

Effective Date: October 1, 2011	
Supersedes: N/A	
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Division of Aging and Adult Services
Policy #AAA2

Program Monitoring

APPLICABILITY AND PURPOSE

This policy applies to all service providers contracted with the Area Agency on Aging to receive Older Americans Act, Older Californians Act or other funds for serving older adults in Marin County. In order to ensure compliance with Federal and State mandates, it is essential that the AAA identify problems and monitor corrections before they become serious enough to disrupt service. Site monitoring is conducted with each Contractor at least once during the fiscal year. If problems are identified, the Contractor is required to submit a plan of correction and a timeline to demonstrate compliance.

POLICY

To provide technical assistance as needed and conduct an onsite program and fiscal monitoring annually.

PROCEDURE

AAA staff develop a tentative annual monitoring schedule with assigned contractors each year by July 30. Once dates are confirmed with contractors, the following steps are taken:

Pre-monitor visit:

1. At least 30 days prior to the scheduled visit, contractors are provided the following:
 - ◆ Confirmation of the appointment
 - ◆ Names of individuals who will conduct the monitoring
 - ◆ Monitoring tool

2. Request return of the completed tool no later than one week prior to the monitoring visit.
3. Provide a copy of the completed monitoring tool to the assigned commissioner.
4. Staff will review the following prior to the monitoring:
 - ◆ Data from the previous fiscal year and year-to-date data for the current fiscal year.
 - ◆ Previous program monitoring report
 - ◆ Current contract and scope
 - ◆ Monitoring tool completed by the provider
 - ◆ Fiscal records including budget and invoicing
5. Remind the commissioner and the contractor of the appointment two days prior to the scheduled visit.

Conduct monitoring:

1. Allow contractor to provide updates and information about the program. Note major program activities shared by the contractor.
2. Review the monitoring tool. Go over each item on the monitoring tool.
3. Review and request back up documentation.
4. Provide technical assistance as necessary.
5. Review any finding and recommendation with the contractor. Develop a timeline for follow-up or corrective action.

Follow-up:

1. Complete the monitoring report within ten business days of the visit.
2. Send the draft of the completed monitoring report to the commissioner and Program Manager for comment.
3. Within 15 business days of the visit send the contractor the following:

If the contractor is in compliance

- ◆ Cover letter
- ◆ Completed program evaluation and monitoring report
- ◆ Acknowledgement letter for signature and return

If the contractor is not in compliance

- ◆ Require a written plan of correction; work with contractor to set timeline
- ◆ Include the Sanction Policy with the monitoring report
- ◆ Provide and document technical assistance
- ◆ When compliance is achieved, send a letter releasing contractor from any further sanctions.

If the contractor fails to take corrective actions within the agreed upon timeline

- ◆ Notify Aging Program Manager to determine next steps
- ◆ Activate progressive steps in Sanction Policy, starting with Early Warning Alert

4. Maintain documents electronically in the AAA monitoring file.

5. File paper copies in the contract folder.

FORMS AND OTHER ATTACHMENTS: Pending

REFERENCES:

Date Finalized: October, 2011