**SECTION I. Programmatic Monitoring Tool**

**PART I. Service Provision—Older Americans Act Funding Monitoring**

**[Family Caregiver Support Program Manual, V. Service Provision—Part C. Scope of Services]**

*AAA Monitor: Indicate all Family Caregiver Support Program services reimbursed through the NC Division of Aging by this Provider.*

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| **ARMS**  **Code** | **Service Description** | **Indicate if service is delivered by Provider or Subcontractor?** | **Name of Subcontractor** |
| 811 | Community and Program Planning | Provider  Subcontractor | Click or tap here to enter text. |
| 812 | Informational/Education Programs/Community Events | Provider  Subcontractor |  |
| 814 | Program Promotion and Public Information | Provider  Subcontractor |  |
| 821 | Community and Program Planning | Provider  Subcontractor |  |
| 822 | Information & Assistance  (unregistered) | Provider  Subcontractor |  |
| 823 | Caregiver Resource Consultation | Provider  Subcontractor |  |
| 824 | Develop Caregiver Emergency Plan | Provider  Subcontractor |  |
| 831 | Community and Program Administration | Provider  Subcontractor |  |
| 832 | Caregiver Counseling | Provider  Subcontractor |  |
| 833 | Support Groups | Provider  Subcontractor |  |
| 835 | Caregiver Training Programs | Provider  Subcontractor |  |
| 841 | Community and Program Administration | Provider  Subcontractor |  |
| 842 | In-Home Respite | Provider  Subcontractor |  |
| 843 | Community Respite | Provider  Subcontractor |  |
| 844 | Caregiver Directed Vouchers | Provider  Subcontractor |  |
| 846 | Residential Facility Respite | Provider  Subcontractor |  |
| 847 | Older Relative Caregiver Respite (Day) | Provider  Subcontractor |  |
| 848 | Older Relative Caregiver Respite (Hourly) | Provider  Subcontractor |  |
| 849 | Other Respite Approved by DAAS | Provider  Subcontractor |  |
| 851 | Community and Program Admin. | Provider  Subcontractor |  |
| 853 | Handy-man/Yardwork | Provider  Subcontractor |  |
| 854 | Assistive Technologies | Provider  Subcontractor |  |
| 855 | Home Modification/Accessibility | Provider  Subcontractor |  |
| 856 | Personal Emergency Response/ Alarm System | Provider  Subcontractor |  |
| 857 | Incontinence Supplies | Provider  Subcontractor |  |
| 859 | Liquid Nutritional Supplements | Provider  Subcontractor |  |
| 860 | Home Delivered Meals (temp) | Provider  Subcontractor |  |
| 861 | Legal Assistance | Provider  Subcontractor |  |
| 862 | Other Supplemental as Approved by DAAS | Provider  Subcontractor |  |
| 863 | Transportation | Provider  Subcontractor |  |

**PART II. Subcontractor Monitoring**

[AAA Policy and Procedures Manual Section 308, DAAS Administrative Letter 13-15]

For any service codes in the chart on the Service Provision Chart (Page1) that are subcontracted by the Provider to another agency, the Provider will submit copies of the subcontracts related to Family Caregiver Support Program services funding.

**At a minimum, the subcontract must include the following three elements: the full scope of work, deliverables, and appropriate references to service standard requirements.**

|  |  |  |
| --- | --- | --- |
| Did AAA Monitor see subcontracts? | Yes  No | List documentation used to verify compliance:Click or tap here to enter text. |
| Does AAA Monitor attest that all subcontracts include three required elements above (**bolded**)? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Does AAA Monitor attest that the subcontractor monitoring was completed, as required by AAA Policy & Procedures, Section 308? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Additional notes and/or comments: | | |

**PART III. Confirmation of Current License for Licensed In-Home Providers**

[DAAS Administrative Letter 13-17]

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| --- | --- | --- |
| Does the Provider utilize a licensed home care agency for respite services? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Did the AAA Monitor review copy/copies of the license/licenses? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Can AAA Monitor attest that all licensed providers for respite services are meeting conditions of license in providing in home services to FCSP clients? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Additional comments and/or notes: Click or tap here to enter text. | | |

**PART IV. Service Priority**

[Older Americans Act, Title III, Part E, Section 372 (b), Older Americans Act, Section 305; FCSP Program Manual, Revision 2020; Section V. Service Provision—Part B. Priority Populations and Targeting]

*AAA Monitor: For each of the following populations, review documentation from Provider and ARMS to indicate if/how these caregiver populations were served during this fiscal year by the Provider.*

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| --- | --- | --- |
| **Persons in greatest economic need** | | |
| Provider served individuals with an income at or below the federal poverty line? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Persons in greatest social need** | | |
| Provider served individuals with physical and mental disabilities? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider served individuals socially isolated? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider served individuals that are historically underrepresented? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider served Native American elders? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider served rural elders and their caregivers? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider served frail elderly and their caregivers? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Older adults providing care to individuals with developmental disabilities** | | |
| Provider served older adults (“grandparents raising grandchildren”/ “kinship caregivers”) of individuals with developmental disabilities? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Other special caregiver populations** | | |
| Provider served caregivers that are working outside the home? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider served caregivers expending their own funds to pay for care recipient needs? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Additional comments or notes:  Click or tap here to enter text. | | |

**PART V. Information, Education, and Outreach Activities & Accompanying Reporting**

[DAAS Administrative Letter 14-08; DAAS Administrative Letter 20-14; FCSP Program Manual, Revision 2020; Section V—Service Provision, Part E; pages 22-25]

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| --- | --- | --- | --- |
| **Program Data Collection—Information, Education, and Outreach** | | | |
| For each of the following Service Codes, can AAA Monitor attest that Provider was compliant in collecting and entering required service data? | 812 | Yes  No | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| 814 | Yes  No | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| 822 | Yes  No | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| 823 | Yes  No | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| 833 | Yes  No | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| 835 | Yes  No | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| **Older Relative Caregiver Identification** | | | |
| Did the Provider list appropriate Site/Route/Worker separations where needed to indicate older relatives raising grandchildren activities? | Yes  No | | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |
| **Overage Reporting of 812, 814, 844** | | | |
| For all entries after July 2020, did the Provider enter outreach and audience totals to the accurate digit, including those in excess of 999?  **Note—this change was effective as of July 16, 2020.** | Yes  No | | As evidenced by accurate and updated entries in ARMS, verified by: Click or tap here to enter text. |

**PART VI. Respite Cap Compliance**

[DAAS Administrative Letter 12-07]

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| --- | --- | --- |
| Can AAA Monitor attest that Provider did not exceed the annual respite cap of $2,500 for a single client during the year reviewed. | Yes  No | List of documentation used to verify compliance: Click or tap here to enter text. |
| If cap was exceeded, can Provider produce documentation showing authorization was obtained from NC DAAS prior to the excess respite being provided? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Is respite availability verified with Project C.A.R.E program? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Additional comments and/or notes: Click or tap here to enter text. | | |

**PART VIII. Program Integrity**

[OAA, Section 314; AAA Policy and Procedures Manual—Section 1000, DAAS Administrative Letter 01-01]

|  |  |  |
| --- | --- | --- |
| **Administration** | | |
| Provider records show that services provided adhere to expectations outlined in contract with Area Agency on Aging? | Yes  No | List of documentation used to verify compliance:  *(list records reviewed that draw this conclusion)*  Click or tap here to enter text. |
| Do agency records show that FCSP funds were used to supplant existing services? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Do agency records show that there is an established and maintained systems for record-keeping of persons served, expenditures, and unmet needs. | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| **Privacy and Confidentiality** | | |
| Do Provider records and documentation indicate there is a policy for maintaining client confidentiality? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Does Provider give clients a written Assurance of Confidentiality? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| **Grievance and Appeals** | | |
| Does Provider have a policy in place for applicant/client appeals and/or grievances? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Does Provider make clients aware of this right? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| **Consumer Contributions** | | |
| Does the Provider have policy in place for Consumer Contributions? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Is there documentation indicating that clients received the opportunity to participate in Consumer Contributions? | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| Additional evidence of compliance or comments: | | |

**PART III. CLIENT ELIGIBILITY**

[Older Americans Act, Title III—Section E, Older Americans Act, Section 102; FCSP Program Manual, Section V—Service Provision, Part A. Eligibility]

|  |  |  |
| --- | --- | --- |
| **This section accompanies Client Eligibility/Unit Verification Table—Attachment 1.** | | |
| AAA Monitor can attest that all clients sampled met eligibility criteria of the Family Caregiver Support Program being either:  - *being a caregiver of any age, providing unpaid care for an older adult (age 60+) or providing care to an individual with Alzheimer’s Disease or related dementia*  ***OR***  - *and older relative caregiver (age 55+), living with, and raising either a relative child under that age of 18 OR raising an adult child with a disability age 19-59* | Yes  No | List of documentation used to verify compliance:  Click or tap here to enter text. |
| AAA Monitor can attest that all clients sampled that receive Category IV-Respite or Category V-Supplemental Services met the eligibility criteria above. | Yes  No | List of documentation used to verify compliance  Click or tap here to enter text. |
| Additional comments and/or notes:  Click or tap here to enter text. | | |

**SECTION II. Fiscal Verification—Older Americans Act Funding**

[Older Americans Act, Title III, Section E, Older Americans Act, Section 1321.67; DAAS Administrative Letters 01-6, 10-19,

**PART I. Reimbursement Methods**

|  |  |  |
| --- | --- | --- |
| **Non-Unit Expenses** | | |
| Provider records show that expense forms are submitted to the AAA by the \_\_\_\_ day of the month for non-unit service costs. | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider records show allowable expenditures and requests for reimbursement for non-unit services? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Unit-Based Expenses** | | |
| Provider records show allowable expenditures and request for reimbursement for unit-based services (respite services). | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Accounting System** | | |
| Provider has documentation that clearly indicates that they maintain an accounting system that meets the requirements of North Carolina General Statute 143C-6-23 and the Sarbanes-Oxley Act (federal)? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Provider has documentation indicating they have a system in place to collect, deposit, and record program income/consumer contributions? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Budgeting and Reporting** | | |
| Did Provider submit annual budget for expenditures charged to the Family Caregiver Support Program? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Did Provider submit budget revisions with justifications for approval before reallocating funds within the program? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| Based on ARMS Report ZGA370-12, do Provider’s expenditures spent to date agree with ARMS entries? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Programmatic Funding Caps** | | |
| Did expenditures for Category V—Supplemental Services remain below 20% of total budget? | Yes  No | List documentation used to verify compliance:  Click or tap here to enter text. |
| **Internal Control Questionnaire**  **Providers that are NOT required to have an audit must receive fiscal monitoring from the AAA. For these providers, the AAAs are to have providers complete the ICQ and maintain this ICQ on file for review by DAAS** | | |
| Is an ICQ required and to be completed for this monitoring visit? | Yes, ICQ is attached to this Monitoring Tool  Yes, ICQ has already collected from Provider and is on file with AAA.  No, Provider is required to an audit; Audit Review Form is on file at AAA. | |
| Additional comments and notes regarding fiscal monitoring | | |

***Updated: Dec 2004***

***June 2008***

***Sept 2008***

***Sept 2013***

***Sept 2014***

***Oct 2014***

***Oct 2020***