



Monterey County Area Agency on Aging

SERVICE PROVIDER’S HANDBOOK

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SECTION I — PROGRAM POLICIES

INTRODUCTION

This Service Providers' Manual is designed to assist all agencies that contract to perform services for the Monterey County Area Agency on Aging (AAA). This manual contains a variety of policies, procedures and references that are relevant to the administration of services funded and/or mandated through Federal Older Americans' Act, Older Californians' Act and other sources of support administered through the AAA.

This manual provides some updates to the previous versions of the Monterey County AAA Service Providers' Manual; however it is not a replacement for manuals or guides issued by the State of California for specific programs such as the Ombudsman Program, HICAP, Elderly Nutrition Program, and Legal Services. Other procedural guidelines may also be provided by additional sources.

This manual may be printed for reference purposes, but users are cautioned that information is constantly changing and being updated. The most recent version is maintained by AAA staff and an update may be requested at any time.

Technical assistance and guidance is available through AAA staff as well as specific California Department of Aging (CDA) Program Specialist.

AAA CONTACT INFORMATION

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CONTRACT PERFORMANCE PROCEDURES

General Information

The AAA reviews, estimates and projects the needed services for the aging population in Monterey County. These efforts are included in the Area Plan that is conducted every 4 years and updated annually. Contracts established with service providers each fiscal year should reflect the forecasts made as a part of the Area Plan process.

Final contracts outline performance expectations and AAA monitors actual services over the entire period of the agreement. Contractors are required to have service data and fiscal invoices entered into the appropriate data system by the 10th of the month following service and, as a result, AAA staff should review soon afterwards. Specific contract duties are assigned to AAA staff as needed (see current staff duties for detailed assignments).

Additional review is needed when monthly performance differs from expectations. Data system reports can be run by AAA staff or agency staff to analyze and correct issues including:

1. Accurate summary data in system (AAA and contractor to work together to review).
2. Verification of client eligibility (AAA refers questions to contractor for correction).
3. Missing data elements discovered (AAA refers to contractor for completion).
4. Erroneous data needing correction (AAA refers to contractor for correction).
5. Duplicated client counts (to be reported to contractor and data system consultants for correction).
6. Needed technical assistance for contractors (either through AAA or consultants).

Contractors of Registered Services

These service providers are required to input “client level data” including mandated demographics into an on-line AAA shared data system within 30 days of client in-take. In addition, contractors are required to update these client records with specific services provided for each calendar month. Service units are then automatically rolled into monthly reports.

Contractors of Registered Services Utilizing Specialized Data Systems

HICAP, Ombudsman and Legal Services have separate data systems for tracking clients and reporting purposes. Subsequently that requires additional entry into the AAA shared data system however only summary aggregate data is needed on the number of clients and service units. Please refer to relevant data system manuals for additional information.

Contractors of Non-Registered Services

These service providers only enter aggregate summary information into the AAA shared data system. Service units and the number of clients served should be estimated consistently over the course of the contract period.

PERFORMANCE REPORTING and INVOICING

All contractors of AAA services are required to enter program data monthly into the appropriate data system (includes AAA shared system used by most contractors; HICAP, Ombudsman, and Legal Services systems) by the 10th of the month following the month of service. Some contractors are required to enter “client level data” for services referred to as **Registered Services**. Other services that do not require client level data are **Non-Registered** services that only require aggregate data entry of service units and estimates on client information. Service agreements will outline data entry requirements for each service contracted.

Contractors for **Registered Services** shall:

1. Include all required data fields on in-take forms to be completed by the client (sometimes with assistance of agency staff).
2. Encourage clients to complete all information should any data fields be left blank.
3. Document on forms and in the appropriate data system should clients decline to complete particular information.
4. Enter required client level data information into AAA Data System within 30 days.
5. Enter client service units on a monthly basis to assure that each calendar month is complete before monthly reports are prepared.
6. Run client level reports from data system at regular intervals to assure unduplicated client counts in all reports (AAA staff will monitor this activity and provide technical assistance to contractors).

Contractors of **Non-Registered services** shall:

1. Service units (contacts, sessions, hours, etc.) are to be estimated using a consistent approach appropriate for the type of service. (AAA staff can provide technical assistance to determine what approach is best for the service provided.)
2. When the service unit is a “contact” then that is the same number estimated for the number of clients/consumers.
3. Estimates for clients/consumers should be as accurate as possible though the use of simple sign-in sheets whenever possible. A consistent approach should be used when sign-in sheets are not practical.
4. Detailed demographic information cannot be imputed for clients in non-registered services because it is unknown. Enter summarized information into all categories under the Declined/Exempt entry fields.
5. Enter all estimated service units and clients/consumers on a monthly basis to assure that each calendar month is complete before monthly reports are prepared.
6. Review summarized information and discuss any issues with AAA staff if needed. (AAA staff will monitor this activity and provide technical assistance to contractors.)

Contractors using HICAP, Ombudsman and Legal Services systems record client level data into their separate systems. Contractors providing these services shall take aggregate data from their separate data system and enter summary data into the AAA Data System.

Monthly financial invoicing is done through the AAA Data System and due by the 10th of the month following the month of service for all contractors. Specific line items, amounts, and allowable variances are identified in service agreements.

Technical assistance for the AAA Data System is available through user guides, email and over-the-phone. Group trainings are also offered through the AAA from time to time and may always be requested. Always feel free to call or email your AAA County Contract Manager identified in your service agreement.

Contractors shall provide a quarterly narrative report to the AAA County Contract Manager describing the progress of services by October 10th, January 10th, April 10th and July 10th for each fiscal year. Reports may be emailed to your AAA County Contract Manager. The format for the report is included in service agreements.

Each service agreement outlines a certain number of service units for each quarter called a benchmark. Should a contractor fall below the required benchmark percentage for two (2) consecutive quarters, the contractor will provide a corrective action plan to the AAA describing the reason for the occurrence, and a plan to meet the benchmark.

Please note: Payment of invoices can not be made until satisfactory submission and approval of monthly reports.

EQUIPMENT/PROPERTY MANAGEMENT AND PROCEDURES

Equipment/property includes land, buildings, improvements, machinery, vehicles, furniture, tools, and intangibles, etc.

Equipment/property purchased with AAA contract funds of \$500 or more is subject to applicable state and federal procurement procedures. The AAA shall retain title to all equipment/property purchased wholly or in part using federal and/or state funds and described as equipment/property in the Total Authorized Budget.

Equipment/property purchased as described above will be part of an inventory listing retained and regularly updated by the contractor as outlined in service agreements. Inventory listings shall include:

1. Date of purchase.
2. Amount of purchase.
3. Description.
4. Location of equipment/property.
5. Serial number (if any).
6. CDA tag number or other tag identifying it as CDA property.
7. Fund Source used to purchase equipment/property.

A physical inventory of equipment/property shall be taken during AAA Monitoring Visits and reconciled with contract inventory listing. In addition, equipment/property is subject to inspection at any time to assure existence, current use, and continued need.

No inventory may be disposed of by contractor without permission from the AAA regardless of the current value.

In the event of the loss, destruction, or theft of AAA funded equipment/property, contractor shall assume responsibility for replacement or repair of such equipment/property. As a result, it is recommended that contractors have sufficient insurance to cover any loss. Should there be a loss, destruction, or theft of AAA funded equipment/property; contractor will make a report to the AAA County Contract Manager within 5 days.

Contractors shall use equipment/property only for the purpose intended under the contract. When no longer needed for that use, contractor will notify the AAA. Depending on the type of equipment/property there are strict requirements for the return and/or disposal of anything funded by the AAA.

USE OF THE AREA AGENCY ON AGING LOGO

Contractors are asked to display the AAA logo on all promotional materials acknowledging partial funding by the AAA. A camera ready logo will be provided for this purpose to the service provider.

CUSTOMER COMPLAINTS AND IDENTIFIED ISSUES

Contractors are required to inform recipients of services of their rights to file a written complaint or grievance with the organization. Contractors shall display/post their grievance procedures in plain view of clients and provide printed copies to service recipients upon request. Recipients are to additionally be informed of their right to file a complaint directly with the AAA.

The AAA uses a complaint form (see Section II, Attachment 1) when receiving complaints directly from the public for referral to the contractor and follow up with the complainant.

The AAA forms may also be adapted to be used by service contractors and can be expanded for use to document general feedback not intended as a formal complaint. Please contact the AAA for electronic versions.

PROGRAM & FISCAL MONITORING

The AAA shall monitor contractor services through monthly review of data reports, site visits, regular contacts, or other means to assure the compliance with laws, regulations, and provisions of contracts. On site Program monitoring will be conducted every two years for all programs except HICAP, Title III C-1 and Title III C-2 which will be conducted annually.

AAA staff will contact a contractor and schedule a mutually agreeable time for a Site Visit (Program and Fiscal monitoring may be done at the same time or may be done separately). Contractors are provided copies of the monitoring tool in advance and provided instruction for completion. The monitoring tool can be customized for the specific program when needed and when particular information is required or mandated. Contractors will be given a

deadline for returning completed monitoring tools to AAA. Copies of documents and/or other materials may also be required.

Fiscal monitoring will include a review of inventory. Fiscal will also request an audit report for review 14 days before the monitoring visit.

AAA staff may also invite members from the Advisory Council to participate in a site visit. Materials including completed monitoring tools and any other documentation/materials will be made available to participating Advisory Council members.

During a site visit, there will be open discussion with questions and answers regarding the completion of the monitoring tool, operation of program activities, and needs for technical assistance.

After review:

If the monitoring visit results in no findings the AAA will close out the review in a letter sent to the contractor.

If the monitoring visit results in findings the contractor will be sent a letter outlining the findings. The letter may include what steps are necessary to close out the review and will request the contractor to submit a corrective action plan to the AAA within a mutually agreed time frame. Non-compliance by the contractor with following the corrective action plan within the agreed time frame may result in reduction or termination of service contracts.

AAA may need a follow-up site visit to assure that all findings have been resolved. After the review is completed and all findings have been cleared, a second close out letter will be sent to the contractor after the completion of the final review.

Attachments:

Attachment 2, Program Monitoring Tool (all-program version)

Attachment 3, Monitoring Tool (Fiscal Section)

Attachment 4, Sample Close-out Letter

REPORTING SUSPECTED DEPENDENT ADULT / ELDER ABUSE

WHO IS MANDATED TO REPORT ABUSE? A mandated reporter is any person who has assumed full or intermittent responsibility for care or custody of an elder or dependent adult, whether or not that person receives compensation. All officers, staff and volunteers of the contract agency are mandated reporters.

All mandated reporters are required to report all suspicions of abuse to either Adult Protective Services (831-883-7565), or the appropriate law enforcement jurisdiction of the alleged victim. 9-1-1 shall be used for calling in abuse emergencies after 5:00 PM.

Allegations of abuse for residents of out-of home care facilities are reported to the Long-Term Care Ombudsman by calling (831) 655-1334 in Monterey or (831) 646-5041 in Salinas.

SECURITY INCIDENT REPORTING, CDA INFORMATION

Monterey County AAA works with agencies and community partners to deliver services to seniors and, as a result, maintains sensitive information on program participants. It is everyone's responsibility to assure that such confidential information is securely stored and all security incidents are properly reported. All service contractors, and volunteers with access to CDA information assets will receive Security Awareness Training.

Service Providers and Volunteers: Any security incident must be reported immediately to Monterey County AAA. A completed Security Incident Report Form (Section II, Attachment 2, CDA 1025) must be completed and forwarded to your County Contract Manager listed in your service agreement within five (5) business days of the date the incident occurred or was detected.

County Contract Managers: All security incident reports received from service providers and volunteers are to be reviewed thoroughly to assure proper completion. Immediate communication with the CDA Program Manger is required. Original report documents are to be forwarded to CDA Information Security including a completed Security Incident Report Form (Section II, Attachment 2, CDA 1025) within five (5) business days of the date the incident or when detected. Copy of report is to be given to AAA Director.

AAA Director: The AAA Director or designee will maintain a file of Security Incidents and assure proper follow up with CDA.

Attachments:

Attachment 5, CDA 1025, Security Incident Report Form

TECHNICAL ASSISTANCE

Technical assistance is defined as the provision of advice, support, assistance and training pertaining to the successful administration of AAA contracted services. AAA staff are available for support in many ways and can provide referrals for additional resources. In addition, the AAA is part of a broader network throughout Monterey County and, as a result, can be considered a community partner in all services related to the aging and disabilities.

MANDATED TRAINING FOR AAA CONTRACTORS

Staff and volunteers of all contractors that provide AAA funded services shall be required to attend appropriate training on:

Prevention of Sexual Harassment
Discrimination Complaints and Procedures
Security Awareness Training (tool provided by California Department of Aging)

It is important that all service providers be sensitive and have a heightened awareness of these critical issues. AAA staff shall coordinate trainings as needed and provide referrals to training resources.

DISASTER PLANNING AND EMERGENCY PREPAREDNESS

The goal of AAA is to continue services whenever possible during and after a disaster for older individuals and persons with disabilities. As a result, all contracted service providers must have a disaster plan in place and assure that staff is trained at least annually on how to handle emergencies. The role of the AAA is to help contracted service providers prepare to meet the challenges of a disaster and can assist by facilitating meetings, trainings and offering technical assistance. All contracted service providers may call the AAA for assistance.

In the event of a disaster AAA Contractors are required to:

1. Inform the AAA to report the status of their services within 24 hours or as soon as possible. The AAA will maintain a log with the Emergency Cell phone numbers for all AAA Contractor Disaster Coordinators.
2. Keep a disaster activity log with detailed records of critical agency meetings, decisions, and actions.
3. Save copies of all receipts and track all disaster related expenditures to recover disaster-related expenses.
4. Keep track of the type and amount of services provided.

Responsibilities of the AAA include coordinating with the emergency management community to ensure that essential disaster-related needs of older individuals and persons with disabilities are included in overall community disaster planning. In addition, the AAA will assist with documenting and reporting information to CDA and the local Office of Emergency Services (OES) regarding the impact of the disaster on services provided by AAA funded programs within Monterey County.

TITLE III D HEALTH PROMOTION PROGRAM

Providers of Title III D Health Promotion Programs are required to use only programs and activities which have been demonstrated to be evidence-based at the highest level criteria. This is a change from prior requirements for AAA services and must be implemented by July 1, 2016. The first accepted method to determine if the program meets the new requirements is to review the website for U.S. Department of Health and Human Services (DHHS) and review lists of “evidence-based” program for each operating division.

The second approach to determine if a program meets this requirement is a review conducted by the AAA. The proposed program must meet all five components outlined in the definition for evidence based:

1. Has been demonstrated through evaluation as effective for improving the health and well-being or reducing the disability and/or injury among older adults.
2. Has been proven effective with the older adult population, having used through an Experimental or Quasi-Experimental Research Design.
3. Had research/evaluation results published in a peer-reviewed journal.
4. Has been implemented previously at the community level (with fidelity to the published research) and shown to be effective outside a research setting.
5. Includes program manuals, guides and/or handouts that are available to the public.

SECTION II — ATTACHMENTS



Monterey County Area Agency on Aging
COMPLAINT FORM

COMPLAINANT'S NAME:	TODAY'S DATE:
COMPLAINANT'S ADDRESS:	CONTACT NUMBERS: Work:
ADDITIONAL PERSONS INVOLVED (WITNESS, ETC.)	CONTACT NUMBERS: Home:
NATURE OF COMPLAINT:	
DATE AND TIME OF INCIDENT OF WHICH COMPLAINT IS BEING FILED:	
LOCATION OF INCIDENT:	
DESCRIPTION OF COMPLAINT: (Please be specific and attach additional sheets, if necessary)	
OUTCOME / RESOLUTION:	

Received by: _____ Phone: _____

If form is being completed by non-AAA staff, please forward complaint to:

**AAA Director
 c/o Monterey County Department of Social Services
 1000 S. Main St., Suite 301
 Salinas, CA 93901
 RE: COMPLAINT**

Anyone has the right to make a confidential complaint regarding any service provided or funded by the AAA. Complainants have the additional right to privacy and the AAA will not release information unless compelled by legal requirements. All complaints will be reviewed and further action may take place. After investigation, there may not be enough evidence to warrant further action however the person making the complaint may be notified that the issue has been reviewed. In most cases, the person making the complaint, witnesses, and others will not be informed of the full action taken, if any, due to privacy restrictions. Complaining parties have the right to report further incidents.

MONTEREY COUNTY CONTRACTOR MONITORING TOOL - PROGRAM

Agency: _____

Program: _____

Date of Site Visit: _____

Representatives:

I. CONTRACT COMPLIANCE & PROGRAM ADMINISTRATION

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
1. When does the Agency hold regular board meetings?	Agenda, Minutes		
2. Does the board membership include a recipient of services? Does the board have geographic and ethnic representation comparable to the service area?	By laws & Membership Roster		
3. Is there an identified person who is clearly responsible and available for daily operation of the program? Is the program clearly delineated from other agency program(s)?	Organization chart, job description of Program Director, interview with agency Executive Director/program staff/volunteers.		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
4. Does the agency have written policies & procedures for program operation?	Policy & procedure manual.		
5. Does the agency have a written personnel handbook, current job descriptions for program staff and a documented method for performing regular staff evaluation?	Personnel handbook, job descriptions, policy & procedure manual or other document describing evaluation process.		
6. If volunteers are utilized, how does the agency document the function and responsibilities of volunteers? How do volunteers interact with paid staff?	Written volunteer responsibilities/job descriptions; interview with volunteer(s).		
7. Does the agency have a program for orientation and training of all staff, paid and volunteer? Are there on-going staff development efforts?	Training manuals, conference/seminar materials, professional association membership, and interview with Program Director/training personnel/program staff/volunteers.		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
8. Are staff or facility licenses and diplomas required to engage in contract activities current and posted or available in personnel files?	e.g. Adult Day Care licenses, code approved kitchens, food handler permits, business license.		
9. Are qualified staff available to accommodate non-English speaking and limited English proficient individuals?			
10. Does staff at the agency reflect the language, culture and ethnicity of the community served? How are staff & volunteers that are representative of the community recruited?	Recruitment materials and documented methods, written policy& procedure manual, organization chart.		
11. Does the agency have an adequate emergency preparedness plan?	Is there a written disaster plan? Has staff been trained on the plan? Are there signs around the facility?		

II. SCOPE OF SERVICE & PROGRAM PERFORMANCE

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>1. Does the agency meet all program reporting requirements of the funding agency? How does the agency ensure accuracy of service reporting? Have reports been submitted in a timely manner?</p>	<p>Data entry procedures, service logs, etc.</p>		
<p>2. Has the agency successfully accomplished all contract provider responsibilities?</p>	<p>Reporting</p>		
<p>3. Has the agency met, or exceeded, the minimum service unit requirement?</p>	<p>Goals from Scope of Service, and/or reported units of service. Performance benchmarks outlined in contract: 1st Quarter _____ Achieved _____ 2nd Quarter _____ Achieved _____ 3rd Quarter _____ Achieved _____ 4th Quarter _____ Achieved _____</p>		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
4. Has the agency met, or exceeded, the number of unduplicated clients to be served?	As above.		
5. Does the agency document a client’s characteristics at the time of intake? How does the agency keep client records secure?	Intake forms, client case files, computer systems. Demographics Reports Certifications for Security Awareness Training by CDA or other for all staff with access to AAA client hard-copy or electronic files.		
6. Does the agency have signed client authorizations to release information?	Client case files.		
7. How has the agency served the geographic area identified in the Scope of Service?	If a countywide service, is there adequate client representation from all areas of Monterey? If specific target area, was the area served adequately?		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
8. How does the agency target services to low-income/minority/frail/rural most in need individuals?	Outreach materials, written outreach plan, documented methods of client referral, client data.		
9. Please describe the agency's comprehensive on-going outreach and marketing efforts.	Written marketing plan and outreach materials (flyers, client brochures, press releases, community seminars etc.)		
10. How does the agency work with other related agencies/programs? Are referrals to other agencies tracked?	Documented methods of client referrals to and from other agencies. Participation in multi-agency boards/committees, presentations at various agency sites etc.		
11. How does the agency solicit and incorporate client participation in the program?	Advisory council/board regular meetings membership lists, minutes and written reports.		
12. Does the agency maintain a client waiting list? How many people are currently on the waiting list?	Client waiting list.		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>13. How is client satisfaction measured? Are clients satisfied with the service they received?</p>	<p>Interview with randomly sampled clients either by telephone or written survey, or evidence that clients have been surveyed by the agency on quality of the service. Evidence that the agency has incorporated client feedback into program design.</p>		
<p>14. Does the program have clearly identified objectives that are reasonable and measurable?</p>	<p>Written goals and objectives with timelines and evidence of tracking of progress. Performance Reports</p>		
<p>15. How is the program evaluated by the agency for quality/impact? Do the program objectives have an impact on an identified community need?</p>	<p>Evidence of evaluation activities: written reports, quantitative and qualitative data, analysis of the community need being addressed.</p>		
<p>16. What program improvements have been made in the last year?</p>	<p>Written report on program areas that have been improved.</p>		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
17. How has the agency documented client eligibility?	Review 5 randomly selected client files.		
18. Is there a common goal between contractor and funding agency?	Mission/Vision Statement		
19. Does the contractor acknowledge the funding organization by using agency logo on their outreach materials?	Brochures, flyers, etc.		
20. Is the agency accessible to the public?	Location, hours of operation, language capacity, etc.		
21. Are the client access areas welcoming? (Lobby, meeting rooms, etc.)	Examples: LGBT friendly, diversity accepting through pictures, printed materials.		
22. Is the agency grievance/complaint process displayed in an area easily viewed by AAA program clients? Does it include the option to complain directly to the AAA?			

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
23. Does the agency provide the opportunity for clients and others to donate towards the AAA funded program? If so, how?	Outreach materials clearly state that donations towards AAA services are appreciated but not required to receive the service.		

MONTEREY COUNTY CONTRACTOR MONITORING TOOL – FISCAL

Agency:

Program:

Date of Site Visit:

III. BUDGET & FISCAL REQUIREMENTS

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
Overview of prior monitoring for fiscal recommendations, corrective action plans, and resolution.			
1. What is the date of the last audit the agency has submitted to the County?	Consult with the Fiscal Officer and contract guidelines		
2. Are there any <u>prior</u> audit findings that apply to our program? Was a corrective action plan completed and resolved?	Audit and corrective action plan (attach details) Review any issues identified by the County (Consult with the Fiscal Officer)		
3. Are there any fiscal recommendations from a prior monitoring? If so, have they been resolved?	Prior monitoring on file Consult with the Fiscal Officer.		
Financial Reporting: The Service Provider shall establish and maintain a financial reporting system that reflects accurate, current, and complete disclosure of financial activities of the service provider. (Common Rule Section 20(b1) Standards for Financial Mgmt. Systems)			
4. Are monthly invoices submitted by the 10th of the following month? Were they accurate?	Financial Reporting Invoice control log Consult with the fiscal officer		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
5. What financial records are used to create the monthly billing? Are they adequate? Trace one month's billing back to the records identified.	Month reviewed: _____ Take a copy of the invoice with you and ask for copies of the back-up for the expenses for the fiscal officer to review		
6. Are the Provider files clear and concise, having back-up filed with the reports submitted?	Provider's File		
7. Does the Provider reconcile any corrections quickly? If corrections are returned by hard-copy, are they corrected so that they do not keep recurring in the Year-to-Date?	Consult with Fiscal officer		
Budget Control: The Service Provider shall maintain a system that compares actual expenditures with budgeted amounts for each contract or subcontract. (Common Rule Section 20(b4) Standards for Financial Management Systems)			
8. Does the 12-month budget appear clear and reasonable? Is the budget reasonable in comparison to what is being invoiced?	Budget on file Consult with fiscal officer		
9. Does the Provider have a process to compare actual expenditures to budgeted amounts for each grant award by funding source?			

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>10. Is the budget information shared with program managers (or other staff with spending authority)?</p>			
<p>Allowable Costs: The Service Provider shall establish a system that uses applicable OMB cost principles, agency program regulations, and the terms of sub-grant awards in determining the reasonableness, permissible, and acceptable costs. (Common Rule Section 20(b5) Standards for Financial Management Systems). (For the costs of State, Local, or Native American Tribal government, use the principles in OMB Circular A-87. For the costs of a private nonprofit organization other than an institution of higher education or hospital, use the principles in OMB Circular A122</p>			
<p>11. Determine how the Provider ensures contract funds are used only for allowable expenditures necessary for activities of the grant program. Do individuals (authorized to approve purchases) review for acceptable and budget authority/capacity?</p>			
<p>12. Does the Provider allocate costs? a. Is there a written cost allocation plan? b. Obtain and review for any approvals and reasonableness.</p>	<p>Copy of Cost Allocation Plan</p>		
<p>13. Does the Provider record actual staff time worked (by program)?</p>	<p>Review a sample of time sheets for the month selected for review.</p>		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>14. Does the Provider maintain records that document in-kind contributions and volunteer services reported for each grant program? Do such records identify how the value used for in-kind contributions was determined and is it reasonable?</p>	<p>Budget, Performance Reports, Outcomes</p>		
<p>15. Does the Provider record actual staff time worked (by program)?</p>	<p>Review a sample of time sheets for the month selected for review.</p>		
<p>Internal Control: The Service Provider must maintain effective control and accountability for all cash property, and other assets. The Service Provider must adequately safeguard all such property and must assure that it is used solely for authorized purposes. (Common Rule Section 20(b3) Standards for Financial Management Systems.)</p>			
<p>16. Did the last audit performed by the agency identify any weaknesses or reportable conditions applicable to the grant programs? If so, identify what they were and the status. Was the audit qualified?</p>	<p>Agency's Audit, CPA's management letter, Consult with fiscal officer</p>		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>17. Perform an internal control review of the following:</p>	<p>Only complete if you answered “Yes” to Question 16.</p>		
<p>a. Are there clearly assigned duties and responsibilities for the fiscal employees?</p> <p>b. Are accounting procedures and fiscal processes documented in an accounting and/or desk manual?</p> <p>c. Is there adequate segregation of responsibilities in the check preparation and approval functions?</p> <p>d. Are checks submitted for authorization and signature accompanied by a requisition and invoice?</p> <p>e. Are blanks checks properly safe-guarded? How?</p> <p>f. Are accounts payable checks written to staff? Under what circumstances?</p>			
<p>Property Management: The Service Provider must maintain effective control and accountability for all real, and personal property, and other assets. The Service Provider must adequately safeguard all such property and must assure that it is used solely for authorized purposes. (Common Rule Section 20(b3) Standards for Financial Management Systems)</p>			

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>18. Do property records include the following:</p> <ul style="list-style-type: none"> a. A description of the property b. Acquisition date and cost c. Location, use, and condition d. Fund source for the acquisition e. Manufacturer's serial number 	<p>Review this section only if Equipment/Property was purchased with grant or program income related funds.</p>		
<p>19. Is a periodic physical inventory performed? How often? Is the last physical inventory documented?</p>			
<p>20. If grant provided Equipment/Property, ask the provider to compare the DSES Equipment/Property listing to the Agency's prior to monitoring? Was there any variances?</p>	<p>County Equipment/Property Listing, if applicable</p>		

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
<p>21. What is the Provider’s process for disposition of property no longer in use? Does the Agency keep information on the disposed Equipment/Property?</p>	<p>If yes, request the following: Request to Dispose of Property Proceeds from distribution Disposition of proceeds</p>		<p>*Remind Agency of County/State policy on grant purchased Equipment/Property</p>
<p>22. Is there a written policy for handling shortages or damaged property? If so, did they follow their policy the last time they conducted a physical inventory?</p>			
<p>23. Did an Equipment/Property Report accompany the final invoice of the contract term on Equipment/Property purchased with grant related funds? Date of last report submitted.</p>	<p>If provider is required to match grant funds, Equipment/Property purchased with matching funds would have to be included.</p>		
<p>Accounting Records: The Service Provider shall maintain accounting records which adequately identify the source and application of funds. These records must contain information pertaining to grant awards, obligation’s balances, assets, liabilities, expenditures, and income. (Common Rule Section 20(b2) Standards for Financial Management Systems)</p>			

Evaluation Question	Typical Documentation	Contractor Comments	County Feedback
24. Does the Service Provider's accounting system maintain separate cost centers for each grant program?			
25. Does the Provider have a records retention policy that is in accordance with contract and federal grant requirements?			
Program Income: The Service Provider shall establish procedures for proper documentation of program income. (Common Rule Section 20(b7) Standards for Financial Management Systems)			
26. Are there adequate controls in place for the counting, handling, deposit and recording of program income?			
27. Are procedures adequate to provide confidentiality over donations made by program participants?			
28. Does management compare actual program income received to expectations and follow up on any variances?			

Additional Comments:

SAMPLE

MONTEREY COUNTY

Department of Social and Employment Services



Area Agency on Aging

Date _____, 201__

Dear *Name of Contractor*:

Thank you so much for your time and attention to the AAA Site Visit **and or** Fiscal Visit conducted on _____, 201__. There **were/were not** Program and/or Fiscal issues identified and your agency was found to be in compliance with the contract agreement for Fiscal Year 20_____.

If issues were found:

There following issues were found and are listed below:

1. Not
2. Insufficient.....

If relevant:

These issues must be corrected and your written Corrective Action Plan must be submitted to my office by _____ (date).

I am available for technical assistance if needed and feel free to contact me at 831_____ for any reason.

I am looking forward to another great year of service and accomplishments by the senior services network. Thank you for being a part of that success.

Sincerely

Agency Representative
Area Agency on Aging

CALIFORNIA DEPARTMENT OF AGING (CDA)

SECURITY INCIDENT REPORT

CDA 1025 (New 07/07)

INCIDENT INFORMATION		
1. AGENCY/CONTRACTOR NAME:		2. AGENCY/CONTRACTOR INFORMATION SECURITY OFFICER'S NAME:
3. AGENCY/CONTRACTOR ADDRESS:		4. AGENCY/CONTRACTOR TELEPHONE:
5. DATE/TIME OF INCIDENT: <input type="checkbox"/> UNKNOWN	6. DATE INCIDENT DETECTED: <input type="checkbox"/> UNKNOWN	7. INCIDENT REPORTED TO: <input type="checkbox"/> CALIFORNIA DEPARTMENT OF AGING <input type="checkbox"/> DISTRICT ATTORNEY <input type="checkbox"/> CA HWY PATROL <input type="checkbox"/> ATTORNEY GENERAL <input type="checkbox"/> OTHER:
8. INCIDENT LOCATION :		
9. DESCRIPTION OF INCIDENT:		
10. MEDIA DEVICE TYPE, IF APPLICABLE:		11. WAS THE PORTABLE STORAGE DEVICE ENCRYPTED? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNKNOWN
12. IF NO, EXPLAIN:		
13. DESCRIBE THE COSTS ASSOCIATED WITH RESOLVING THIS INCIDENT:		14. TOTAL ESTIMATED COST OF INCIDENT: \$
15. TYPE OF PERSONALLY IDENTIFIABLE INFORMATION (CHECK ALL THAT APPLY): <input type="checkbox"/> NO PERSONAL INFORMATION <input type="checkbox"/> SOCIAL SECURITY NUMBER <input type="checkbox"/> HEALTH OR MEDICAL INFORMATION <input type="checkbox"/> FINANCIAL ACCOUNT NUMBER <input type="checkbox"/> NAME <input type="checkbox"/> DRIVER'S LICENSE/STATE ID NUMBER <input type="checkbox"/> OTHER (SPECIFY)		
16. IS A PRIVACY DISCLOSURE NOTICE REQUIRED? <input type="checkbox"/> YES <input type="checkbox"/> NO *IF A PRIVACY DISCLOSURE NOTICE IS REQUIRED, ATTACH A SAMPLE OF THE NOTIFICATION.	17. NUMBER OF INDIVIDUALS AFFECTED:	18. DATE NOTIFICATION(S) MADE TO THE INDIVIDUAL:
19. HAVE THOSE RESPONSIBLE FOR THE INCIDENT BEEN IDENTIFIED? <input type="checkbox"/> YES <input type="checkbox"/> NO COMMENT:		
20. CORRECTIVE ACTIONS TAKEN TO PREVENT FUTURE OCCURRENCES:		
21. ESTIMATED COST OF CORRECTIVE ACTIONS: \$	22. DATE CORRECTIVE ACTIONS WILL BE FULLY IMPLEMENTED:	
SIGNATURES		
23. PRINT - AGENCY/CONTRACTOR INFORMATION SECURITY OFFICER:	SIGNATURE:	DATE:
24. PRINT - AGENCY/CONTRACTOR PRIVACY OFFICER:	SIGNATURE:	DATE:
25. PRINT - AUTHORIZED SIGNATURE/DIRECTOR:	SIGNATURE:	DATE: