QUALITY ASSURANCE AND FISCAL MONITORING TOOLS
Quality Assurance Compliance
Triennial Review of Senior Center
Administrative Requirements for Funding

This monitoring tool is used in conducting a triennial (every three years) review of the senior center’s Administrative Requirements for Funding for quality assurance compliance in accordance with the policies and requirements of the Administration on Community Living (federal), Tennessee Commission on Aging and Disability (state), and ___________________________ Area Agency on Aging and Disability (district).

The Administrative Requirements for Funding must be met by the Senior Center in order to receive any funding for programs and/or services to adults age 60 and over and adults with disabilities. If the Senior Center is unable to meet one or more of the Administrative Requirements for Funding during the monitoring visit, the Senior Center must submit a written Plan of Corrective Action (including a due date for completing the implementation) to the AAAD within thirty (30) days of the receipt of the monitor’s findings. The Plan of Corrective Action must be approved by the AAAD and implemented by the Senior Center.

The AAAD will schedule another monitoring visit and review the records to document compliance with the Plan of Corrective Action.

(1) If the Senior Center is in compliance, the Senior Center may receive funding to implement one or more of the following programs and/or services: non-registered, evidence-based, information and assistance, and/or seeking accreditation.

(2) If the Senior Center is not in compliance, the Senior Center will not receive funding and will be required to submit another Plan of Corrective Action and follow the same process as identified above.

Once the Administrative Requirements for Funding are met, the Senior Center is eligible to receive funding for programs and/or services. During the years in which a monitoring visit will not occur, the Senior Center must submit an Annual Report to the AAAD containing the information as identified in Chapter 6, Sections 6-3-.01 through 6-3-.07 of the TCAD Program and Policy Manual.
In preparation for the on-site monitoring visit to document that the Senior Center meets the Administrative Requirements for Funding, please have the following documentation ready for review by the monitors.

**Administrative Documentation:**

- ___ Bylaws
- ___ Current List of Member of Governing Entity
- ___ Charter of Incorporation
- ___ Organizational Chart
- ___ Proof of (at least) two activities for low-income minority participants
- ___ Emergency Preparedness Plan
- ___ Emergency Requirements
- ___ Safety and Accessibility Requirements

**POSTING REQUIREMENTS TO BE REVIEWED:**

- ___ Participant Grievance Procedures
- ___ Emergency Procedures
- ___ Evacuation Routes
- ___ Proof of Quarterly Fire Drill
- ___ Proof of Annual Fire/Building Inspection
- ___ Proof of Annual Fire Extinguisher Inspection
- ___ Steps to be Taken in each type of Emergency
- ___ Location of First Aid Kits, Fire Extinguishers, other supplies
- ___ Telephone numbers: fire department, police physicians, ambulance, hospital, emergency room, local emergency management
- ___ Title VI Civil Rights Notice
- ___ Equal Employment Opportunity Poster
- ___ TOSHA Safety and Health Poster
- ___ Tennessee Unemployment Insurance Poster
- ___ Fair Labor Standards Act Poster
- ___ Public Accountability Poster (800# TN Comptroller’s Office)
### Administrative Requirements for Funding (6-3)

1. The Senior Center must be chartered by the State of Tennessee and provide charter and tax exemption. (6-3-.01/Sections (1): Not-for-Profit Status)
   - (1) Copy of State of Tennessee Charter
   - (2) Copy of Tax Exemption Status

2. The Senior Center must have a governing entity and a written set of bylaws that defines the governing entity and establishes its organizational structure. (6-3-.01/Section (2): Not-for-Profit Status)
   - (1) List of Members of Governing Body including contact information and current employer and/or employment status
   - (2) A copy of the Bylaws that defines the governing entity and establishes its organizational structure.
   - (3) Copy of Organizational Chart

3. The Senior Center must have a Policy and Procedures Manual that addresses the personnel and fiscal policies that govern the operation and management of the Senior Center. (6-3-.02/Sections (1)-(10): Policy and Procedures)
   - (1) Policy and Procedures Manual

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**Legend:**
- C = Compliance
- NC = Non-Compliance
- NA = Not Applicable
- D = Documentation Provided:
  - Y = Yes
  - N = No
Administrative Requirements for Funding (6-3) (con’t.)

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(2) Administrative Personnel requirements
(3) Conflict of Interest
(4) Code of Conduct
(5) Nepotism
(6) Confidentiality
(7) Drug-Free Workplace Policy
(8) Harassment Policy
(9) Background Checks
(10) Training Requirements
(11) Fiscal Requirements

4. The Senior Center must meet existing state and local licensure, certification, and safety requirements for the provision of services. (6-3-.03: State and Local Licensure)

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(1) Documentation of required state licensure
(2) Documentation of required local licensure
(3) Documentation of Certification
(4) Documentation of

5. The Senior Center must meet all the required operational standards regarding the health and safety of Senior Center participants and staff. (6-3-.04/Sections (1)-(6): Emergency Requirements)

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(1) Written plan for all emergencies and documentation of inclusion of the fire department and other relevant agencies in the development of the written plan
(2) Written record of all incidents filed by the senior director and reported to the governing entity
(3) Written emergency procedures including contact information in case of emergency
(4) Posted written emergency procedures:
   (a) telephone numbers for fire department, police, physicians, ambulance, hospital emergency room, and local emergency management office
   (b) steps to be taken in type of emergency
   (c) location of first aid kits, fire extinguishers and other supplies
   (d) evacuation routes
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<td>(5) Written procedures for fire safety:</td>
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<td>(a) instructions for conducting fire drills</td>
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<td>(b) instructions for conducting inspection and maintenance of fire extinguishers and smoke detectors</td>
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<td>(c) written documentation of required inspections and training provided by the fire department</td>
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<td>(6) Documentation of scheduled and implemented periodic drills and training:</td>
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<td>(a) evacuation drills held quarterly</td>
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<td>(b) first aid training held annually including techniques for cardiopulmonary resuscitation and Heimlich maneuver including date of last training</td>
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<td>(c) emergency disaster drills held annually including date of last drill</td>
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<td>(d) written Emergency Preparedness Plan</td>
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<td>(e) equipped with adequate supplies and equipment for emergency first aid</td>
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<td>(f) documentation that personnel trained in first aid are present during senior center operating hours</td>
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<td>6. The Senior Center must meet all the required operational standards regarding the health and safety of Senior Center participants and staff. (6-3-.05/Sections (1)-(6): Safety Requirements)</td>
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<td>(1) Written documentation of compliance with all applicable federal, state, and local safety and fire codes</td>
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<td>(2) Compliance with one of the following:</td>
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<td>(a) 1971 Life Safety Code</td>
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<td>(b) Tennessee Standard Building Code</td>
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<td>(3) Compliance with provisions of the applicable building occupancy classification if existing fire and safety laws, ordinances or codes are inadequate</td>
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<td>(4) Documentation that there are adequate safety zones for arriving motor vehicles and traffic signals for pedestrian crossings</td>
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### Administrative Requirements for Funding (6-3) (con’t.)

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<td>(5)</td>
<td>Documentation that the exterior and interior of the facility is safe and secure with well-lighted areas, paved exterior walkways, handrails on all stairs and ramps</td>
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<td>(6)</td>
<td>Documentation that bathroom and kitchens have safety features appropriate to their special uses</td>
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#### 7. The Senior Center must meet Federal and State Posting Requirements. (6-3-.06Sections (1)-(16): Posting Requirements)

The Senior Center has posted the following:

1. Participant Grievance Procedures
2. Emergency Procedures
3. Evacuation Routes
4. Proof of Quarterly Fire Drill
5. Proof of Annual Fire/Building Inspection
6. Proof of Annual Fire Extinguisher Inspection
7. Title VI Civil Rights Notice
8. Equal Employment Opportunity Poster
9. TOSHA Safety and Health Poster
10. Tennessee Unemployment Insurance Poster
11. Fair Labor Standards Act Poster
12. Public Accountability Poster (800# TN Comptroller’s Office)
13. Telephone numbers of fire department, police, physicians, ambulance, hospital, emergency room and local emergency management office
14. Steps to be taken in each type of emergency
15. Location of First Aid Kits, Fire extinguishers and other supplies
16. Monthly Calendar of Events

#### 8. The Senior Center must meet civil rights and diversity requirements no noted in Title VI of Federal regulations.(6-3-.07/Sections (1)-(4) Civil Rights and Diversity Requirements)

1. Services and programs available to eligible persons regardless of race sex, national origin, religion or presence of disability
2. Civil rights and diversity training for staff and education for participants
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<tr>
<th>Administrative Requirements for Funding (6-3) (con’t.)</th>
<th>C</th>
<th>NC</th>
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<td>(3) Policies responsive to the American with Disabilities Act (ADA)</td>
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<td>(4) Programs and services address individual differences</td>
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<td>9. Records and Reports</td>
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<td>(a) Reviewed records for program data and complete client information</td>
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<td>(b) Reviewed client records to document use of TCAD Participant Registration Form</td>
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<td>(c) Reviewed program data submitted monthly</td>
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<td>(d) Reviewed Program data submitted quarterly</td>
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<td>(e) Emergency Preparedness Plan filed with AAAD</td>
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<td>10. Confidentiality</td>
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<td>(a) Meets the requirements for confidentiality as specified in the contract with the AAAD</td>
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<td>11. Annual Report submitted according to Chapter 6, Section 6-3-.08</td>
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Comments for Requirements for Funding Programs and/or Services
Quality Assurance Compliance
Triennial Review of Senior Center
Fiscal Review

This monitoring tool is used in conducting a triennial (every three years) review of the senior center’s Fiscal Requirements for Funding for quality assurance compliance in accordance with the policies and requirements of the Administration on Community Living (federal), Tennessee Commission on Aging and Disability (state), and _______________ Area Agency on Aging and Disability (district).

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The AAAD will schedule another monitoring visit and review the fiscal records to document compliance with the Plan of Corrective Action.

1) If the Senior Center is in compliance, the Senior Center may receive funding to implement one or more of the following programs and/or services: non-registered, evidence-based, information and assistance, and/or seeking accreditation.

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Once the Fiscal Requirements for Funding are met, the Senior Center is eligible to receive funding for programs and/or services. During the years in which a monitoring visit will not occur, the Senior Center must submit an Annual Report to the AAAD containing the information as identified in Chapter 6, Section 6-3-.08 of the TCAD Program and Policy Manual.
In preparation for the on-site monitoring visit to document that the Senior Center meets the **Fiscal Requirements for Funding**, please have the following documentation ready for review by the monitors.

**Fiscal Documentation:**

- Documentation of Required Cash/In-Kind Match
- Written Bookkeeping Procedures
- Written Procedures for Centralized Cash Control
- Written Purchasing Procedures
- Written Policies for Charges, Fees, and Contributions
- Risk Protection Program
- Copies of Annual Reports and Quarterly Financial Reports
## Quality Assurance Compliance Review

### Senior Centers

| SENIOR CENTER: ____________________________ | DATE: ____________________________ |
| SENIOR CENTER STAFF PRESENT: ______________ | AAAD STAFF PRESENT: ______________ |

<table>
<thead>
<tr>
<th>C = Compliance</th>
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<th>D = Documentation Provided:</th>
<th>Y = Yes</th>
<th>N = No</th>
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### Fiscal Requirements for Funding

1. The Senior Center must ensure fiscal integrity and management. (6-3-.08/Sections (1)-(12): Fiscal Integrity and Management)
   - (1) Matching Requirements
     - (a) Documentation in budget for federal funding match according to regulations
   - (2) Bookkeeping
     - (a) Documentation that bookkeeping records are accurate and complete
     - (b) Written procedures for centralized cash control including:
       - Recording case receipts and expenditures
       - Depositing cash
       - Separation of cash handling from record-keeping
       - Periodic checks of petty case and other cash funds (date of last checks)
   - (3) Purchasing
     - (a) Written purchasing procedures including:
       - Approval system for all purchases
       - Authorized names for contracting and purchasing
       - Competitive price quotes or bids according to different costs in Fiscal Chapter
     - (b) Documentation of a system of storage and inventory
## Fiscal Requirements for Funding (6-3) (con’t.)

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<td><strong>(4)</strong> Charges and Fees</td>
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<td>(a) Written procedures for charges and fees specify that programs and services funded by OAA and state funds are exempt</td>
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<td>(a) Written procedures for contributions developed by the governing entity and approved by the AAAD</td>
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<td><strong>(6)</strong> Risk Protection</td>
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<td>(a) Written policy for risk protection program (participant/site liability insurance coverage) that adheres to all TCAD policies</td>
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<td><strong>(7)</strong> Accountability and Reporting</td>
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<td>(a) Written fiscal reports disclosing full financial condition</td>
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<td>(b) Written annual report of activities including financial statements if senior center receives $500,000 or more in aggregate federal and state funding</td>
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<td>(c) Quarterly financial reports</td>
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<td>(d) Written reports related to income for special purposes from funding sources</td>
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<td>(e) Documentation of in-kind contributions in compliance with income source regulations</td>
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<td>(f) Documentation of maintaining separate funding for senior center’s participant or membership organizations:</td>
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<td>Records are accurate and complete</td>
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<td>Records are reviewed annually</td>
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<td><strong>(8)</strong> Records and Reports</td>
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<td>(a) Review of financial reports submitted quarterly and annually</td>
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<td><strong>(9)</strong> Retention of Records</td>
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<td>(a) All records retained for a period of three (3) years plus current year with the identified qualifications</td>
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<td>(b) Original documents in support of direct costs maintained in files or through electronic copies</td>
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<td><strong>(10)</strong> Annual Report submitted according to Chapter 6, Section 6-3-.08</td>
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Fiscal Requirements for Funding: Comments for Requirements for Funding Programs and/or Services