



THE DEPARTMENT OF ELDER AFFAIRS

MONITORING PLAN PHASE III 2002/2003

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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PHASE I SUMMARY

- Phase I of the monitoring by exception process has been completed. The department staff conducted desk reviews and on-site visits to monitor all eleven Planning and Service Areas (PSAs) during the 2000-2001 program year.
- Comprehensive monitoring was conducted to assure the administration of state and federal programs and the delivery of services to elders conformed to standards of good practices and were producing outcomes in agreement with the department's mission and contract requirements.
- Key areas were reviewed at each PSA. Each key area had standards and specific indicators to determine achievement of standards.
- Monitoring staff obtained input from DOEA Division Directors and other management staff or designees in developing the PSA specific issues to monitor prior to the on-site review and all programs administered by the PSA were monitored.
- The monitoring reviews consisted of a desk review of a sample of consumer files from providers in each PSA, review of department staff input and Consumer Information Registration and Tracking System (CIRTS) reports. This was followed by an on-site visit to the PSA and included visits to the area agencies on aging, provider agencies, and consumer homes.
- Fiscal/administrative monitoring was conducted concurrently when feasible by staff.
- Phase I of the monitoring by exception process established a baseline for each PSA and is to be used to determine PSA specific monitoring items for Phase II.

PHASE II SUMMARY

- Phase II of the monitoring by exception process was implemented during the 2001-2002 program year.
- Monitoring visits were announced and the Phase II monitoring instrument was provided to all area agencies on aging. All area agencies were monitored during the monitoring period with the Phase II monitoring instrument.
- As applicable, the Phase II monitoring began with a follow-up review of corrective actions and recommendations made as a result of the findings in the Phase I monitoring reports.
- Key areas, including new departmental standards and initiatives, were included for review at each AAA. Standards and specific indicators in key areas were reviewed to determine if the AAAs met the requirements in key areas reviewed.
- State Fiscal Year 2001/2002; Federal Fiscal Year 2000/2001; and Calendar Year 2001 contracts were reviewed.
- Standards were evaluated based on interviews and review of records and other documentation of DOEA, AAA Boards and Advisory Councils, area agencies, service providers, consumers and family members, as applicable.
- All new contract language and programs implemented during the program year 2001-2002 were evaluated to ensure AAA and service provider compliance.
- All legislatively approved performance measures, including outcomes and outputs, were discussed to determine each AAA's internal monitoring and tracking processes. Technical assistance and direction was also provided.
- Programs, services, and oversight responsibilities that were determined as areas of possible risk of non-compliance or potential consumer harm as a result of desk reviews or department staff analysis were also monitored. Additionally PSA specific issues or concerns were reviewed and discussed.
- Fiscal/administrative and program monitoring was conducted concurrently when feasible by staff.

PHASE III SUMMARY

- The Phase III monitoring will incorporate the Department's analysis of the AAA's performance and achievement of Phase II monitoring standards, **Phase I monitoring follow-up**, and develop baseline measures for the Divisions of Volunteer and Community Services and Information Systems. Monitoring standards have been developed and include critical measures that will be reviewed at all AAA's. Four monitoring types, based on Phase II monitoring results, were established to implement the initial steps of a performance monitoring system. The method and focus of Phase III monitoring will be based on the overall performance of each AAA in achieving Phase II Administrative and Programmatic monitoring standards during 2001-2002. Each AAA's achievement level on both the administrative and programmatic monitoring standards were examined individually and combined to determine each agency's overall achievement or performance score on Phase II monitoring standards.
- Phase III monitoring will utilize the following achievement percentage ranges in determining the type, method, and length of all monitoring scheduled for 2002-2003:

<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** monitoring is limited to area agencies on aging whose combined Phase II 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 II monitoring recommendations by DOEA were minor. This monitoring will consist primarily of Critical measures only and limited internal desk review of Phase III 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;
- The monitoring will conclude with a 1 to 2 day on-site visit to review *innovative program initiatives* or management systems. The inclusion of best practices in the final round of the 2001-2002 monitoring and in the 2002-2003 monitoring, assures our role in identifying innovative programs and practices. The establishment of the Statewide Best Practices Workshop provides a mechanism for the AAA and providers to also participate in identifying innovative initiatives and best practices. Best practices will be identified by the monitoring teams to ensure areas that are functioning above the 90% level are highlighted and shared. AAAs will be asked to identify potential best practices and then the monitoring team will substantiate/confirm;

- The Department will share the Phase III monitoring results with board and advisory council representatives and AAA staff.
- Best practices may be shared at the annual statewide Best Practices workshops (if the funds are available annually), posted to the DOEA web site, and featured in *Elder Update* (per the Management Improvement Plan).
- **Desk Review and Critical Measures** monitoring is limited to AAA's whose Phase II 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. Phase II monitoring required actions and recommendations made by DOEA were responded to. The desk review will consist of the Department conducting a limited 2-day review of:
 - Critical Measures and selected Phase III 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 Phase III monitoring standards;
 - Documentation in support of Phase III monitoring standards;
 - Technical assistance needs of the AAA staff
- The Department will share the Phase III monitoring results with board and advisory council representatives and AAA staff.
- **Technical Assistance and Critical Measures** monitoring is limited to area agencies on aging whose individual or combined Phase II administrative and programmatic monitoring score ranged from 80% to 85%. These agencies had at least one or more major deficiency (not achieved) identified in their administrative or programmatic monitoring and at least ten or more deficient (partially achieved) standards. Phase II monitoring required actions and recommendations by DOEA were made and were responded to. The Technical Assistance monitoring will consist of:
 - Critical Measures and a complete desk review of the status of Phase II 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 Phase III monitoring standards as supported through Planning and Program Evaluation;
 - A 3-day onsite visit to review all documentation in support of selected Phase III monitoring standards;
 - Provision of technical assistance to AAA staff;
 - The Department will share the Phase III monitoring results with board and advisory council representatives and AAA staff.

- **Full Review and Critical Measures** monitoring is limited to area agencies on aging whose individual or combined Phase II 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 II 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 II 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 Phase III monitoring standards;
 - Review of documentation in support of selected Phase II and III monitoring standards;
 - Provision of technical assistance to AAA staff;
 - Share the Phase III 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 Phase III 2002-2003 monitoring by DOEA. The following list includes the 2001-2002 performance scores by PSA and the type of monitoring to be conducted:

PSA	Total Score	Type of Visit	Proposed Date
1	82	TR	November 19, 20, 21, & 22, 2002
2	81	TR	May 13, 14, 15, & 16, 2003
3	92	CM	July 10, & 11, 2003
4	81	TR	July 31, August 5, & 6, 2003
5	94	CM	February 4 & 5, 2003
6	78	FR	March 11, 12, 13, & 14, 2003
7	88	DR	May 28, 29, & 30, 2003
8	92	CM	April 10 & 11, 2003
9	79	FR	April 30, May 1, & 2, 2003
10	92	CM	June 11, & 12, 2003
11	70	FR	January 14, 15, 16, & 17, 2003

- 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. It also has validity of the review of the Planning and Program Evaluation unit, and therefore will stand to be reliable over time. This is Phase III however; all AAAs will be required to have a complete review every three years regardless of performance.

KEY AREAS

- **Phase II Follow-Up**
Monitors will conduct a follow-up review of corrective actions and recommendations made as a result of the Phase II 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 in 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 internal. CIRT 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**
Monitors will review DOE Planning and Program Evaluation Unit and AAA data from consumer and provider satisfaction surveys conducted. Discussions will be held at the AAA to determine how consumer satisfaction results are used by the agency. Documentation of service provider client satisfaction activities by the AAA will also be reviewed. AAA documentation of efforts to ensure consumers are offered choices will also be reviewed.
- Critical Measure**
A standard or related monitoring activity that is required to be reviewed at each annual monitoring visit unless granted an exemption by the department.
- **Data Integrity**
Monitors will evaluate AAA /Service Provider utilization of CIRT 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 conferences), 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 Program 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 conferences 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 Phase III

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. 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 for review. 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 conference
5 work days after visit	All final draft comments to the Team Leader
10 work days after visit	Team Leader forwards final draft to Management Improvement Plan Team for review.
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 to Team Leader.
28 work days after visit	Team Leader forwards final report to Secretary for approval and formal transmittal.

AAA RESPONSE TO THE REPORT

30-calendar day after receipt of the report.	AAA will provide a corrective action plan to the Team Leader.
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APPENDIX

The Appendix contains a sample list of documents that the monitoring team may request for review during desk reviews or site visits.

CIRTS EXCEPTION AND OTHER DATA REPORTS SUMMARY

- Self-referrals (contract management agencies)
- CIRTS performance measure reports
- EHEAEP missing field report
- HCE over income report
- 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
- Consolidated surplus/deficit reports
- Specific program reports required in contract
- Volunteer files, client files
- Selected sample of sub-recipient(s), sub-contract(s), audits, monitoring site reports, and expenditure documentation.

ALL AREAS NEED TO LIST THE REPORTS THEY WANT TO INCLUDE HERE. A COPY OF THE COMPLETE MONITORING INSTRUMENT NEEDS TO BE INSERTED HERE AS WELL. WE NEED TO ENUMERATE THE ATTACHMENTS FOR A COMPLETE APPENDIX INDEX.