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| J:\Mydocuments\SCDOA Seals\SCDOA Logo BLACK.png**AAA Monitoring Tool: III-C1 & III-C2 (p. 1 – 4)** | | | |
| AAA |  | **QA Monitor** |  |
| Person(s) Interviewed |  | **Monitoring Date(s)** |  |
| This tool is to be used by SCDOA and AAA QA staff to ensure that the AAA is compliant with applicable state and federal laws and regulations as well as SCDOA contract and policy requirements. Space is provided below to monitor for additional areas of identified risk. Because program implementation varies by district, AAA management and QA staff should review this tool and note areas where the AAA may have elected to delegate responsibilities to the provider(s). Where responsibilities are delegated, QA staff should be sure to check for compliance of provider(s) with these responsibilities during provider monitoring. | | | |

| Monitoring Question | C | NC | NA | Notes | Monitoring Guidance and Standard Documentation |
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| 1. Are nutrition service contracts awarded through a bid process?  SCDOA PP CH. 400, P. 84 (SEC. N) |  |  |  |  | Review the RFP, bid process, and sample of submitted bids, including winning bid. Check to ensure that RFP specs allowed for reasonable competition and that all eligible bids were evaluated fairly. |
| 2. Does the AAA provide nutrition services directly? If yes, has SCDOA provided written approval.  SCDOA PP CH.400, P. 91 (SEC. 407) |  |  |  |  | Review to ensure the following: the OAA requires that area agencies obtain permission from the state agency in order to provide direct services. |
| 3. Are required contract rates adhered to? -Hot HDM $\_\_\_\_\_\_ -Frozen HDM $\_\_\_\_\_\_ -Congregate $\_\_\_\_\_\_  -Other \_\_\_\_\_\_\_\_\_\_\_ $\_\_\_\_\_\_ |  |  |  |  | Supporting documentation to review includes meals in AIM, expenditure reports, and invoices. These should reconcile to one another. |
| 4. Do contracts with providers contain a clear scope of service including expected units of service?  SCDOA PP CH. 400 P. 84 |  |  |  |  | Review to ensure that the provider contract or an appendix contains clearly stated scope of service. This is critical to assurance that funds are expended appropriately. |
| 5. Did the provider meet the contracted scope of service in the previous contract period? If no, was there a penalty or plan of correction implemented?  SCDOA PP CH. 400, P.84 |  |  |  |  | For last completed contract period, review subrecipient contracted scope of service and reported units of service in AIM to ensure that scope was met. |
| 6. Are units of service entered by the 10th of the month following the month of delivery and clearly identified by site of delivery and type of meal corresponding to contracted meal types?  SCDOA PP CH. 500, P. 115 |  |  |  |  | Review AIM reporting to ensure that it is up to date through the most recent completed month and that meals are identified according to how they are contracted (e.g. hot, frozen, etc.). |
| 7. Are participant records up to date and in order? Are participants eligible to receive services?  SCDOA PP CH. 5, P. 120, 121, 125, 126 |  |  |  |  | Review hardcopy records for Congregate and Home Delivered Participants to ensure that assessments are up to date and that participants were eligible to receive services in accordance with SCDOA policies. |
| 8. Does the nutrition program solicit the advice of a Registered Dietitian (RD)?  Is the RD currently licensed?  SCDOA PP CH. 500, P. 139 |  |  |  |  | Review menu approval forms and RD licensure of individual signing off.  \*LLR Printed confirmation  (SC Labor Licensing Regulation- licensee look-up https://llr.sc.gov/) |
| 9. Are participants provided with nutrition education that has been pre-approved?  SCDOA PP CH. 500, P. 140 |  |  |  |  | Review documentation of nutrition education plan and/or materials. Review Nutrition Education Reports for HD and GD. |
| 10. Is a referral for nutrition counseling available to participants?  SCDOA PP. CH. 500, P. 141 |  |  |  |  | Review and note process for nutrition counseling referral. |
| 11. Are systems in place to ensure that those in greatest social and economic need receive priority for services?  This includes low-income minorities, and those who are frail, homebound, or otherwise isolated.  SCDOA PP. CH. 500, P. 125, P. 134 |  |  |  |  | Review outreach plans/efforts as well as the system for prioritizing waiting lists, where applicable. |
| 12. Does the AAA or its provider(s) complete an annual participant satisfaction survey or regularly solicit participant feedback some other way?  And are the results used to implement clearly documented program improvements?  SCDOA PP. CH. 500, P .128 |  |  |  |  | Review efforts to solicit participant feedback and documentation of incorporation of feedback into program improvements. Program improvements resulting from feedback may be documented in written report. |
| 13. Are changes to site operations communicated to SCDOA? Are permanent site closures communicated in a timely manner?  SCDOA PP. CH 400, (SEC 408), P. 93 |  |  |  |  | Reconcile the provider's(s’) current site listing to the one held by SCDOA. Site changes should be communicated using the Change in Meal Site Operations Report Form. |
| 14. Do the AAA and/or its provider(s) have a complaint/ grievance procedure in place?  SCDOA PP CH. 400, (SEC 410), P. 98 |  |  |  |  | Review that the procedure is stated in policy. Participants should be aware of the policy. |
| 15. Do the AAA and its nutrition providers have a system of controls to ensure the safeguarding of voluntary contributions?  SCDOA PP CH. 500, P.128 |  |  |  |  | Review that the AAA and its providers have a documented system of internal controls- policies and procedures |
| Have previous findings been resolved? |  |  |  |  |  |
| AAA-Identified Monitoring Items | | | | | |
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