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## **ASO Monitoring Protocol**

*Effective: FY 2011*

*Revised: 6/13/2023*

### **Routine**

ASO fiscal monitoring is done on an ongoing basis. Financial documentation is submitted by providers and case managers and reviewed by ASO staff for all payments, as evidence that flexible funds were used as authorized by the program. Automated tracking systems in the ASO web application are utilized for monitoring submission of receipts for payments that are issued in advance of receiving back-up documentation.

Standard reports are utilized for monitoring ASO expenditures by the following stakeholders:

1. Families – ASO spending summaries are sent to families monthly so they can review and manage ASO services to verify their receipt of services that have been paid.
2. Case Management Programs – The ASO web application enables case managers and supervisors to generate detailed payment and utilization reports at any time. The **Utilization Review and Monitoring Service Delivery** procedure is available on the ASO web application under Policies and Procedures.
3. Funding Agencies – Through the ASO web application funder login, standard ASO reports are available to funding agencies that provide information about utilization, service trends, and spending. Funding agencies can also generate custom reports, including detailed data reports to be used for monitoring and site visits.

### **Annual**

For Children's Board ASO funding, programmatic and fiscal monitoring is conducted through site visits on an annual basis. This in-depth monitoring occurs at the case management program level and is performed by Children's Board ASO staff. Other funders may designate the Children's Board to provide this function or conduct it in partnership with the Children's Board.

#### Prior to the site visit:

1. A detailed **ASO Budget Item Report** is generated for the case management program that lists all budget items (authorizations) for families enrolled by that program.
2. Ten percent (10%) of the total families with ASO budgets, or a minimum of 10 families, are randomly selected for review. For larger programs, a maximum of 15 may be set.
3. The ASO sample is sent to the program supervisor at least one week before the site visit.

#### During the site visit:

1. The client record is reviewed, and the following questions are answered:
  - a. Does the service or support purchased by the ASO relate back to a goal in the Family Support Plan? (Source: Family Support Plan)
  - b. Is there evidence that the family received the service or support? (Source: receipts, provider progress notes/reports, HART fare card forms)
  - c. Is the program obtaining consent forms signed by the parent/guardian authorizing exchange of information with the Children's Board and Hillsborough County BOCC, if applicable?
  - d. If client information is exchanged to facilitate the service, is there a consent form signed by the parent/guardian to exchange information with the ASO provider?
2. During the client record review and the interview with the program supervisor, the reviewer also assesses adherence to the **ASO Funds - General Guidelines**, with special attention to the following:
  - a. How are case managers documenting that the ASO is the payer of last resort?
  - b. How are families given choices in the type of service offered to meet the need, as well as the provider? How is that family choice documented?
  - c. How often do case managers monitor service delivery and quality?
  - d. Are case managers consistently following the **Pre-Paid Card Policy**?

- e. For Childcare Support, did payments fall within the limit of 20 days of service per fiscal year? (Children's Board funds only)
  - f. Is the completed housing inspection in the file for First Month's Rent and Security Deposit (CBHC and County funds) and Rental Assistance payments (County funds)?
  - g. Is the program obtaining consent forms signed by the parent/guardian authorizing exchange of information with the Children's Board, Hillsborough County BOCC (Social Services funding only), and applicable ASO providers?
3. All findings are documented on the **ASO Monitoring Summary and Checklist**, which is provided to the program supervisor and the contract manager and included in the contract file.
- a. If there is not sufficient back-up documentation for the services and supports purchased with ASO funds, or the funds were not spent as authorized in the family support plan, the Children's Board will seek reimbursement of the ineligible expenditures from the case management agency.
  - b. If the site visit reveals significant concerns regarding a program's compliance with ASO policies and procedures, the provider may be placed on a Provider Improvement Plan and/or may lose access to ASO funds for that program.
4. Aggregate findings from all program site visits will be compiled by the Director of the ASO and summarized for reporting at the Children's Board Program Support Meeting, the ASO Supervisors Meeting, and Board Meetings. Findings will include any recommendations for additional training and/or procedure changes.

**For questions please call the ASO team at (813) 204-1710.**