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Authorized signatureNumber: APD-AR-16-024Issue date: 3/28/2016Topic: OtherDue date: July 29, 2016

AAA Self Monitoring of Older Americans Act Programs and Oregon Project

Subject: Independence Programs**Applies to (check all that apply):**

- | | |
|---|---|
| <input type="checkbox"/> All DHS employees | <input type="checkbox"/> County Mental Health Directors |
| <input checked="" type="checkbox"/> Area Agencies on Aging | <input type="checkbox"/> Health Services |
| <input type="checkbox"/> Aging and People with Disabilities | <input type="checkbox"/> Office of Developmental |
| <input type="checkbox"/> Self Sufficiency Programs | Disabilities Services(ODDS) |
| <input type="checkbox"/> County DD Program Managers | <input type="checkbox"/> ODDS Children's Intensive |
| <input type="checkbox"/> ODDS Children's | In Home Services |
| <input type="checkbox"/> Residential Services | <input type="checkbox"/> Stabilization and Crisis Unit (SACU) |
| <input type="checkbox"/> Child Welfare Programs | <input type="checkbox"/> Other (<i>please specify</i>): |

Action required:

The Department of Human Services and Area Agencies on Aging (AAAs) have agreed to approach the Older Americans Act programs and Oregon Project Independence program monitoring through a self-assessment framework. AAAs must complete a self-assessment for the Family Caregiver Support Program, Health Promotion and Disease Prevention, and Oregon Project Independence programs. The self-assessments are due July 29, 2016.

Instructions are attached for completing the self-assessments for Family Caregiver Support Program, Health Promotion and Disease Prevention, and Oregon Project Independence programs. The self-assessment tools are posted on the State Unit on Aging website under **AAA Monitoring and Tools**:

<http://www.oregon.gov/DHS/SENIORS-DISABILITIES/SUA/Pages/Area-Agency-Aging.aspx>

A **webinar** providing guidance on completion of the OPI self-assessment, for both the regular and pilot OPI programs, will be held **Tuesday, April 5, 2016 from 10:00 to 11:00 am**. The webinar will be archived and posted on the SUA website for those who are unable to participate. Registration link for the webinar:

<https://attendee.gotowebinar.com/register/5699976403952936963>

Completed self-assessment tools must be submitted electronically to the State Unit on Aging email at SUA.Email@state.or.us no later than **July 29, 2016**.

Reason for action:

The contract between DHS and AAAs states:

Program Monitoring: DHS will conduct periodic monitoring and evaluation of performance management system for program activities and administrative practices conducted in accordance with Section 307(a)(4) of the Older Americans Act and OAR 411-032-0015.

- a. AAA agrees to participate with DHS to develop a performance management framework to include objectives and metrics and shall report progress towards these objectives and metrics utilizing agreed upon format and intervals.
- b. DHS agrees to notify AAA in writing of intent to conduct onsite evaluation of reported performance management data and AAA agrees to provide DHS access to its facility(ies) and staff, all related program and fiscal documentation, AAAs subrecipient reports and any other related documentation to substantiate performance management reporting data.

Field/stakeholder review: Yes No

If yes, reviewed by:

If you have any questions about this action request, contact:

| | | | |
|--------------------|--|-------------|--------------|
| Contact(s): | Sarah Hout, Sandy Abrams (OPI) & SUA Assigned AAA Liaisons | | |
| Phone: | 503-945-6140 (Sarah) 503-947-2391 (Sandy) | Fax: | 503-373-1133 |
| Email: | sarah.d.hout@state.or.us sandy.h.abrams@state.or.us | | |

OREGON AREA AGENCY ON AGING INSTRUCTIONS FOR AAA SELF MONITORING

**Family Caregiver Support Program,
Disease prevention & Health Promotion, and
Oregon Project Independence**

Due July 29, 2016

OREGON STATE UNIT ON AGING

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MONITORING EFFORTS ON PROGRAM STANDARDS

Oregon's State Unit on Aging (SUA) has established an Area Agency on Aging (AAA) monitoring plan for multiple reasons. One is to set a consistent framework of quality assurance for both local and state practices. The ongoing monitoring efforts will help achieve continuous quality improvement efforts, strengthen communication with and among AAAs, and comply with federal and state regulations. The monitoring efforts will result in a concrete way to celebrate best practices in service delivery and to identify and correct areas of weakness. The purpose is to strengthen Oregon's service delivery at both the SUA and AAA level. Continued efforts will also help respond to findings in a 2006 Secretary of State audit which found significant material weakness in monitoring efforts, and prepare for future audits.

ASSUMPTIONS

- SUA assumes AAAs have in-depth, expert knowledge of the national and state requirements for service delivery and fiscal control.
- SUA assumes that AAAs are doing regular, thorough monitoring of their program and operational systems.
- SUA assumes AAAs are operating under the practices they believe to be the most efficient and equitable. SUA also believes that AAA are actively engaged in sharing quality assurance practices, though this process could be substantiated.
- SUA believes that we should be able to share monitoring and quality information with legislators and other stakeholders
- SUA believes that standards may be strengthened and efficiencies gleaned through ongoing program monitoring efforts and standardized reporting.
- SUA believes we need a more systemic monitoring system in place, including the development of standards, definitions and trainings related to quality control and continuous quality improvement.
- SUA believes that a largely self-reported monitoring system will produce factual data and honest self-reflection. SUA believes we can leverage our small capacity by conducting periodic onsite and desk reviews to learn mechanics of

program successes, assist with areas of development, and verify reported numbers.

PROGRAM, FISCAL AND OPERATIONS MONITORING EFFORTS

This document is intended to capture efforts related specifically to program management. The State Unit on Aging is interested in whether or not program standards are being met. If so, we want to share best practices across the state. If not, we want to know if there is any technical assistance or other resources we could provide to remedy. We have elected to do a self-monitoring approach because we believe this will be the most efficient way to collect and report this data, compared to the alternative of the SUA spending days on site to learn your data collection systems and monopolize your valuable staff time.

We specifically want this document to focus on program management and not on other areas of your operation, specifically fiscal and operations. We see the Area Plans as the vehicle to record and evaluate your bigger visions and all the aspects of operations including consumer involvement and satisfaction, advocacy, and much more.

We will be addressing fiscal monitoring through biannual reports reconciling your invoices with your service data. SUA will provide you these reports and work to reconcile discrepancies. We believe this report will cover fiscal monitoring well and we do not anticipate additional fiscal monitoring efforts.

CENTRAL QUESTIONS TO ANSWER THROUGH PROGRAM MONITORING

Through a joint effort with Oregon State Unit on Aging and the Area Agency on Aging, a monitoring effort that is conducted through self assessment, and later through peer assessment, aims to accomplish the following central questions:

- Do the reviewed programs meet the national and state standards?
- How are specific AAAs meeting program standards?
- What trends are occurring regionally and statewide?
- What are the best practices that could be shared with other AAAs to strengthen our service delivery system?
- Why are some program standards not being met?
- How could we improve our results locally and statewide?

- How do AAAs propose continuing areas that are working well and fixing areas that are not meeting standards?
- What can the SUA do to better support AAAs in meeting standards and providing quality services?

RAMIFICATIONS FOR LACK OF COMPLIANCE

The Area Agencies on Aging are ultimately responsible for successfully delivering and managing their programs. The State Unit on Aging is responsible for ensuring each agency has the capacity and resources needed to be successful. Together, our priority lays in protecting and enhancing areas of health and safety for our clients and consumers.

If program standards are not met, the State Unit on Aging will first review and follow-up on the action plans you have put forth in this report. The primary way we hope to solve discrepancies is through targeted technical assistance. In extreme cases of episodic noncompliance, the State Unit on Aging would evaluate our contract for services with individual Area Agencies on Aging and make necessary adjustments. Areas of noncompliance that jeopardize client health and safety will be grounds for contract review and/or termination.

MONITORING RESPONSIBILITIES FOR SUA AND AAAs

| SUA Responsibilities | AAA Responsibilities |
|--|--|
| Develop monitoring and evaluation framework & conduct training to AAAs every 2 years | Understand and apply national and state program standards as provided by SUA |
| Create and publish program standards based on federal and state requirements | Create localized data collection procedures to report on program monitoring tools and reporting template provided by SUA |
| Develop program monitoring tool to be used by AAAs | Conduct self-monitoring on all required program areas and operational practices |
| Develop operational standards including fiscal and internal control | Review and analyze data and performance on an ongoing basis |

| | |
|---|---|
| Develop reporting template to be used by AAAs | Decipher best practices and remedies based on the data |
| Review submitted reports; determine if action plans are adequate for addressing concerns | Create plans of action to address areas of concern |
| Aggregate reported data for statewide comparison on an annual basis; Share best practices & lessons learned | Report to the SUA every 12 months or an agreed upon schedule using the provided reporting template |
| Follow-up with AAA on action plan developments | Follow up on plans of action on an ongoing basis |
| Conduct periodic onsite reviews and desktop audits on the AAA reported material | Review statewide analysis of data; Incorporate best practices and lessons learned into service delivery |
| Develop additional action plans as needed based on the onsite and desktop reviews | |
| Review and alter evaluation and monitoring plan to best answer evaluation questions | |

FAMILY CAREGIVER SUPPORT PROGRAM

For Family Caregiver Standards, please visit

<http://www.oregon.gov/DHS/SENIORS-DISABILITIES/SUA/Pages/Family-Caregiver-Program.aspx> under “Program Standards.”

The Family Caregivers Support Program Assessment Tool can be found at the SUA website at: <http://www.oregon.gov/DHS/SENIORS-DISABILITIES/SUA/Pages/Area-Agency-Aging.aspx> under “AAA Monitoring and Tools.”

DISEASE PREVENTION & HEALTH PROMOTION

For the Oregon Disease Prevention and Health Promotion Standards, please visit:

<http://www.oregon.gov/DHS/SENIORS-DISABILITIES/SUA/Pages/Healthy-Aging.aspx> under “Program Standards.”

The Disease Prevention & Health Promotion Assessment Tool can be found at the SUA website at: <http://www.oregon.gov/DHS/SENIORS-DISABILITIES/SUA/Pages/Area-Agency-Aging.aspx> under “AAA Monitoring and Tools.”

OREGON PROJECT INDEPENDENCE PROGRAM

The monitoring tool(s) have been reduced and updated from versions used in years past. There are 19 questions, the year look back into the consumers OPI record is for the time period of March 1, 2015 through February 29, 2016 or any time within that if the case was recently opened.

The Monitoring Tools should not be completed by the staff person who was assigned to the OPI case. It should be a peer, supervisor, quality assurance staff or other staff person. AAA staff cannot review their own work!

A list of randomly selected OPI consumers from each AAA have been chosen to be monitored. The SUA will be sending the AAA directors by secure email by March 31, 2016 the list. These OPI cases were drawn from active OPI cases on February 29, 2016. The list is 15% of your caseloads in February 2016 and are capped at 40. If you need an alternate consumer's name, please contact Lori Watt at SUA (503-945-6237) for another name.

There are three tools to use: **A** for 60+ population and overview of Agency policy, **B** is the tool for the Expansion/Pilot and **C** is the Individual Consumer Monitoring Tool. Tools A & B are a summary of the records reviewed, by indicating in the actual numbers of No and Yes responses from the consumer OACCESS and file review compiled on Tool C. Tools A & B are identical except the questions 2 – 5 on Tool A for the AAA OPI Administration. The responses in questions 2 - 5 should also include any specific pilot info, (if the AAA is doing the pilot). Questions 2 – 5 on Tool B are grayed out.

The individual consumer review is to be done on Tool **C**. Tool **C** is also similar to Tools A & B however it only has questions 6-19 which are directly from the consumer record. Tool **C** should be used to communicate with the Case Manager/Service Coordinator the findings of the reviewer then if any corrections which are needed and when the corrections need to be completed by. **Do not return Tool C to the State Unit on Aging.**

There will be a **Webinar on Tuesday, April 5, 2016 from 10:00 to 11:00 am.**

Please pre-register at

<https://attendee.gotowebinar.com/register/5699976403952936963>. The

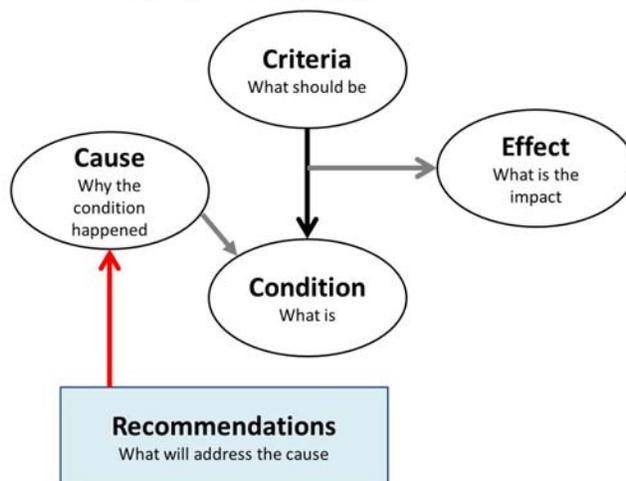
webinar will be recorded and posted on the SUA website:

<http://www.oregon.gov/DHS/SENIORS-DISABILITIES/SUA/Pages/Area-Agency-Aging.aspx> under "AAA Monitoring and Tools." The Oregon Project Independence Assessment Tools can also be found on the SUA website. Frequently Asked Questions & Answers will be updated weekly. Specific questions for OPI should be directed to Sandy Abrams, OPI Program Analyst, Sandy.H.Abrams@dhsosha.state.or.us .

MONITORING FRAMEWORK

The U.S. Government Accountability Office (GAO) developed the Government Auditing Standards known as the Yellow Book. The Elements of a Finding, also referred to as the Five Findings, is the evaluation model used in the Government Auditing Standards. The Five Findings is the basis of program evaluation and audit reporting for the GAO and all state and local auditing entities. The framework breaks down the evaluation components to allow AAAs to accurately reflect on their situation.

Elements of a Finding



What is a “FINDING”?

Finding is the compilation of collecting specific data, analyzing it and determining the condition. A finding is dependent on the evaluation objectives.

For Oregon State Unit on Aging AAA monitoring, the finding will be presented in the annual performance report submitted by each AAA. We will focus on best practices that helped achieve compliance, in addition to lessons learned for areas that did not meet compliance.

CRITERIA – “What should be”

Criteria provides information so that the user will be able to determine what is required, or desired, or what is expected from the program or operation. The criteria are easier to understand when stated fairly, explicitly, and completely and when the source of the criteria is identified.

For Oregon State Unit on Aging AAA monitoring, the criteria will be the program standards for each area.

CONDITION – “What is”

Condition provides evidence on what is found regarding the actual situation. Reporting the scope or extent of the condition allows the report user to gain an accurate perspective.

For Oregon State Unit on Aging AAA monitoring, the condition will be the information presented in the monitoring tool as contained in the annual AAA performance report. The tool will be used to show successes and areas for improvement.

CAUSE – “Why the condition happened”

Cause provides persuasive evidence on the factor or factors responsible for the difference between condition and criteria. Cause explains why the difference between the ideal and actual circumstances exist.

For Oregon State Unit on Aging AAA monitoring, the cause will be a narrative reflection from each AAA in the annual AAA performance report. The Cause will address both best practices that led to compliance/success, and factors that could be improved.

EFFECT – “What is the difference between the ‘what is’ and the ‘what should be’?”

Effect is the impact of the difference between condition and criteria. Effect provides a clear, logical link to establish the impact of the difference between what the auditors found (condition) and what should be (criteria). Effect is easier to understand when it is stated clearly, concisely, and if possible, in quantifiable terms.

For Oregon State Unit on Aging AAA monitoring, the effect will be narrative reflection from each AAA in the annual AAA performance report. The effect can reflect the positive change compliance has had regarding

RECOMMENDATION (or Plan) “Actions needed to continue success or correct the cause”

Recommendations address how to align criteria and condition and should directly address the cause.

For Oregon State Unit on Aging AAA monitoring, the recommendation or plan will be a specific plan of action from the AAA and reported in the annual AAA performance report. The recommendations will be closely implemented by the AAA and closely reviewed by the SUA. Onsite and desk reviews will be conducted periodically by the SUA.

FOR MORE INFORMATION

To inquire about SUA business overall, please contact Sarah Hout, Manager of State Unit on Aging at Sarah.d.Hout@state.or.us.