



North Carolina Department of Health and Human Services
Division of Aging and Adult Services

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Administrative Letter No. DAAS -13-09

TO: Area Agency on Aging Administrators
AAA Aging Specialists

From: Dennis Streets, Division Director 

Subject: Programmatic/Service Specific Risk Assessments

Date: June 21, 2013

Programmatic and service specific risk assessments for aging service providers have been developed for the following services: Transportation; Nutrition (Congregate and Home Delivered Meals); In-Home Aide; Adult Day Care/Health Services; Housing and Home Improvement; and Senior Center Operations. It is intended that these service matrices, in addition to the existing Agency Risk Evaluation Matrix, will assist Area Agencies on Aging in determining programmatic risk of their service providers. As with the Agency Risk Evaluation Matrix, these programmatic risk supplements are recommended as best practice tools, and they can be modified by the AAA to better meet its local service environment.

The Programmatic Risk Evaluation Matrix Supplements are attached to this Administrative Letter. The Division of Aging and Adult Services (DAAS) supports this approach of using programmatic criteria, in addition to agency and/or fiscal criteria, since program or service indicators affect specific service delivery. Agency or fiscal indicators alone may not necessarily determine whether a service is delivered to the user as intended. These matrices represent eight major HCCBG services, yet they do not reflect all of the HCCBG services. While AAA's will have the flexibility to develop risk matrices for the other Block Grant services, the Division would like to review any additional tools that are developed and is certainly willing to assist the AAA in developing matrices for other services.

Although the use of these risk matrix tools are considered optional for the AAA, it should be reemphasized that a risk assessment must be conducted each year for each provider regardless of the frequency of the actual monitoring, and it must be on file for state review. In addition, the AAA must develop written criteria for determining "risk".

The risk criteria for determining risk will result in a designation of one of three categories of risk – high, moderate, or low. DAAS monitoring policy on risk assessments is based on Section 308.2 D of the AAA Policies and Procedures Manual. All providers determined to be at "high risk" must receive onsite monitoring. For "moderate risk" the AAA has the flexibility and the choice to determine whether or not to conduct onsite monitoring. For "low risk" the AAA is not required to monitor the provider unless the provider has not been monitored for a three-year period. State monitoring policy specifies that programmatic monitoring will be conducted on each new service provider in the region, and these reviews shall be conducted during the first year of service operation.

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In conclusion, programmatic (service specific) risk is equally important to overall agency and/or fiscal risk, and should be taken into account during the risk analysis process. This guidance on programmatic risk, along with agency/fiscal risk determination, is intended to help the AAA in determining its monitoring schedule of local aging service providers. Questions regarding this policy or the attached risk tools should be directed to Steve.Freedman@dhhs.nc.gov (919-855-3411).

Attachments (6)

Cc: Service Operations Staff
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