**Area Agency on Aging: Region:**

**Assessment Date: Conducted by DAAS Staff:** Jennifer Powell, Lead Monitor

**AAA Staff Interviewed:**

**Director:**

**Finance Officer:**

 **Program Staff:**

***Objective:*** *To coordinate and conduct a fiscal monitoring visit review the Area Agency’s provider monitoring activities and identify potential risks for consideration and/or corrective action and procedures to be implemented to improve overall operations and ensure compliance with state and federal guidelines.*

**PRELIMINARY ACTIONS**

| Review Step | Description | Completed (X) | Comments |
| --- | --- | --- | --- |
|  | Coordinate fiscal monitoring date with AAA Director and arrange for interviews with the AAA Director, Finance Officer, and Aging Program staff. |  |  |
|  | Provide AAA Director with a list of items to make available for review:* AAA Policy and Procedures Manual
* Current Exhibit 14 (Provider Monitoring Plan) of the Area Plan
* Board Minutes for the past six months
* Provider Risk Determination Process
* Direct Service Waivers (if applicable)
* Most Recent Audit Review
* HCCBG provider files to include current contracts, budget forms/worksheets, and program and fiscal monitoring reports
* Title V Reimbursement Requests and supporting documentation for the last 12 months (applicable only to Regions B, C, F, L and N)
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| --- | --- | --- | --- |
| Review Step | Description | Completed (X) | Comments |
|  | Print ARMS Reports and take to fiscal monitoring visit. |  |  |
|  | Determine whether any current providers are on Suspension of Funding or Noncompliance lists (<http://www.osbm.state.nc.us>  and <http://www.sam.gov/>) |  |  |
| **ON-SITE REVIEW** |
| Review Step | Description | Completed (X) | Comments |
|  | Review organizational chart to gain an understanding of the AAA’s organization and assignment of duties. |  |  |
|  | Review board minutes for the past six months noting any discussion or concerns with internal controls, expenditures, conflicts of interest, etc. |  |  |
|  | Review audit and discuss any prior audit findings with AAA Director to determine if corrective action has been implemented and/or more technical assistance is needed. |  |  |
|  | Interview the AAA Director, Finance Officer, and Aging Program Staff to document any concerns pertaining to the agency’s operations, internal controls, segregation of duties, providers, etc. |  |  |
|  | Review the criteria developed by the AAA for determining “risk” (high, moderate or low) and implementing “risk based” ratings for each provider as required in Section 308.2 D of the AAA Policies and Procedures Manual. |  |  |

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| Review Step | Description | Completed (X) | Comments |
|  | Verify that the AAA has developed written procedures describing the process the AAA has adopted in scheduling reviews, preparing written assessment reports, obtaining corrective action plans, and conducting follow-up visits with community service providers as required in Section 308.3 – 308.6 of the AAA Policies and Procedures Manual. Verify that providers listed on Exhibit 14 to be monitored were, in fact, monitored.  |  |  |
|  | Review HCCBG provider files to verify that the files contain:* Risk assessment forms
* Contracts (DAAS-735); Verify that contracts were signed and dated prior to services being provided and provider reimbursements being issued.
* Completed monitoring tools
* Program and fiscal monitoring reports (to include source documentation/working papers)
 |  |  |
|  | Review the most recent Part A of the AAA Self-Assessment (current year audits) based on awards. |  |  |
|  | Verify any direct services (if applicable) and note if a direct service waiver is on file for service(s).  |  |  |

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| --- | --- | --- | --- |
| Review Step | Description | Completed (X) | Comments |
|  | **Title V Funding** *(Applicable to Regions B, C, F, L and N)** Review Notice of Grant Award (NGA)
* Review budget and budget narrative
* Review and verify that there is an contract on file for each provider and that the contracts were signed and dated prior to the delivery of services.
* Review Title V timesheets and compare hours worked on timesheets to payroll information to verify that hours worked equals hours paid. Verify that timesheets are signed by the participant, host agency, and staff.)
* Review Title V Reimbursement Requests and compare to Title V timesheets
* Verify that programmatic and fiscal monitoring tools, monitoring reports, and supporting documentation are on file for all providers monitored to date.
 |  |  |
|  | Explain to AAA Director that after fiscal monitoring is completed, a letter and monitoring report will be mailed within 30 days containing findings and recommendations.  |  |  |