

Florida Department of Elder Affairs  
Monitoring Standards

P1A	<b>I.A. Phase II Monitoring Follow-up</b> Corrective Actions/Recommendations If any corrective actions were required as a result of the Phase II monitoring, these issues will be reviewed as a follow-up item. <i>Ref: Phase II DOEA Monitoring Report; DOEA Master Agreement; DOEA Client Services Manual, Chp. 1</i>
P2A	<b>II. A. BOARD OF DIRECTORS:</b> Board records indicate sufficient policies and procedures exist and are being used to oversee administration of the AAA. <i>Ref: DOEA Client Services Manual, Chp. I,(B)</i>
P2B	<b>II. B. BOARD OF DIRECTORS:</b> AAA director attends meetings, provides regular reports, written updates, etc., to facilitate the Board's oversight of agency activities. <i>Ref:45 CFR Section 1321.55; OAA Assurance #2</i>
P2C	<b>II. C. ADVISORY COUNCIL:</b> AAA Advisory Council is organized in accordance with OAA requirements and advises on matters relating to the development and administration of the area plan. <i>Ref: 45CFR Section 1321.57(a); Section 306(a)(6)(F); Standard Assurance # 9</i>
P2D	<b>II. D. ADVISORY COUNCIL:</b> Advisory Council composition reflects the requirements of the Older Americans Act. <i>Ref: 45 CFR Section 1321.57; OAA Sec. 306(a)(6)(F); Standard Assurance # 9</i>
P2E	<b>II. E. BOARD OF DIRECTORS/ADVISORY COUNCIL - TRAINING:</b> Appropriate orientation and training information has been developed for Board of Directors and Advisory Council members on their respective roles and responsibilities and is provided as a requirement for membership. <i>Ref. DOEA Master Agreement, III.F.; OAA Section 306(a)(12); Section 430.07, Florida Statute</i>
P2F	<b>II. F. CIVIL RIGHTS COMPLIANCE - FORM 101 A AND B:</b> The recipient has given assurance certifying compliance with Civil Rights requirements. <i>Ref. Section I.C., Civil Rights Certification, DOEA Master Agreement</i>
P2G	<b>II. G. MONITORING:</b> The AAA has a written monitoring plan and is providing periodic monitoring and evaluation of service provider contracts and performance. <i>Ref. OAA Section 306(a)(6)(A); Standard Assurance # 5; DOEA Master Agreement I.O-R &amp; III.F.</i>
P2H	<b>II. H. ORGANIZATIONAL STRUCTURE:</b> AAA's organizational structure facilitates interaction between key program, planning, fiscal, information system and executive staff relative to the management of service contracts and agency operations. <i>Ref:45 CFR Section 1321.55(b); OAA Section 307(a)(4);DOEA Master Agreement, III.F.</i>
P2I	<b>II. I. RFP PROCESS:</b> Area Agencies on Aging (AAAs) have designated lead agencies for the Community Care for the Elderly Program (CCE) pursuant to requirements of Chapter 430, Florida Statutes. <i>Ref: Chapter 430.203 (9), F.S.</i>
P3A	<b>III. A. PRIORITIZATION:</b> Victims of abuse, neglect, or exploitation receive primary consideration for Community Care for the Elderly Services, and are assessed and have their services commenced within 72 hours after referral. <i>Ref: Section 430.205(5) F.S.; DOEA Community Care for the Elderly standard contract; Medicaid Waiver Spending Authority contract</i>

Florida Department of Elder Affairs  
Monitoring Standards

P3B	<b>III. B. PRIORITIZATION:</b> Priority for service delivery is given to: a) individuals in nursing homes under Medicaid who could be transferred to the community; b) individuals in nursing homes whose Medicare coverage is exhausted and may be diverted to the community; c) individuals in nursing homes which are closing and can be discharged to the community; d) individuals whose mental or physical health condition has deteriorated to the degree self care is not possible, there is no capable caregiver and institutional placement will occur within 72 hours; and e) individuals who have been assessed and are pending enrollment in the Long Term Care Community Diversion Project. <i>Ref: Community Care for the Elderly standard contract; Alzheimer's Disease Initiative standard contract; Home Care for the Elderly standard contract; Local Services /Contracted Services Programs standard contract; Medicaid Waiver Spending Authority contract</i>
P3C	<b>III. C. PRIORITIZATION:</b> The most frail individuals not prioritized in Standards IIIA or IIIB above, regardless of referral source, are receiving services to the extent funding is available. <i>Ref: Community Care for the Elderly standard contract; Alzheimer's Disease Initiative standard contract; Home Care for the Elderly standard contract; Local Services /Contracted Services Programs standard contract; Medicaid Waiver spending authority contract</i>
P3D	<b>III. D. PRIORITIZATION:</b> Potential Medicaid eligible consumers in State-funded programs are identified and referred to CARES and SSI-related payment (if applicable) for approval for Medicaid Waiver services. <i>Ref: Community Care for the Elderly standard contract</i>
P3E	<b>III. E. TARGETING:</b> Specific objectives are in place for providing services to older individuals with greatest economic and social needs, including specific objectives for providing services to low-income minority individuals and older individuals in rural areas. <i>Ref: Older Americans Act Amendments</i>
P3F	<b>III. F. EMERGENCY HOME ENERGY ASSISTANCE PROGRAM FOR THE ELDERLY (E HEAP):</b> E HEAP is operated in accordance with the Department of Community Affairs LIHEAP Manual and the contract with the Department. <i>Ref: DOEA E HEAP Contract</i>
P3G	<b>III. G. UTILIZATION OF RESOURCES:</b> The AAA has developed specific measures to utilize local human services funding prior to utilizing community-care-for-the-elderly funds. Volunteers and other community resources are accessed prior to accessing department funded services. The AAA and its service provider's main responsibility is to make sure services among all agencies are well coordinated, avoiding duplication of effort. <i>Ref: Section 430.204 (2)&amp;(3), F.S.</i>
P3H	<b>III. H. NUTRITION SERVICES:</b> The AAA utilizes the services of a Licensed or Registered and Licensed Dietitian (unless exempt IAW 468.505) in planning and coordinating nutritional services, the provision of meals, nutrition education and nutrition counseling. <i>Ref: Area Plan, Sections 468.504, 468.505, Florida Statutes</i>
P3I	<b>III. I. NUTRITION SERVICES:</b> Menus are at least annually approved by a Licensed or Registered and Licensed Dietitian <i>Ref: Section 468.504, Florida Statutes</i>
P3J	<b>III. J. NUTRITION SERVICES:</b> All potentially hazardous food shall be kept at safe temperatures, 41 degrees Fahrenheit or below and 140 degrees Fahrenheit or above. <i>Ref: Chapter 64E-11.004(2), Florida Administrative Code</i>

Florida Department of Elder Affairs  
Monitoring Standards

P3K	<b>III. K. FREEDOM OF CHOICE:</b> T The AAA assures that each individual found eligible for the Medicaid Waiver is given free choice of all qualified providers of each service included in his or her written plan of care. <i>Ref. Florida Aged and Disabled Adult 1915C Waiver</i>
P4A	<b>IV. A. OUTCOME PROCESS:</b> Performance Outcome Measures achievement is tracked. <i>Ref: Chapter 94-249 and Chapter 216.0172 Laws of Florida and DOEA Master Agreement Contract, Section IV.I.</i>
P4B	<b>IV. B. OUTCOME ACHIEVEMENT:</b> Performance Outcome Measures are achieved. Ref : Chapter 94-249 and Chapter 216.0172 Laws of Florida and DOEA Master Agreement Contract, Section IV.I. <i>Ref: Chapter 94-249 and Chapter 216.0172 Laws of Florida and DOEA Master Agreement Contract, Section IV.I.</i>
P5A	<b>V. A. Customer Satisfaction</b> The area agency has established written procedures to evaluate consumer satisfaction with community based services. <i>Ref: DOEA Client Services Manual, Chp II, B,18 and Master Agreement, Section I, S.2</i>
P6A	<b>VI. A. DATA MANAGEMENT:</b> AAA assures consumer files contain accurate and complete consumer data and is collected and maintained in CIRTS as required for all programs. <i>Ref: DOEA Master Agreement Contract, Sections I.O. and IV.H.</i>
P6B	<b>VI. B. DATA MANAGEMENT:</b> AAA utilizes CIRTS reports to assure accurate and complete consumer data is collected and maintained in CIRTS as required for all programs. <i>Ref: DOEA Master Agreement Contract, Sections. I.O. and IV.H.</i>
P6C	<b>VI. C. DATA MANAGEMENT:</b> Staff conducting consumer assessments have successfully completed assessment training. <i>Ref: DOEA Master Agreement Contract, I.O.4.</i>
P6D	<b>VI. D. SURPLUS/DEFICIT:</b> The AAA submits a consolidated report to the Department, as required by contract, when there is a projected surplus or deficit of 2% or more. <i>Ref: DOEA Medicaid Waiver Contract.</i>
P6E	<b>VI. E. LAN ADMINISTRATION/TECHNICAL SUPPORT:</b> The LAN Administrator coordinates with AAA staff and Providers to provide technical assistance. Ref: DOEA Master Agreement Contract, Section IV.H.1. <i>Ref: DOEA Master Agreement Contract, Section IV.H.1.</i>
P7A	<b>VII. A. COMPLAINTS</b> Written policy and procedures outline the recipient will ensure through contractual provisions that sub-recipients have procedures for handling complaints from persons who have been denied, terminated or had services reduced. <i>Ref: DOEA Master Agreement (Section IV, C.1) and Attachment V.</i>
P7B	<b>VII. B. NOTIFIED OF APPEAL RIGHTS</b> Consumers receiving Medicaid Waiver services are notified of their right to request a fair hearing from Department of Children and Families (DCF) Office of Appeal Hearings. <i>Ref: 42 CFR, Chapter IV, Section 435.912; 1915 C Home and Community-Based Medicaid Waiver.</i>
F1	<b>I. 2000-2001 Administrative Monitoring Follow-up</b> Corrective Actions/Recommendations If any corrective actions were required as a result of the 2000-2001 monitoring, these issues will be reviewed as a follow-up item. <i>Ref: 2000-2001 DOEA Monitoring Report; DOEA Master Agreement;</i>
F2	<b>II. Fiscal Audits.</b> Audit findings or concerns related to the AAA <i>Ref: OMB Circular A-133, State Single Audit Act (Chapter 10.650, FAC),</i>

Florida Department of Elder Affairs  
Monitoring Standards

F3A	<b>III. A. Policies and Procedures Compliant with Contractual Clauses.</b> The AAA has Fiscal and Operational Policies and Procedures that ensure compliance with contractual and administrative requirements and follows their procedures. <i>Ref: OMB Circulars A-110, A-122 &amp; A-133, State Single Audit Act (Chapter 10.650, FAC), DOEA's Master Agreement, Chapter 287, F. S.</i>
F3D	<b>III. D. Policies and Procedures Compliant with Contractual Clauses-Procurement.</b> Procurement policies are congruent with contractual requirements, encourages competition, and ensures fairness in procurement decisions. The AAA follows their own procurement procedures. <i>Ref: DOEA's Master Agreement, Chapter 287, F. S., 45 CFR Subtitle A, Part 92.36, OMB Circular A-110.</i>
F3E	<b>III. E. Policies and Procedures Compliant with Contractual Clauses--Property.</b> A complete property inventory compliant with OMB Circular A-110 is on file, items selected from it were properly tagged and located, and a physical inventory was conducted within the past year. <i>Ref: DOEA's Master Agreement, OMB Circular A-110.</i>
F4	<b>IV. Contract or Master Agreement Amendments</b> Monitors will review compliance and implementation procedures for any new Master Agreement requirements. <i>Ref: DOEA's Master Agreement Amendment July 2001</i>
F5A	<b>V. A. CCE and ADI Contracts Special Provisions - Co-Pay</b> The AAA set co-payment goals for providers and actively advocates in its policies and trainings for these goals to be met. Co-payments collected are reported to the AAA in the monthly payment request. <i>Ref: CCE and ADI Contract, Attachment 1, Special Provisions</i>
F5B	<b>V. B. Subcontracts and Assignments</b> Determine if all required clauses from DOEA's contracts and Master Agreements were passed down to sub-recipients <i>Ref: DOEA's Master Agreement, Assignments &amp; Subcontracts clause.</i>
F5C	<b>V. C., Sub-Recipient Audit Reports</b> Sub-recipient's audits were received timely and in compliance with contractual audit requirements. Corrective action plans for audit issues are on file and resolution is verified on site when possible. <i>Ref: F.S. Title XIV, Chapter 215.97(6), Florida Single Audit Act, and OMB Circular A-133.</i>
F5D	<b>V. D., Sub-Recipient Monitoring</b> Oversight of Sub-recipients will be evaluated to determine if procedures are adequate and effective for ensuring compliance and maintaining efficiency and accountability for the use of State and Federal funds administered through the Department. <i>Ref.: OMB Circular A-110</i>
F6A	<b>VI. A., Unit Cost Contracting</b> Unit costs provided by sub-recipients and vendors are reviewed for compliance with DOEA's Unit Cost Methodology, and OMB's Costing and allocation principles. Comparisons are made with other provider's rates for the same services and with prior year costs. <i>Ref. : Allowable Cost Principles for Non-Profits OMB Circular A-122</i>
F6B	<b>VI. B., Sub-Recipient Service Cost Reports</b> OAA, CCE, ADI and LSP State Fiscal Year 2001/2002 Contracts - Special Provisions - Service Cost Reports. The recipient will require subrecipients to submit semi-annual service cost reports which reflect actual costs of providing each service by program. This report provides information for planning and negotiating unit rates <i>Ref: CCE , ADI, and LSP State Fiscal Year 2001/2002 Contract, Attachment I, Special Provisions</i>

Florida Department of Elder Affairs  
Monitoring Standards

F7	<p><b>VII. Older Americans Act, Federal Fiscal Year 2000/2001- Consumer Contributions and Co-payments for Services and Use of Voluntary Contributions and Cost Sharing Under Title III Funds.</b> The recipient assures compliance with Older Americans Act Amendments of 2000, Section 315, in regard to consumer contributions. .Voluntary contributions are not to be used for cost sharing or matching. Accumulated voluntary contributions are to be used prior to requesting Federal reimbursement. Voluntary contributions and related interest earned are program income and must be used to expand services. <i>Ref: OAA Federal Fiscal Year 2000/2001 Contract and OAA Federal Fiscal Year 2000/2001 Title IIIIE Contract, Attachment I, Special Provisions.</i></p>
F8	<p><b>VIII. Administrative Expenditures</b> Based on a sampling of at least two (2) months of expenditure documentation, the AAA has not used state or federal funds for expenditures expressly prohibited by law. The AAA maintains records including bills for fees or other compensation for services or expenses in sufficient detail for a proper pre-audit and post-audit thereof such as paid invoices, payroll registers, travel vouchers, copy logs, postage logs, time sheets, etc., as supporting documentation for administrative expenses itemized for reimbursement. <i>Ref: Master Agreement 2002, OMB Circular's A-110 and A-122, Comptroller's Voucher Processing Handbook, and 3A-40, F.A.C.</i></p>
S1	<p><b>I. Work Plan</b> Has the SHINE program work plan been implemented and are SHINE activities taking place as agreed to in the work plan? <i>SHINE Work Plan</i></p>
I1	<p><b>I. Contract Compliance : Older Americans Act Title IIIB, Information and Referral OAA Contract</b></p>
MIS1	<p><b>I. LAN Adminstration/Technical Support : Security</b> The recipients shall employ a Local Area Network (LAN) Administrator who shall assure the recipient's compliance with the requirements of the Information Systems Security Procedures Document adopted by the department. <i>Ref: DOEA Master Agreement Contract, Section IV. H.I. and Auditor General, Information Technology Audit, November 2001, Report No. 02-079</i></p>
MIS2	<p><b>II. LAN Adminstration/Technical Support : Backup</b> The routine backing up of data and software is required to recover from losses or outages for the computer system. Data and software essential to the continued operation of recipient functions mush be backed up. <i>Ref: DOEA Master Agreement Contract, Section IV. H.I. and Auditor General, Information Technology Audit, November 2001, Report No. 02-079</i></p>
MIS3	<p><b>III. LAN Adminstration/Technical Support : Training</b> LAN Administrators shall provide, provide for, training to be provided to the AAA staff on computer applications and proper use. <i>Ref: DOEA Master Agreement Contract, Section IV. H.I. and Auditor General, Information Technology Audit, November 2001, Report No. 02-079</i></p>
HP&EA1	<p><b>Contract Compliance: Older Americans Act Title IIID and VII Programs</b> Older Americans Act Title IIID and VII Programs <i>Ref: OAA Contract</i></p>
SC1	<p><b>Contract Compliance: Senior Companion Program General</b> Senior Companion Program <i>Ref: Senior Companion Contract</i></p>
SC2	<p><b>Contract Compliance: Program Files</b> Senior Companion Program <i>Ref: Senior Companion Contract</i></p>

Florida Department of Elder Affairs  
Monitoring Standards

R1	<b>Contract Compliance: RELIEF Program General</b> RELIEF Program <i>Ref: RELIEF Contract</i>
R2	<b>Contract Compliance: Program Files</b> RELIEF Program <i>Ref: RELIEF Contract</i>
AC1	<b>Compliance with Federal Guidelines</b> AmeriCorps Program <i>Ref: AmeriCorps Contract</i>