



# **THE DEPARTMENT OF ELDER AFFAIRS**

**MONITORING PLAN  
2003/2004**

## **Mission Statement**

To create an environment that provides choices, promotes independence and enables older Floridians to remain in their communities for a lifetime.

## **Vision: Golden Choices**

To lead the nation in assisting elders to age in place, with dignity, purpose, security, and in an elder-friendly community.

## **Values**

Compassion  
Accountability  
Caregiver Support  
Quality  
Intergenerational  
Partnerships  
Diversity

**MONITORING PLAN**

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IX. MONITORING INSTRUMENT

## 2004 MONITORING OVERVIEW

•The 2004 monitoring incorporates the Department's analysis of the Area Agencies' on Aging (AAA) performance and achievement of Phase III monitoring standards, review of new and revised standards related to the Elder Nutrition Program, Medicaid Waiver, and the new monitoring and technical assistance role of the Evaluation and Planning Unit. Since the Department has established a performance monitoring system, the type of monitoring the AAA receives is largely based upon previous year performance. The monitoring standards can be included in four monitoring types, as listed below. Each AAA's achievement level on all of the Department units' monitoring standards will be examined individually and combined to determine each agency's overall achievement or performance score on the 2004 monitoring standards.

•The 2004 monitoring will utilize the following achievement percentage ranges in determining the type, method, and length of all monitoring scheduled for 2003-2004:

<u>Achievement Percentage Range</u>	<u>Type Monitoring</u>	<u>Estimated Length of Visit</u>
91 - 100 %	Critical Measures	1 to 2 days
86 - 90 %	Desk Review	2 days
80 - 85 %	Technical Assistance	2 to 3 days
0 - 79 %	Full Review	3 or more days

- **Critical Measures** (CM) monitoring is limited to Area Agencies on Aging whose combined Phase III monitoring scores ranged from 91% to 100%. These agencies had no more than one major deficiency (not achieved) identified in their administrative or programmatic monitoring. Phase III monitoring recommendations by DOEA were minor. This monitoring will consist primarily of Critical Measures only and limited internal desk review of 2004 monitoring standards through staff assessment of internal reports and survey data, as well as review of requested AAA supporting documentation, submissions, reports, etc. requested by DOEA, and signed certifications and/or assurances provided by the AAA.
- Staff may survey providers as appropriate;
- Staff may request a sample of client files for review;
- Staff will address the technical assistance needs of the AAA;
- The monitoring will conclude with a 1 to 2 day on-site visit to review *innovative program initiatives* or management systems. This will be the AAA's opportunity to discuss best practices and innovative initiatives.
- The Department will share the 2004 monitoring results with board and advisory council representatives and AAA staff.
- **Desk Review and Critical Measures** (DR) monitoring is limited to AAA's whose Phase III administrative and programmatic monitoring score ranged from 86% to 90%. These agencies had at least one major deficiency (not achieved) identified in their administrative or programmatic monitoring and at least five

deficient (partially achieved) standards. The AAA responded to the Phase III monitoring required actions and recommendations made by DOEA. The desk review will consist of the Department conducting a limited 2-day review of:

- Critical Measures and selected 2004 monitoring standards through staff assessment of internal reports and survey data, and review of required AAA submissions and reports;
  - Survey of providers as appropriate;
  - The AAA's sample of client files to document compliance with specific 2004 monitoring standards;
  - Documentation in support of 2004 monitoring standards;
  - Technical assistance needs of the AAA staff;
  - The Department sharing the 2004 monitoring results with board and advisory council representatives and AAA staff.
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- **Technical Assistance and Critical Measures** (TA) monitoring is limited to Area Agencies on Aging whose individual or combined Phase III administrative and programmatic monitoring score ranged from 80% to 85%. These agencies had at least one major deficiency (not achieved) identified in their administrative or programmatic monitoring and at least ten or more deficient (partially achieved) standards. The AAA responded to the Phase III monitoring required actions and recommendations made by DOEA. The Technical Assistance monitoring will consist of:
    - Critical Measures and a complete desk review of the status of Phase III monitoring required actions and recommendations for "Partially" and "Not Achieved" standards;
    - Staff assessment of internal reports and survey data, and review of required AAA submissions and reports;
    - Provider surveys as appropriate;
    - Review of a sample of client files to document compliance with specific 2004 monitoring standards;
    - A 3-day onsite visit to review all documentation in support of selected 2004 monitoring standards;
    - Provision of technical assistance to AAA staff;
    - The Department sharing the 2004 monitoring results with board and advisory council representatives and AAA staff.
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- **Full Review and Critical Measures** (FR) monitoring is limited to Area Agencies on Aging whose individual or combined Phase III administrative and programmatic monitoring score was 79% or below. These agencies had at least two or more major deficiencies (not achieved) identified in their administrative or programmatic monitoring and at least eight or more deficient (partially achieved) standards. Phase III monitoring required actions and recommendations by DOEA were implemented. Full Review monitoring will consist of a 3 or more day review of:

- Critical Measures and a complete onsite review of the status of Phase III monitoring required actions and recommendations for “Partially” and “Not Achieved” standards;
- Staff assessment of internal reports and survey data, and a review and discussion of required AAA submissions and reports;
- Survey of providers as appropriate;
- Review of AAA’s sample of client files (statistically valid sample) to document compliance with specific 2004 monitoring standards;
- Review of documentation in support of selected Phase III and 2004 monitoring standards;
- Provision of technical assistance to AAA staff;
- The Department sharing the 2004 monitoring results with board and advisory council representatives and AAA staff.

•Each AAA’s performance score determines the type of monitoring to be conducted during the 2004 monitoring by DOEA. The following list includes the 2002-2003 performance scores by PSA and the type of monitoring to be conducted:

PSA	Total Score	Type of Visit	Proposed Date
1	87	DR	October 6, 7, 8, 2004
2	92	CM	May 26, 27, 28, 2004
3	96	CM	July 28, 29, 30, 2004
4	93	CM	August 25, 26, 27, 2004
5	93	CM	May 10, 11, 12, 2004
6	84	TA	April 7, 8, 9, 2004
7	93	CM	April 28, 29, 30, 2004
8	96	CM	July 7, 8, 9, 2004
9	94	CM	August 11, 12, 13, 2004
10	95	CM	September 22, 23, 24, 2004
11	82	TA	October 20, 21, 22, 2004

The Department’s monitoring effort will be based upon a single review period, *but with the incentive of shorter reviews for the areas of highest compliance*. So while the department monitors may be on site for a certain length of time, certain monitors may only be there for the last day of the review. As a result, each level of monitoring still recognizes the high achievement portion of an agency’s overall monitoring performance score. One unified monitoring tool has the ability to be altered over time with policy changes without losing the integrity of the data. It weighs the measures so that the outcome is based on the most important factors and not achieving minor ones does not result in an extreme outcome.

## KEY AREAS

- **Phase III Follow-Up**  
Monitors will conduct a follow-up review of corrective actions and recommendations made as a result of the Phase III monitoring.
- **Governance**  
Monitors will evaluate the infrastructure of the Area Agency including the Board, Advisory Council, policies and procedures and the effectiveness of the organization in executing administrative and management responsibilities.
- **Service Delivery (Targeting/Prioritization)**  
Monitors will review compliance with contract and policy language designed to ensure prioritization criteria is being utilized for service delivery, resources are maximized and services are delivered in the most cost effective way. Targeting elders as it relates to the Older Americans Act will also be reviewed.
- **Efficient Use of Resources**  
Monitors will review unit cost information and services to evaluate the overall efficiency in utilizing resources.
- **Performance Measures**  
All performance measures will be evaluated, both legislatively approved and DOEA internally established. CIRTS reports will be generated and problem areas will be investigated. Strategies and procedures developed and being used by AAAs to achieve these measures will be reviewed.
- **Consumer Choice/Satisfaction**  
Staff will review consumer and provider satisfaction survey data from the DOEA Planning and Evaluation Unit and the AAA. Discussions will be held at the AAA to determine how consumer satisfaction results are used by the agency. The AAA's documentation of service provider client satisfaction survey activities and efforts to ensure consumer choice will be reviewed.
- **Data Integrity**  
Monitors will evaluate AAA /Service Provider utilization of CIRTS and other data reports to determine effective utilization of resources, maximization of funding and the use of the Assessed Consumer Priority List within the PSA.
- **Due Process/Grievance**  
Monitors will determine if grievance and fair hearing procedures are in place at the AAA and service provider level.

## **Monitoring Protocol**

### **The Team**

Monitoring team members will be appointed by the appropriate division directors and will include representatives from the Divisions of Statewide Community-Based Services, Administration, Volunteer and Community Services, Information Systems, and any other appropriate department staff. Team members will be responsible for conducting the review of approved monitoring standards and related activities included in the Department's monitoring plan and agenda for each AAA.

Each monitoring team will have a team leader appointed by the Division of Statewide Community-Based Services. The team leader will be the single point of contact for each monitoring visit and will be responsible for convening the monitoring team for meetings before and after site visits. These meetings will be held to organize the team, discuss prior year monitoring reports and current AAA/provider issues and concerns, plan the agenda for the site visit (including the entrance and exit interviews), and to coordinate the writing and review of the draft and final reports. The leader will be responsible for communicating with the AAA regarding all matters related to the monitoring visit, including participating staff and preliminary discussions on special or unique issues or concerns of the Department or AAA.

### **The Pre-Site Visit review**

The purpose of the pre-site visit review meeting(s) is to gather team members and other appropriate Department staff to conduct business associated with the on-site monitoring visit. Monitoring team members are required to attend all meetings called by the team leader in preparation for the on-site visit. Special initiatives, issues, concerns, or problems should be identified by team members for discussion and possible inclusion in the monitoring review. Team members will also develop a list of materials, including those related to previous monitoring and corrective actions, needed from the AAA in advance of the visit. The leader will be responsible for requesting the desired information and disseminating it to team members.

Team members will also develop a list of data needs or reports and consumer satisfaction survey information, which may help in evaluating areas of achievement or concern. The team leader will request identified data from the Division of Information Systems and Planning and Evaluation Unit staff.

At the conclusion of the pre-site visit review meeting(s), the team will have a completed monitoring plan and agenda, including special or unique issues raised by Department and AAA staffs. The completed agenda will determine the anticipated length of the visit.

### **The Site Visit**

The team leader will conduct the site visit in accordance with the approved monitoring agenda. Entrance and exit interviews will be convened by the team leader and should include AAA staff, board and advisory council members, and monitoring team members. The entrance conference should include introduction of all participants, a brief overview of the 2004 monitoring process

by the team leader, and an opportunity for AAA participants to ask questions related to the monitoring process.

Monitoring standards and related activities will be reviewed by team members with expertise in the areas to be reviewed. The team leader will coordinate a daily progress briefing with team members. Issues or special concerns brought to the attention of team members and needing immediate action should be promptly shared with the team leader. The team leader will be responsible for communicating with the AAA or Department as appropriate relative to the issues or concerns.

At the conclusion of the monitoring review, the team leader will coordinate the exit conference. All team members will attend the exit conference. The team leader and designated team members will discuss preliminary findings with the AAA participants and provide information on the draft and final reports process.

### **The Final Monitoring Report**

Within 28 workdays, after the conclusion of the monitoring site visit, the leader will coordinate the writing of a final report. Team members will review their findings with their respective supervisors and submit the final draft, electronically to the leader. The leader will consolidate the final draft and circulate it to the Management Improvement Plan team and the AAA for review. The purpose of the final draft review is to identify and correct factual errors or omissions. This is not intended to be an opportunity to debate report findings. Upon completion and approval of the report, the final consolidated report will be sent to the AAA and Board President. The transmittal will include a cover letter from the Secretary, the formal monitoring report and the findings for partially achieved or non-achieved standards. The AAA will have 30 days to provide a corrective action plan to the Team Leader.



### The Timetable

3 weeks prior to site visit	Site team to meet and compile information requirements for the desk review and the visit
2 weeks prior to visit	AAA notified of list of materials needed for review on-site and for desk review.
1 week prior to visit	Team Leader confirms staff attending and that all materials are received and reviewed. Leader also asks for special areas of concern to the team. Leader confirms entrance conference time with AAA.
1 day prior to visit	Team Leader confirms all staff are attending and prepared.
Site visit	Team Leader coordinates entrance conference and anticipated length of visit and sets exit conference time.
Site Visit	Team Leader coordinates daily activities and informs AAA of progress as necessary.
Last day of visit	Team Leader conducts exit interview
Within 5 work days after visit	AAA responds in writing to the Team Leader on the findings presented at the exit conference.
5 work days after visit	Monitoring team members submit all final draft comments to the Team Leader.
10 work days after visit	Team Leader forwards final draft to MIP Team for review. (Team Leader emails notification to Management Improvement Plan (MIP) Team)
12 work days after visit	MIP Team responds to Team Leader.
17 work days after visit	Team Leader forwards final draft to AAA for response.
25 work days after visit	AAA responds in writing to the Team Leader on the final draft.
28 work days after visit	Team Leader forwards final report to Secretary for approval and formal transmittal.

### AAA RESPONSE TO THE REPORT

30 calendar days after receipt of the report	AAA will provide a corrective action plan to the Team Leader.
Within 30 calendar days after receipt of AAA corrective action plan	Team Leader responds to AAA corrective action plan.

## APPENDIX I

This Appendix contains a sample list of information that the monitoring team may request for desk reviews or site visits.

- CIRTS performance measure reports
- WEB-DB exception reports
  - Medicaid Waiver reports
  - CARES Imminent Risk exception reports
  - APS exception reports
- Average cost per consumer/unit
- Length of time in CCE while waiting for Medicaid Waiver
- Maintenance of APCL
  - Average length of stay on list
  - Number divided by percentage of people by priority ranking
- Comparison of services provided to frailty level
- Monthly surplus/deficit reports
- Specific program reports required in contracts
- Sample of volunteer files
- Sample of client files
- Selected sample of sub-recipient(s), sub-contract(s), audits, monitoring site reports, and expenditure documentation.

## **APPENDIX II**

This Appendix contains the criteria for current practices that may be recommended for “Best Practice” status. The Department is interested in best practices in each Planning and Service Area (PSA), including the Area Agency on Aging (AAA) and in the provider network. During the monitoring visit, the Monitoring Team Members may identify practices to be highlighted and shared. Additionally, using the information provided in this Appendix, the AAA may inform the monitoring team of any activity it wishes the Department to substantiate or confirm as a best practice. The best practice will be included in the monitoring report and may be selected for presentation at the annual Best Practices Exchange Conference.

**Definition:** A best practice is a measurable and replicable program, process, or concept, beyond expected operation or performance. It is so effective, that it directly or indirectly improves the quality of life and the delivery of services to elders. Best practices may be identified in areas such as administrative process, innovative service delivery, unique partnerships and effective collaborative efforts.

### **Initiatives presented must meet at least three of the following nine criteria:**

- ❑ Be innovative and non-traditional in addressing complex issues and problems
- ❑ Demonstrate the effectiveness of collaborative efforts
- ❑ Use non-traditional partners and approaches in meeting program objectives in spite of reduced program resources
- ❑ Result in more efficient and effective delivery of services (cost savings or increased leveraging of resources)
- ❑ Provide greater access of services in under-represented venues through increased program awareness, education, and innovation
- ❑ Substantially reduce risk factors through information dissemination and program intervention
- ❑ Results in much higher consumer satisfaction ratings
- ❑ Exceed pre-established statutory program performance measures
- ❑ Be recognized widely as a possible national model due to uniqueness and effectiveness

### **Information to include as part of a Best Practice Presentation:**

1. **TITLE:** Title of the best practice (for example, “Health Mentors Project”)
2. **AGENCY (S):** Agency where implemented (lead organization implementing the best practice)
3. **CONTACT:** Contact name, agency, address, fax, telephone, email
4. **BUDGET:** Annual budget and number of staff and volunteers utilized in implementation, if appropriate.
5. **DESCRIPTION:** A one-page summary, describing how the practice meets at least three criteria.

## APPENDIX III

This Appendix contains definitions of terms used in the monitoring plan and reports.

1. Entrance Interview – (Included in the Entrance Interview section of the Monitoring Report.) Describes the manner in which the on-site monitoring review began, including attendance, Board President Address, overview of the monitoring plan and agenda
2. Exit Interview – (Included in the Exit Interview section of the Monitoring Report.) Describes the departure of the on-site monitoring review, including attendance, an item-by-item presentation of findings, recommendations and required actions, and expressed appreciation to the AAA and Board.
3. Performance Achievement – (Included in the Executive Summary of the Monitoring Report.) Describes the value of current work performance compared to the prior year.
4. Finding – (Included in the Executive Summary of the Monitoring Report.) Describes discoveries and determinations of the review.
5. Recommendation – (Included in the Executive Summary of the Monitoring Report.) Describes beneficial suggestions to address findings.
6. Required Action – (Included in the Executive Summary of the Monitoring Report.) Describes activities necessary to be done to address findings.
7. Corrective Action Plan – (If applicable, requested in the Conclusion of the Monitoring Report.) Contains the AAA’s written method or outline for accomplishing compliance with the authoritative rules or principles described as required actions or recommendations.
8. Noteworthy Observation – (Included in the Executive Summary of the Monitoring Report.) Describes notable efforts made toward addressing previously required actions or recommendations and notable efforts made in addressing current standards.
9. AAA Response – (Requested in the Conclusion of the Monitoring Report and included as “AAA Response” in the Monitoring Report.) Contains the written reply providing comments or addressing factual errors or omissions in the Department’s documented observations of the condition and operation of the AAA through the use of the monitoring instrument. The written AAA response is not intended to be a debate of report findings.
10. Department Response – (Provided as indicated in the Timetable of the Monitoring Plan.) Contains the written reply to the AAA’s Corrective Action Plan.
11. Best Practice – (Included in the Executive Summary of the Monitoring Report and as an attachment.) Describes a measurable and replicable program, process, or concept, beyond expected operation or performance.
12. Technical Assistance – (Included in the Summary of the Monitoring Report.) Describes specialized, practical support and guidance provided to the AAA.