**Instructions for Completing I & OC Monitoring Tool – HCCBG and CARES**

This tool has been modified to include monitoring for HCCBG funding of the service and for CARES funding. Make copies as needed. If monitoring both funding sources for this service at the same time, the monitor has the option to complete one tool even though there will be separate monitoring reports.

**For HCCBG monitoring:**

Complete pages 2 – 8, 10 – 14, and provider completes page 16.

Two items on the monitoring tool have been identified that may be impacted by COVID-19. They are:

#15. Agency delivers Options Counseling in the setting and by the method desired by the individual.

#20. Evidence exists that the Agency has provided educational opportunities about the Options

Counseling service to its community partners.

If the agency’s service delivery has been impacted by COVID-19 on these items, they may be marked as N/A with an explanation made in the comments section.

Examples of explanations:

For #15: Due to COVID-19 the agency is not open to the public and is providing I & OC via phone and email.

For #20: Due to COVID-19, Governor’s Executive Orders limiting the number of people indoors and outside at public gatherings, and limited capacity for virtual meetings, the agency is unable to provide educational opportunities about Options Counseling to community partners.

**For CARES monitoring:**

If the provider has used CARES code 940, which is for consumable supplies (cleaning products and PPE), and building modifications, complete page 9, including the provider attestation statement.

NORTH CAROLINA DIVISION OF AGING AND ADULT SERVICES AND

NC AREA AGENCIES ON AGING

**PERFORMANCE REVIEW: INFORMATION AND OPTIONS COUNSELING**

**Part I: Program Verification**

Agency:       Date:

Agency Staff Interviewed:

Signature of Reviewer:

**PROGRAM DEFINITION –** (Complete Questions 1- 3 **last**)

1. Agency provides Information. (III A&B) Yes  No

2. Agency provides Assistance. (III A&B) Yes  No

3. Agency provides Options Counseling. (III C)Yes  No

**(1-3 must be “yes” to be in compliance with the Information and Options Counseling Service Standards)**

CLIENT ELIGIBILITY

4. Persons served are age 60 years of age or older or are Yes  No  N/A

acting on behalf of a person 60 years of age or older.

(IV.B.) (i.e. Client Record, Promotional materials, Service Policies, etc.)

Documentation reviewed/Comments:

**MARKETING AND SERVICE PROMOTION**

5. Agency can show evidence that it promotes the Yes  No  N/A

Information, Assistance and Options Counseling components

of this service. (V.C.) (i.e.) Media, PSAs, fliers, newsletters, brochures, presentations, etc.)

Documentation reviewed/Comments:

**SERVICE PROVISION**

6. Agency has records to show collection of information Yes  No  N/A

to state the problem/concern of the individual.

(VI.B.1) (i.e. Client Record, Information Log)

Documentation reviewed/Comments:

7. Agency has records to show that an individual Yes  No  N/A

received information related to stated problem/concern.

(VI.B.2.) (i.e. Client Record, Information Log, etc.)

Documentation reviewed/Comments:

8. Agency records show that an individual was referred Yes  No  N/A

to appropriate services. (VI.B. 3) (i.e. Client Record, Information Log, etc.)

Documentation reviewed/Comments:

9. Agency records show evidence that the Agency Yes  No  N/A

researched information in order to meet the client’s needs.

(VI.B.4.) (i.e. Updated resource file connected with case, Worker’s explanation of worker’s process)

Documentation reviewed/Comments:

10. A plan exists stating outcomes expected for clients Yes  No  N/A

receiving Assistance. (VI.B.5.) (i.e. Client Record, etc.)

Documentation reviewed/Comments:

11. Agency records show how staff coordinated services Yes  No  N/A

to meet the client’s needs.(VI.B.6) (i.e. Client Records, etc.)

Documentation reviewed/Comments:

12. Agency records show follow-up. (VI.B.7.) Yes  No  N/A

(i.e. Client Records, etc.)

Documentation reviewed/Comments:

13. Agency records show how staff advocated on behalf Yes  No  N/A

of an individual or group of individuals. (VI.B.8)

(i.e. Letters of Support, Client Records, Presentations, etc.)

Documentation reviewed/Comments:

14. Agency has process for receiving initial inquiries for Yes  No  N/A

Options Counseling. (VI.C.) (i.e., Verbal explanation or written procedure)

Documentation reviewed/Comments:

15. Agency delivers Options Counseling Yes  No  N/A

in the setting and by the method desired by the individual.

(VI.C) (i.e., Client Records, etc.)

Documentation reviewed/Comments:

1. Agency has the capacity to meet with individuals in a Yes  No  N/A

confidential setting. (VI. C) (i.e., Client Records, Attachment D. #3, etc.)

Documentation reviewed/Comments:

1. Agency records show the 4 Options Counseling components Yes  No  N/A

were conducted (personal interview, facilitated decision

support process, action plan developed unless declined,

follow-up. (VI.C) (i.e., Client Records, etc.)

Documentation reviewed/Comments:

**COMMUNITY PARTNERSHIPS AND SERVICE COORDINATION**

18. Evidence exists that the Agency has cooperative working Yes  No  N/A

relationships with key service provider agencies. (VII.C.1.)

(i.e. letters of agreement, minutes of collaborative activities, joint committees, fliers,

community events, joint publications, client records)

Documentation reviewed/Comments:

19. Evidence exists that the Agency has coordinated services Yes  No  N/A

with other provider agencies on behalf of clients. (VII.C.2.)

(i.e. documentation in client record, phone calls to providers, copies of referral forms,

letters of agreement between agencies, etc.)

Documentation reviewed/Comments:

20. Evidence exists that the Agency has provided educational Yes  No  N/A

opportunities about the Options Counseling service to its

community partners.

(i.e. agenda, event flyer) (VII.C.3.)

Documentation reviewed/Comments:

**RESOURCE FILE DEVELOPMENT AND MAINTENANCE**

21. Agency maintains a resource file either on computer or Yes  No  N/A

manually. (VIII.B.)

Documentation reviewed/Comments:

22. Agency Resource File has been updated within the Yes  No  N/A

last 12 months. (VIII.B.)

Documentation reviewed/Comments:

23. The profile of each organization includes but is not Yes  No  N/A

limited to: a) legal name, common name or acronym,

b) address, c) telephone number, d) days/hours of

operation, e) service(s)/program(s) provided, f) area

served, g) branch offices. (VIII.B.1.) (All must be in place to answer yes)

Documentation reviewed/Comments:

24. Staff providing Information, Assistance and Options Yes  No  N/A

Counseling components have access to the

Resource File. (VIII. B.2.)

Documentation reviewed/Comments:

25. Resource File includes both public and private resources. Yes  No  N/A

(VIII.C.)

Documentation reviewed/Comments:

**SERVICE DOCUMENTATION**

26. Agency maintains a daily log or tracking system of Yes  No  N/A

contacts that includes the date, nature of the concern

and action taken. (IX.B.(a) & (b)) (See Attachment A)

Documentation reviewed/Comments:

27. For persons receiving Assistance, a record/file exists Yes  No  N/A

including a) client ID information, b) identification of

client needs; c) client plan; d) action taken and/or agency

referral made, and date; and e) follow-up contact and

date. (IX.B.(c)) (See Attachment A)

Documentation reviewed/Comments:

28. Agency has written procedures in place to assure Yes  No  N/A

confidentiality of client information. (IX. B.(d))

Documentation reviewed/Comments:

29. For persons receiving Options Counseling, agency Yes  No  N/A

maintains a system to document Options Counseling

contacts with each individual in paper or electronic format.

(IX.C.) (i.e., check client records)

Documentation reviewed/Comments:

30. For persons receiving Options Counseling, client files Yes  No  N/A

have required documentation. (IX.C.) (i.e., check client records)

Documentation reviewed/Comments:

31. For persons receiving Options Counseling, a copy of the Yes  No  N/A

completed Action Plan is provided, unless Action Plan

development is declined and noted in client record. (IX.C.)

(i.e. check client records)

Documentation reviewed/Comments:

**REPORTING & REIMBURSEMENT**

32. Agency reports monthly summary of client contacts to the Yes  No  N/A

Aging Resources Management System (ARMS).

(X.C.1.) (i.e. Compare ZGA 546 report to Agency records)

Documentation reviewed/Comments:

33. Agency registers clients receiving Options Counseling Yes  No  N/A

using the Client Registration Form – DAAS 101 (Long

Form). (X.C.)

Documentation reviewed/Comments:

**STAFF COMPETENCE AND SUPERVISION**

34. Agency orientation program for Information and Yes  No  N/A

Assistance includes at a minimum: purpose and function

of I & A; role of the agency; administrative structure

and policies for providing the service. (XII.B.1.)

(i.e. orientation schedule, agenda, manual, training notes, etc.)

Documentation reviewed/Comments:

35. Staff participated in an orientation program. (XII.B.1.) Yes  No  N/A

(i.e. Personnel files, records of training, Attachment B, etc.)

Documentation reviewed/Comments:

36. Agency has designated staff (either full-time, part-time, Yes  No  N/A

or volunteer) to provide the service. (XII.C.1 & C.1.a.)

(i.e. job descriptions, organizational charts, staff roster, business cards, etc.)

Documentation reviewed/Comments:

37. Agency has at least one certified Options Counselor. Yes  No  N/A

(XII.C.1.a.) (i.e., Check for current certificate)

Documentation reviewed/Comments:

38. Staff has office space, phone and record keeping/ Yes  No  N/A

reporting systems. (XII.C.1.b.)

(i.e. daily log, client records, computer system or forms, etc.)

Documentation reviewed/Comments:

39. Staff designated to provide Information, Assistance Yes  No  N/A

and Options Counseling received at least ten hours of

training each year. (XII.C.1.c.)

(i.e. Training records, personnel files, Attachment B, etc.)

Documentation reviewed/Comments:

40. Supervision was provided to all Information, Assistance Yes  No  N/A

and Options Counseling staff. (XII.C.1.d.)

(i.e. Personnel Files, etc.)

Documentation reviewed/Comments:

41. Supervisor assessed the competency of I & OC staff. Yes  No  N/A

(XII.C.1.d.) (i.e. Attachment C and Appendix 12 in I&OC Standards or Personnel Files.)

Documentation reviewed/Comments:

42. Options Counselor Supervisor completed the Options Yes  No  N/A

Counseling Concepts and Standards training. (XII.C.2.c)

(i.e., Certificate)

Documentation reviewed/Comments:

43. Options Counselor Supervisor has a copy of each Options Yes  No  N/A

Counselor’s certificate on file. (i.e. review file) (XII.C.2.c)

Documentation reviewed/Comments:

44. Options Counselor Supervisor annually reviews each Options Yes  No  N/A

Counselor’s client records using the Documentation Checklist.

(i.e. review completed documentation checklists) (XII.C.2.c)

Documentation reviewed/Comments:

**Please explain any questions with extenuating circumstances or N/A answers:**

**Notes:**

**Part II: Fiscal Verification – HCCBG Funding**

Agency:       Date:

Agency Staff Interviewed:

Signature of Reviewer:

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

1. Agency budget *(e.g., DAAS 732 A)* shows HCCBG Yes  No  N/A

monies (including match) are used to support the

I & OC service.

Documentation reviewed/Comments:

2. If positions are funded, Agency budget *(e.g., DAAS 732 A1)* Yes  No  N/A

shows I & OC designated position(s) and % of position(s)

funded for I & OC.

Documentation reviewed/Comments:

1. If the agency has collected consumer contributions, Yes  No  N/A

the ZGA 370 YTD matches the agency’s YTD

financial records.

Documentation reviewed/Comments:

1. At the time of the review, the % utilization rate is consistent Yes  No  N/A

with Block Grant budget projections for the fiscal year.

*(E.g., ZGA 370 YTD)*

Documentation reviewed/Comments:

If not, describe any extenuating circumstances and/or

planned adjustments.

5. Any HCCBG expenses (e*.g., payroll records, agency’s general*  Yes  No  N/A

*ledger, agency’s expense account)* for I & OC can be attached

to a function of the I & OC service. *(Select a month of reimbursement*

*in ARMS and document that reimbursement correlates with*

*actual expenses.*

Documentation reviewed/Comments

**Part III: Fiscal Verification – CARES Funding: Code 940**

Agency:       Date:

Agency Staff Interviewed:

Signature of Reviewer:

1. The provider attests that use of CARES Act funding was

for pandemic recovery and future emergency preparedness

of this service. Yes  No

For expenses related to CARES code 940, select a month of reimbursement in ARMS and the same month of expenses reported in the tracking spreadsheet.

2. Reimbursement correlates with actual expenses.  Yes  No  N/A

*(E.g. payments documented in the provider’s*

*general ledger or receipts and other proof of*

*purchases, etc.)*

Documentation reviewed/Comments

3. Selected month’s reimbursement matches the Yes  No  N/A

reporting of expenses in the tracking worksheet

for the same month.

Documentation reviewed/Comments

#### Attachment A:

#### Service Documentation

**CLIENT DATA OR RECORD REVIEW:** Used to support monitoring decisions for client eligibility,

service provision, and service documentation in Part 1: Program Verification.

1. **Information**

Request all data on log (or other tracking system) for a given month. Sample 1/10 of contacts (or a maximum of 36) for all staff persons handling Information contacts. The maximum per staff member should be 12 (of 36 total). Since agencies maintain their documentation in different ways, adjust the sampling technique to fit the system. Just make sure a mixture of staff entries from multiple days of the month are included.

This tool is designed to document sample review by staff member (or handwriting) so that patterns of errors can be analyzed easily. If data is missing from more than 20% of sampled contacts, then corrective action may be needed.

For each of the contacts sampled, check () if the data exists.

STAFF PERSON #1

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| Date |  |  |  |  |  |  |  |  |  |  |  |  |
| Nature of concern |  |  |  |  |  |  |  |  |  |  |  |  |
| Action taken |  |  |  |  |  |  |  |  |  |  |  |  |

STAFF PERSON #2

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| Date |  |  |  |  |  |  |  |  |  |  |  |  |
| Nature of concern |  |  |  |  |  |  |  |  |  |  |  |  |
| Action taken |  |  |  |  |  |  |  |  |  |  |  |  |

STAFF PERSON #3

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| Date |  |  |  |  |  |  |  |  |  |  |  |  |
| Nature of concern |  |  |  |  |  |  |  |  |  |  |  |  |
| Action taken |  |  |  |  |  |  |  |  |  |  |  |  |

**2. Assistance**

Assistance clients are those individuals who received planning, coordination, follow-up or advocacy activities.

Request all client records (or information maintained on an automated tracking system).

Use a random sample of 1/10 of the agency’s Assistance records (or a minimum of 10 client records); if there are less than 10 records, review all. Make sure that a least one record maintained by each staff member providing “Assistance” is included in the sample. Look for trends by staff person.

Items 1-8 should be found in each record. If absent in more than 20% of records, corrective action may be needed. Items 9 and 10 should be found in record, based on the assistance requested/indicated. If not included in more than 20% where requested/indicated, corrective action may be needed.

For each of the records sampled, check () if the data exists.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| CLIENT INITIALS  or LAST NAME |  |  |  |  |  |  |  |  |  |  |  |  |
| 1. Date of contact |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. Client ID (name,  address, phone) |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. Client/caregiver age  eligible (60+) |  |  |  |  |  |  |  |  |  |  |  |  |
| 4. Client needs  (problems) identified |  |  |  |  |  |  |  |  |  |  |  |  |
| 5. Info given to  address needs |  |  |  |  |  |  |  |  |  |  |  |  |
| 6. Referral(s) made  and date |  |  |  |  |  |  |  |  |  |  |  |  |
| 7. Client plan exists |  |  |  |  |  |  |  |  |  |  |  |  |
| 8. Follow-up contact  and date |  |  |  |  |  |  |  |  |  |  |  |  |
| 9. Coordination of  services |  |  |  |  |  |  |  |  |  |  |  |  |
| 10. Individual/  family advocacy |  |  |  |  |  |  |  |  |  |  |  |  |

**3. Options Counseling**

Options Counseling is a broader, more comprehensive approach to planning for long-term services and supports in which the individual takes the lead in carrying out their personalized action plan. Typically, the Options Counseling process takes 30-90 days. Request all client records (or information maintained on an automated tracking system). Use a random sample of 1/10 of the agency’s Options Counseling records (or a minimum of 10 client records); if there are less than 10 records, review all. Make sure that a least one record maintained by each staff member providing “Options Counseling” is included in the sample. Look for trends by staff person.

Items 1-11 should be found in each record. If absent in more than 20% of records, corrective action may be needed.

For each of the records sampled, check () if the data exists.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| CLIENT INITIALS  or LAST NAME |  |  |  |  |  |  |  |  |  |  |  |  |
| 1. Dates of  contact. |  |  |  |  |  |  |  |  |  |  |  |  |
| 2. Client ID (name,  address, phone) |  |  |  |  |  |  |  |  |  |  |  |  |
| 3. Client age (60+) |  |  |  |  |  |  |  |  |  |  |  |  |
| 4. Setting & Method of  contact noted. |  |  |  |  |  |  |  |  |  |  |  |  |
| 5. Each contact is  dated & amount of  time spent recorded. |  |  |  |  |  |  |  |  |  |  |  |  |
| 6. Summary of  contacts provide a  clear picture of  client’s situation &  addresses:  preferences &  needs, options  discussed, &  options selected. |  |  |  |  |  |  |  |  |  |  |  |  |
| 7. Counselor’s initials  or signature & date  are present for each  contact. |  |  |  |  |  |  |  |  |  |  |  |  |
| 8. Summary, or  electronic  attachment, or  a written copy of  action plan (unless  declined &  documented). |  |  |  |  |  |  |  |  |  |  |  |  |
| 9. Action plan includes  components outlined  in Standard IX. |  |  |  |  |  |  |  |  |  |  |  |  |
| 10. Follow-up outlines  client’s current  situation,  outcomes  since last contact,  whether Action  Plan steps  occurred, if not,  why, & any next  steps needed. |  |  |  |  |  |  |  |  |  |  |  |  |
| 11. Notation & date  when Options  Counseling ends. |  |  |  |  |  |  |  |  |  |  |  |  |

**Attachment B**

**Review of Progress: Information and Options Counseling Staff**

# 

Names of I & OC Staff

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
| 1. Date began I & A  responsibilities |  |  |  |  |
| 1. 2. Date began Options 2. Counseling responsibilities |  |  |  |  |
| 1. 3. Date orientation completed   (mark for first year only) |  |  |  |  |
| 1. Annual 10 hours of training completed (specify year reviewed and total number of training hours) |  |  |  |  |
| 5. Assessment of competence is  addressed by supervisor:  date occurrences (i.e. annual  review) |  |  |  |  |

Attachment C

Competencies for I & A Functions Only

Technical Assistance Tool for Supervisors **(*Not Required*)**

Name of Staff Member:

|  |  |  |  |
| --- | --- | --- | --- |
| COMPETENCIES | Yes (date) | No (date) | Working on (date) |
| 1. Is polite and patient when talking on phone or interviewing  client/family |  |  |  |
| 2. Asks appropriate questions to determine needs |  |  |  |
| 3. Able to use screening tools well |  |  |  |
| 4. Uses own skills (or agency tool) to ask probing questions to  identify other problems |  |  |  |
| 5. Conducts in-depth assessment with clients/families who need  more than Information |  |  |  |
| 6. Gives caller/client options for addressing problems; give options  for solutions when appropriate |  |  |  |
| 7. Makes appropriate linkages between needs and available  services or other resources |  |  |  |
| 8. Uses and updates Resource File correctly |  |  |  |
| 9. Researches resource information or possible resolutions to  questions requested by caller/client |  |  |  |
| 10. Recognizes situations or crises unable to handle and asks  for help |  |  |  |
| 11. Assists clients/families in advocating for own needs with other  systems or resources |  |  |  |
| 12. Recognizes situations that need personal or group advocacy  and takes appropriate action |  |  |  |
| 13. Maintains log/tracking system accurately and completely for  Information cases |  |  |  |
| 14. Develops appropriate plans with clients/families for complex  situations (Assistance cases) |  |  |  |
| 15. Maintains client record/tracking system for Assistance cases  with all required information |  |  |  |
| 1. Notes are succinct and to the point |  |  |  |
| 17. Maintains client confidentiality in record keeping and in working  with others |  |  |  |
| 1. Establishes follow-up method(s) with clients/families,   as appropriate |  |  |  |

#### Attachment D

#### Site Review

This document must be completed by the Provider for each site. It must be filed at the site for review by the AAA during the performance review process.

Name of Site:      Date:

Provider Review Completed By:      Title:

1. The site is accessible to the target population. Yes  No

2. The site is available for walk-in clients. Yes  No

3. A room for confidential interviews with clients is available. Yes  No

Write any comments.