subpart F and use funds in accordance with applicable laws, regulations and terms of the award.</p> <ul style="list-style-type: none"> • If the recipient passes funds on to another organization, is it clear that sub-recipient receives these funds? • Check that recipient is monitoring its sub-recipient(s). <ul style="list-style-type: none"> ○ Program Managers should review evidence, such as a <ul style="list-style-type: none"> ▪ sub-recipient site visit monitoring reports or ▪ Completed checklists, to verify that site visits are occurring as scheduled. • Do written procedures exist regarding sub-recipient monitoring? <ul style="list-style-type: none"> ○ Is a process in place for onsite monitoring by the recipient reporting the data? ○ Does the recipient monitoring checklist satisfy the administrative, financial and programmatic elements? • Is sub-recipient meeting terms and conditions of award? • Standard filing—evidence of follow-up? <ul style="list-style-type: none"> ○ Does the recipient document site visit findings in a report? ○ Does the recipient have a process for following up on issues, if applicable? • Check if any of the sub-recipients are debarred or suspended from participation in Federal assistance programs. • Check that recipients know when and where to report issues with sub-recipients to the DIA Grants Officer. • Additionally, Program Managers should review the following documents on sub-recipients when examining subcontractor/sub-recipient monitoring: <ul style="list-style-type: none"> ○ financial reports, progress reports, and drawdown activity; ○ budgets; ○ documentation that prime recipients are verifying that sub-recipients have met the necessary audit requirements contained in the 2 CFR 200: Audit Requirements; 				

E. Administrative – Personnel Review

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
8.	Observe grant activities/services to verify whether key personnel are actually performing the duties originally proposed, if applicable (e.g. key personnel are identified in the grant proposal).				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Through discussion, observations, and review of documentation, verify that key personnel identified in the project are actually working on the project and any changes have been approved. 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
9.	Did the Program Manager visit the grant funded project site where one or more activity/deliverable(s) is performed?				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> The site of the grant-funded project is the site where the program or activity funded by the grant is taking place. If multiple sites are funded under the same grant, take note of the total number of sites that were visited (to be documented in the site visit report). 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
10.	Review proposed project goals, activities and services vs. actual activities and services (i.e. time task plan). All proposed project objectives must be reviewed: 1) Intelligence/National Security Related Curricula 2) Language Study Program 3) Ethnic and cultural diversity 4) Consortium 5) Facilitate student participation 6) Students study abroad/cultural immersion 7) Faculty research and professional development 8) Colloquium 9) Program Management and Sustainment Action Plans				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> • Through discussion and review of documentation, review how objectives are being implemented and compare to what had been planned. Follow up on any concerns identified during the desk review. • Does progress reflect goals outlined in the original or continuing grant proposal? • Review issues from prior visit, if any, or additional issues that require resolution. 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
11.	Assess deliverables through observing grant activities / services, if applicable				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Assess whether stated project deliverables are being produced in a quality and timely manner. 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
12.	Did you observe or were you made aware of any changes in recipient activities?				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Assess whether changes in activities are unallowable or if they require appropriate approvals, and request appropriate action or justification/documentation where necessary. 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
13.	Verify that reported performance measurement data is valid, and is being collected appropriately.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<p>To verify that quarterly performance measures are valid, Program Managers should do the following:</p> <ul style="list-style-type: none"> • View cumulative performance measurement data at regular intervals and determine if there are any glaring reasons for concern, such as possible over-reporting, under-reporting, spikes in reporting, or lack of progress reported. In such instances, request justification from recipient. • Verify that recipient has linked its activities to established goals. • Confirm whether the data are used to guide program determinations. • Check that recipient has an adequate method for collecting performance measurement data. Adequacy can be assessed by checking to see that consistent procedures are used, whether they are based on a proven model, and whether safeguards are in place to protect performance data integrity. <ul style="list-style-type: none"> ○ Verify that the recipient maintains sufficient records to substantiate performance data that are reported. ○ For recipients with sub-recipients, is there a process in place for on-site monitoring by the primary recipient reporting the data? (Recipient would ask questions similar to those above while at sub-recipient site.) 					

F. Grant Administration

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
14.	As a result of your observations or discussions with recipients regarding grant activities/services, describe promising practices, if any.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Briefly describe any programs, initiatives, or activities considered to be successful models for others to follow. 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
15.	Note whether the recipient raised any issues during the site visit.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<ul style="list-style-type: none"> Briefly list any issues raised by the recipient or discovered in your on-site review that may require action on the part of the recipient as well as any related action items or comments, if applicable. 					

ITEM	COMPLETED			COMPLETED BY
	YES	NO	N/A	
16. Before the site visit, the Program Manager should check with the Grants Officer to determine if the recipient to be site visited is high risk. If the recipient was designated by the GO as High Risk, document any steps that are taken to help the recipient resolve those know issues.				
COMMENTS AND/OR ACTION ITEMS				
ISSUES FOR RESOLUTION				
GUIDANCE				
<ul style="list-style-type: none"> Request a list of issues from the Grant Officer. This step will help the Program Manager determine which issues may be appropriate to discuss with the recipient during the site visit. In addition to anything indicated by the GO, please ensure that the following items are discussed with the recipient and: <ul style="list-style-type: none"> Any impediments to completing the planned activities; and/or, Any risks to successful project implementation and performance related to the issue that caused the recipient to be considered High Risk. After the site visit, document any issues in the site visit report and refer any outstanding questions to the Grants Officer / Grants Specialist. 				
ITEM	COMPLETED			COMPLETED BY
	YES	NO	N/A	
17. As a result of your observations or discussions with recipients regarding grant activities/services, note whether the recipient experience any roadblocks to grant implementation.				
COMMENTS AND/OR ACTION ITEMS				
ISSUES FOR RESOLUTION				
GUIDANCE				
<ul style="list-style-type: none"> Briefly list any roadblocks encountered as well as any related action items, if applicable. 				

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
18.	Describe any training or technical assistance currently in progress, provided, or requested. Document if any technical assistance needs arose while on-site.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<p>Briefly describe any financial-related, administrative, and/or programmatic training or technical assistance provided to or requested by the recipient during the site visit.</p> <ul style="list-style-type: none"> • This includes, but is not limited to, assisting the recipient in properly completing financial status reports, data collections reports, submitting invoices or answering questions related to the award file or administrative personnel review. • Follow-up on any training or technical assistance needs determined during pre-site visit reviews or correspondence/conversations with the recipient. • Briefly describe any training or technical assistance provided to the recipient previously. <ul style="list-style-type: none"> ○ What did the recipient indicate as training or technical assistance pros and cons? ○ Was the Program Manager able to work with the recipient to resolve any problems with past training or technical assistance? 					

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
19.	Thoroughly review the recipient's financial, administrative and programmatic compliance to detect any potential indicators of fraud, waste, and abuse. If fraud, waste or abuse is suspected, inform the Grants Officer for reporting guidance.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
<p>In addition to the items in this checklist, the following activities may help to detect and/or prevent grant fraud:</p> <ul style="list-style-type: none"> • Determine if consultants are involved in a grant program; if so, get the details & ensure the process is fair & reasonable; (i.e. is \$450 a day justified?) • Explain that recipients must support their financial status reports with evidence (general ledgers, receipts, or time sheets). • Discuss indirect cost rates and reporting income generated by grant activities. (Grantees may not earn or keep any profit resulting from Federal Financial assistance, unless express authorized by the terms and conditions of the Federal award. Ref. 2 CFR 200.400(g)) • Follow up with unresponsive or noncompliant recipients as soon as possible. • Question generic or vague reports submitted by recipients. <p>Program Managers should communicate any concerns to the IC CAE Program Director, to the Grants Officer or OGC or directly to the OIG's Fraud Detection Office. Additional information on grant fraud prevention and detection can be found in the Guide to Grant Oversight and Best Practices for Combating Grant Fraud issued by the National Procurement Fraud Task Force, Grant Fraud Committee, located at http://www.usdoj.gov/oig/special/s0902a/final.pdf.</p>					

G. Exit Interview

	ITEM	COMPLETED			COMPLETED BY
		YES	NO	N/A	
20.	Complete exit interview.				
COMMENTS AND/OR ACTION ITEMS					
ISSUES FOR RESOLUTION					
GUIDANCE					
The purpose of the exit interview is to: <ul style="list-style-type: none">• Summarize results of the monitoring visit,• Inform recipient of any potential issues for resolution, and• Solicit initial feedback from recipient about the site visit.					

APPENDIX D

IC CAE KNOWLEDGE UNITS

A. CORE INTELLIGENCE TOPICS

- 1. National Security**
 - a. History of U.S. Intelligence**
 - b. National Security Issues**
 - c. Strategic Intelligence**
 - d. International Relations Theory**
- 2. U.S. Intelligence Community**
 - a. National Intelligence Policy : National Intelligence Strategy (NIS) and National Security Council (NSC)**
- 3. Intelligence Cycle**
- 4. Intelligence Collection**
 - a. Human Intelligence (HUMINT)**
 - b. Geospatial Intelligence (GEOINT)**
 - c. Measurement & Signature Intelligence (MASINT)**
 - d. Open-Source Intelligence (OSINT)**
- 5. All Source Intelligence**
- 6. Components of Strategic Intelligence**
 - a. Biographic**
 - b. Economic**
 - c. Sociological**
 - d. Transportation & Telecommunications**
 - e. Military Geographic**
 - f. Armed Forces**
 - g. Political**
 - h. Scientific & Technical**

B. CORE IC PROFESSIONAL DEVELOPMENT

1. Critical Thinking
2. Analytic Writing
3. Research Methods
4. Briefing Skills

C. OPTIONAL INTELLIGENCE TOPICS

1. Irregular Warfare
2. Terrorism
3. Counterterrorism
4. Counter-intelligence
5. Intelligence and the Law
6. Classification
7. Five Eyes Interaction
8. Chemical, Biological, Radiological, Nuclear and Explosives (CBRNE) – Weapons of Mass Destruction (WMD)

D. CORE ANALYTIC PROCESSES (UNDERGRADUATE AND GRADUATE)

1. **The Analytic Process**
 - a. Defining the problem
 - b. Generating Hypothesis
 - c. Determine Information Needs and Gather Information
 - d. Evaluate Sources
 - e. Test/Evaluated Hypotheses
 - f. Package and Disseminate the Product
 - g. Peer Review
2. **Issues in Intelligence Analysis: Mindsets and Biases**
 - a. Analytic
 - b. Cultural
 - c. Organizational
 - d. Cognitive

- e. Perception
- f. Vividness
- g. Absence of Evidence
- h. Consistency
- i. Confirmation
- j. Assimilation
- k. Accommodation
- l. Persistence of Initial Impression

E. STRUCTURED ANALYTIC TECHNIQUES (OPTIONAL UNDERGRADUATE AND CORE GRADUATE)

1. Intelligence Production Process

- a. Defining the Problem
- b. General Survey
- c. Collection of Data
- d. Evaluation of Sources
- e. Analysis
- f. Integration of data
- g. Interpretation of Data
- h. Presentation
- i. Dissemination: Reports, Briefings, and Presentations

2. Issue Development

3. Divergent/Convergent Thinking

4. Quadrant Hypothesis Generation

5. Event Trees and Subjective Probability

6. Analysts' Role in Collection

- a. Overview of the Collection Management Process

7. Information and Evidence Diagnostics

8. Sorting, Chronologies, and Timelines

9. Association Matrix and Link Analysis

10. Indicator-based Analysis
 11. Hypothesis Review
 12. Weighted Ranking
 13. Analysis of Competing Hypothesis
 14. Contrarian Analytic Techniques
 - a. Devils Advocacy
 - b. Team A / Team B
 - c. High Impact-Low Probability Analysis
 - d. What If? Analysis
 - e. Red Teaming
 - f. Delphi Method
 15. Art of Predictive Analysis
 16. Drawing Conclusions
 17. Practicum in Analytic Techniques
- F. ADVANCED STUDY IN FUNCTIONAL OR REGIONAL AREA OF STUDY**