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| J:\Mydocuments\SCDOA Seals\SCDOA Logo BLACK.pngProvider Monitoring Tool: III-C1 & III-C2 (p. 1 – 5) | | | |
| **AAA** |  | **QA Monitor** |  |
| **Provider** |  | **Monitoring** **Date(s)** |  |
| **Person(s) Interviewed (\* by Person in Charge)** | |  | |
| This tool is to be used by AAA QA staff to ensure that the provider 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 and AAA-provider contract requirements. | | | |

| Monitoring Question | C | NC | NA | Notes | Monitoring Guidance and Standard Documentation |
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| 1. Are participant records up to date and in order? Are participants eligible to receive services?  SCDOA PP CH. 500, P. 120, 121, 125, 126 |  |  |  |  | Review AIM records for Congregate Participants and Home Delivered Participants to ensure that assessments are up to date and that individuals were eligible to receive services in accordance with SCDOA policies. Provider review should be a sampling process. |
| 2. Does the provider offer congregate meals (one hot or appropriate meal per day), at least five days per week OR have a waiver from SCDOA due to rural status?  SCDOA PP, CH 500, P. 141 |  |  |  |  | Review AIM reports, site records for sign-in sheets (either paper or electronic), and menus to ensure that sites operate five days per week or document that SCDOA has provided a waiver to allow less frequent service. |
| 3. Does the provider offer home-delivered meals (one hot, cold, frozen, dried, canned, or fresh), at least five days per week OR have a waiver from SCDOA due to rural status?  SCDOA PP. CH 500, P. 124 |  |  |  |  | Review AIM reports, transportation logs, and menus to ensure that at least five meals per week are delivered or document that SCDOA has provided a waiver to allow less frequent service. |
| 4. Does the provider have a plan for providing meals in the event of an emergency?  SCDOA PP, CH 500, P. 147 |  |  |  |  | Review policy and procedure for emergency meals/procurement. Review Emergency Preparedness Plans as related to meal provision. |
| 5. Does the provider maintain adequate, qualified staffing?    SCDOA PP. CH 400, (SEC 409), P. 95-G.  CH 500, P. 17-C |  |  |  |  | Verify that staff can demonstrate skills and knowledge necessary to carry out job duties. This may include comparing a sample of position descriptions and job applications/resumes and/or employee interviews. |
| 6. Are changes to site operations communicated to the AAA and SCDOA?  SCDOA PP, CH. 500, P. 125 |  |  |  |  | Reconcile the provider's current site listing to the one held by the AAA. Site changes should be communicated using the **Change in Meal Site Operations Report Form**, which in turn, should be shared with SCDOA. |
| 7. Unless provided by the AAA, does the provider 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. Review proposal from vendor for copies of licensure info.  \*LLR Printed confirmation avail here for SC RD:  SC Labor Licensing Regulation- licensee look-up <https://llr.sc.gov/> |
| 8. Do meals reported for reimbursement for OAA Title IIIC and/or NSIP meet current Dietary Reference Intakes and Dietary Guidelines for Americans Requirements as outlined in the SCDOA Minimum Meal Specifications?  SCDOA PP, Appendix A. |  |  |  |  | Review menus and nutritional analysis as compared to minimum meal bid specifications for compliance. NSIP meals should be indistinguishable from IIIC meals. |
| 9. Does the provider have an employee health/sick leave policy as it relates to safe handling of food? |  |  |  |  | Review policy and procedures for documentation. |
| 10. Does the provider offer ongoing training to ensure the safe and successful operation of the nutrition program? Are resources used up-to-date? SCDOA PP CH. 500, P. 129-C3 |  |  |  |  | Review training plan/materials/agendas and staff sign-in sheets. Relevant trainings should also be made available to volunteers. |
| 11. Does the provider have policy and procedure in place regarding foodborne illness incidences? |  |  |  |  | Verify that there is a stated policy and procedure. Also, verify that field staff is aware of this policy. |
| 12. 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-A |  |  |  |  | Review the system for prioritizing waiting lists, where applicable. |
| 13a. Does the provider conduct adequate outreach to promote participation in the congregate program?  Is it documented? Is this communicated to the AAAs such as an announcement?  SCDOA PP, CH. 400, SEC. 403, P. 71 |  |  |  |  | Review documentation of outreach efforts to promote the congregate program. This could be through the review of written plans and flyers from events, etc. |
| 13b. Outreach activities have placed special emphasis on identifying individuals: (see notes section) |  |  |  | in rural settings  in greatest economic need (low income/minority)  greatest social need (low income/minority)  with severe disabilities  with limited English-speaking ability  with Alzheimer’s related disorders  caregiver responsibilities | Review process used for tracking outreach- AIM input. |
| 14. Are non-eligible participants required to pay the full cost of the meal OR can the provider provide reasonable assurance that no OAA funds were used to cover the cost of meals served to non-eligible participants? |  |  |  |  | Verify that no OAA funds were used to provide services to non-eligible participants. This may be evidenced by records reconciling non-eligible meals served to documented program income. |
| 15. Is program income used to expand nutrition program services?  SCDOA PP, CH. 300, SEC. 305, P. 67 |  |  |  |  | Verify that financial records clearly identify program income and its expenditure for nutrition services. Program income is subject to the terms of the award under which it is earned and so must not increase grant contribution to unit cost above contracted rate. |
| 16. If liquid nutrition supplement is provided, is there a doctor’s note documenting need to receive this meal type?  SCDOA PP, CH. 500, SEC 503 I, P. 138 |  |  |  |  | Select at least one liquid nutrition supplement recipient, if applicable, and verify that a doctor's order was issued for receipt of the liquid nutrition supplement and that it was issued within the last six months. |
| 17. 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 for safeguarding of voluntary contributions. |
| 18. Does the provider have a manual(s) outlining the following policies and procedures: -Food Safety and Sanitation; -Employee health/sick leave policy |  |  |  |  | Review Policy and Procedure Manual for the noted items. |
| 19. Have previous findings been resolved? |  |  |  |  |  |
| AAA-/Provider-Identified Monitoring Items | | | | | |
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