

NEW YORK STATE OFFICE FOR THE AGING

2 Empire State Plaza, Albany, NY 12223-1251

Andrew M. Cuomo, Governor

Greg Olsen, Acting Director

An Equal Opportunity Employer

PROGRAM INSTRUCTION

Number 11-PI-16

Supersedes 10-PI-15

Expiration Date

DATE: September 1, 2011

TO: Area Agency on Aging Directors

SUBJECT: SFY 2012-2116 Four Year Plan and SFY 2012-13 Funding Applications
.....

PURPOSE:

To transmit the Four Year Plan for the period 4/1/12-3/31/16; the SFY 2012-13 funding applications (hereafter referred to as the Plan) and Guide for Completion (hereafter referred to as the Guide) for Titles III-B, III-C-1, III-C-2, III-D, III-E, Expanded In-home Services for the Elderly Program (EISEP), Community Services for the Elderly (CSE), Congregate Services Initiative (CSI), Supplemental Nutrition Assistance Program (SNAP), State Transportation Program, Caregiver Resource Centers (CRCs), Health Insurance Information, Counseling and Assistance Program (HIICAP), and Weatherization Referral and Packaging Program (WRAP), and to provide an overview of changes that have been made to the Plan documents.

ACTION REQUESTED:

Please complete and submit the Four Year Plan for 2012-16, including the Applications for Funding, Personnel Roster, Equipment Schedule, Rent Allocation Schedule, Subcontract Roster and all appropriate Attachments by Thursday, **December 1, 2011**.

BACKGROUND:

The Older Americans Act (OAA) and New York State regulations require that local area agencies on aging (AAAs) develop and submit an Area Plan to the New York State Office for the Aging (NYSOFA). Under the CSE, EISEP and the OAA, each AAA receives resources to fulfill its role for planning and coordination. The development of the Plan is an important component of this responsibility and requirement.

The Plan, submitted every four (4) years and updated annually, must describe how the AAA will provide for a comprehensive and coordinated system of services for older adults and how it will comply with other requirements of the OAA. The information submitted in this Plan must meet federal and state requirements.

The Plan development process is an important tool to use to help empower communities to improve local services for older adults. The Plan can be used to help identify community needs. The Plan can also help prioritize the use of federal, state and local resources, as well as identify strategies to improve coordination to best address these local needs.

In addition, the Plan development process, including the needs assessment process, and the associated Public Hearing process should be used by each AAA to help focus attention on current and new aging network systems development priorities. There are several important systems development initiatives that AAAs may wish to address during the upcoming plan development process:

- Through regulatory changes made during the last SFY related to the Ancillary Services component of the EISEP program, AAAs can utilize increased flexibility to develop care plans that can more effectively help program participants address their care needs that impact their ability to age in place. AAAs can spend up to 33 percent of their EISEP funds for Ancillary Services. These services can be used to creatively meet participant needs. Instead of relying primarily on personal care services to meet most needs, AAAs may be able to use Ancillary Services.
- Recent changes in the EISEP regulations allow for the use of Consumer Directed approaches in the EISEP program for the provision of in-home services. Through these changes, appropriate consumers in counties choosing to incorporate this flexibility are able to hire, train, schedule and supervise their own home care workers.
- As noted in the “2011 Report: Kinship Care in New York: Keeping Families Together”, the NYS Kinicare Coalition continues to identify the lack of resources available to assist kinship caregivers, such as grandparents and other older relatives who are caring for children. AAAs may utilize funding under Title III-E of the OAA to assist such caregivers, as well as older kinship caregivers who are caring for persons between the ages of 19 and 59 with disabilities. NYSOFA encourages each AAA to utilize a portion of this funding to support activities to assist these caregivers.

PUBLIC HEARINGS

A formal public hearing must be held at least thirty (30) days prior to the date that the Plan is submitted to NYSOFA. Notice of the public hearing must be published at least twenty-one (21) days before the hearing. For those public hearings, information must be available

that provides a summary of the AAA's fiscal and service projections, any significant changes in service delivery and/or changes to service locations, and any major modifications to the overall goals of the AAA.

The public hearing process enables AAAs to gather valuable input on needs and solutions from consumers, families, service providers and policy makers. NYSOFA encourages each AAA to provide ample opportunities for such public input during the required public hearing, as well as input from the AAA Advisory Council, and informal community input.

The public hearing process is an excellent way to bring wider public attention to the needs of a changing older adult population and the importance of the local office for the aging and aging network services. In addition, the public hearing process affords each area agency on aging the opportunity to involve community partners in identifying ways to better serve culturally diverse or underserved populations. This is also an opportunity to include these individuals in the planning process.

AREA AGENCY ADVISORY COUNCIL

The AAA Advisory Council is required to have an opportunity to review and comment before the Plan is transmitted to NYSOFA. This is essential to the planning process as the Advisory Councils enable AAAs to obtain input from a good cross section of interested community members.

OUTREACH

Standard Assurance 26.1 addresses the AAA's responsibilities pursuant to the Older Americans Act to conduct outreach efforts to inform older adults with greatest economic or social need (with particular attention to low-income minority individuals including Native Americans and older individuals residing in rural areas), older adults with limited English proficiency, and older adults who are frail or who have severe disabilities or Alzheimer's Disease or related disorders of the services that are available to them in their county and to evaluate annually the effectiveness of the AAA's, and its contractors', outreach efforts and activities. Successful outreach efforts are linked to successful targeting and meeting the needs of older adults who fall within the target groups identified above.

OVERVIEW OF PLAN CHANGES:

The content of the 2012-16 Four Year Plan is similar to that of the 2008-12 Four Year Plan and the 2011-12 AIP. However, there are some differences. The following is a summary of key areas in which there have been changes:

Changes in the Standard Definitions are reflected in the Plan.

Demographic Data/Targeting: (Pages 4 & 5) The definition of targeted groups has been updated here and throughout the documents. Question 5 regarding how an AAA plans to provide linguistically accessible services to persons with limited English proficiency has been added.

Needs Assessment: (Pages 6-8) Technical Assistance Memorandum 11-TAM-01 has been issued to assist with this process. Question 2 has been expanded to ask about specific data collection methods selected as strategies for reaching targeted groups.

Contributions and Cost Sharing: (Page 12) This section has been expanded to include a question on cost sharing under EISEP and CSE for EISEP-like services for which cost sharing applies.

Legal Services: Case Priorities (Page14) The menu list of case priorities for legal assistance on this page has been substantially revised to include areas of the law with which older adults least able to obtain legal assistance elsewhere may need advice and representation in order to maintain their independence, financial security, dignity and choice. Two of the category titles have been changed (i.e., “Income/Nutrition/Benefits” is now “Income Maintenance and Benefits” and “Guardianship/Abuse/Neglect” is now “Individual Rights”. In addition, some case priorities have been moved to a different category. There are also some new additions to the menu of case priorities, including unemployment, veteran’s benefits, utility shut offs, eviction, employment (e.g., duties of the older adult when they employ a person to assist with activities of daily living) and permanency planning on behalf of adult children with disabilities.

Public Hearing Section: (Pages 15-17) Program Instruction 11-PI-06 has been issued to assist with this process. An additional question on efforts used to seek input from targeted groups has been added.

Nutrition Services: (Pages 18-22) Three narrative questions have been added to the Plan to provide NYSOFA with a comprehensive overview of how the AAA plans to address the nutritional and preventive health needs of older adults in the service area. Question 1a asks AAAs to describe plans for:

- meeting nutrition service requirements (meals, nutrition education, nutrition counseling, screening and assessments as appropriate),
- strengthening or expanding service,
- offering greater participant choice or control,
- addressing cultural considerations of participants and,
- responding to the needs of targeted populations including Native Americans.

Question 2b asks AAAs to describe how they will provide the health promotion services identified in question 2a, including local partners, special grants, etc. Question 3 calls for AAAs to describe how they integrate chronic disease management and physical activity and fitness with nutrition activities to help older adults maintain healthy lifestyles.

Title III-E: New York Elder Caregiver Support Program (Pages 23 & 24) The first sub-question under item 2 “Optional Components of the Title III-E Caregiver Support Program” was eliminated. This question asked about “services to caregivers of persons with disabilities who are 60 and over.” This change was made because such individuals are included in item 1.

Changes were also made to the *Guide* to remind AAAs that they can serve caregivers caring for a person of any age with Alzheimer's or a related disorder, and older caregivers caring for an adult between the ages of 19-59 with a disability.

Service Delivery Resource Allocation Plan: (Page 34) The "Number of Individuals to be Served" has been added.

Standard Assurances: (Page 50) There have been numerous changes to the order of the standard assurances and some changes to the content of the standard assurances. A major reason for these changes was NYSOFA's interest in streamlining the document through centralizing all of the provisions pertaining to contracting, terminations and administrative responsibilities (e.g., vouchering) that apply to all of the programs covered under the plan. For example, the assurances that pertain to the relationship between the AAA and its contractors have been centralized into Standard Assurance 10. In the previous versions contract related assurances were included in the program specific assurances resulting in duplication. Standard Assurance 10.2 and 10.3 provide provisions to be included in the AAA subcontracts to facilitate compliance with the requirements of the Older Americans Act. Standard Assurance 23 "Terminations" has been substantially revised; however, the revisions are designed to clarify the rights and responsibilities of the AAA and NYSOFA. In addition, a standard assurance has been added for the Legal Assistance Program (see Standard Assurance 27B) and one has been added for the Senior Medicare Patrol Program (see Standard Assurance 48).

TENTATIVE ALLOCATIONS:

Tentative allocation schedules for use in completing the 2012-13 Applications for Funding will be transmitted shortly under separate cover.

CONDITIONAL GRANT AWARDS:

AAAs may request conditional Notifications of Grant Award (NGAs) under Titles III-B, III-C-1, III-C-2 and III-E. Issuance of conditional NGAs allows the AAA to request advance payments for FFY 2012 under these programs, prior to receiving their approved Plan.

NYSOFA is prepared to issue conditional NGAs to AAAs under the following circumstances:

1. The Plan and Funding Applications must be submitted complete and in its' entirety. Conditional NGAs will not be available for Title III-D due to the small amounts of money involved.
2. Conditional NGAs will be available only to those AAAs that participate in the advance vouchering payment system, and NYSOFA will only authorize the payment of advances against the federal award (up to three monthly advances of 8 percent each - see Program Instruction 96-PI-14, 4/8/96 for advance system details). When requesting any advance from NYSOFA, please note the federal requirement that a grantee or subgrantee keep only enough cash on hand to meet its immediate

needs. Also note that AAAs that have requested an advance in the past, but did not fully expend that advance during the advance period, may have their advance requests denied or reduced depending on the specific situation. All Title III advance requests must be received within thirty (30) days of the start of the program period. Advance requests received later than thirty (30) days after the start of the program period may not be granted.

3. The necessary safeguards will be incorporated into the remarks of the conditional NGAs. Conditional NGAs will be issued after the Plan and applications for funding have received initial review and appear approvable, with relatively minor adjustment(s), and NYSOFA receives its Title III allotment from AoA for FFY 2012. Requests for conditional NGAs must be received by NYSOFA no later than the beginning date of the program period. Requests for conditional NGAs received after this date will not be granted.

REVIEW OF COSTS PER UNIT OF SERVICE:

NYSOFA staff will be reviewing Plan data to determine the reasonableness of the projected average cost per unit (CPU) for each of seven major services (transportation, personal care levels I and II, congregate meals, home delivered meals, case management and adult day services).

During the initial review of the Plan, NYSOFA fiscal and program staff will examine the proposed average CPUs contained in the SFY 2012-2013 submission against the data from the current SFY 2011-12 Plan. Staff will also compare the SFY 2012-2013 numbers to the SFY 2010-2011 CAARS and client data. Any CPUs that vary by 10 percent or more in the respective areas will be noted and the AAA will be asked to explain the variance.

The CPU calculation and comparisons will be available to AAAs on the web-based version of the 2012-13 Plan. AAAs will be able to enter their explanation for variances outside the acceptable range online and it will be submitted with the Plan.

Consistent with last year's process, the approval of the Plan will not be withheld if one or more CPU changes are identified and not adequately explained during the Plan review process. However, this issue will be noted in the Plan approval letter and additional follow-up and review by NYSOFA will occur following the submission of 2012 CAARS/Client Data. If the CAARS/Client Data for the service(s) in question remains outside the reasonable range and is not adequately explained, appropriate NYSOFA personnel will schedule a teleconference and/or visit to the AAA to discuss the CPUs and provide technical assistance.

AAA personnel are encouraged to consult other resources when preparing the Plan documents and related funding applications. For example, Technical Assistance Memorandum 97-TAM-06 (12/16/97) provides guidance about how to define, collect and interpret cost data to determine accurate congregate and home delivered meal costs. The TAM includes instructions and six worksheets an AAA can use to help calculate various

cost centers. Consult the approved Medicaid rates for personal care services as EISEP and CSE funded EISEP-like services projections are developed. AAA personnel are also encouraged to refer to Program Instruction 11-PI-03 (April 5, 2011) Standard Definitions for Service and Units of Service.

WEB-BASED APPLICATIONS:

AAAs are required to complete the web-based forms through the reporting web link (<http://www.reporting.aging.ny.gov>) on AAARIN and submit them electronically to NYSOFA. These interactive forms will be available on AAARIN for AAAs to download on or about October 1, 2011. AAAs may download instructions and forms from AAARIN.

SUBMISSION REQUIREMENTS:

On or before **December 1, 2011**, submit the completed Four Year Plan for 2012-16 including all funding applications and rosters via the web-based forms. AAAs are also required to submit, by US Mail, an original of the signed Plan Review and Approval page (Page 1) and signed certification page of the Standard Assurances (Page 50). The Plan must bear an original signature in blue ink. Note: Only the certification page of the Standard Assurances must be submitted.

PROGRAMS AFFECTED:

- | | | | | |
|---|---|---|--|---|
| <input checked="" type="checkbox"/> Title III-B | <input checked="" type="checkbox"/> Title III-C-1 | <input checked="" type="checkbox"/> Title III-C-2 | | |
| <input checked="" type="checkbox"/> Title III-D | <input checked="" type="checkbox"/> Title III-E | <input checked="" type="checkbox"/> CSE | <input checked="" type="checkbox"/> SNAP | <input checked="" type="checkbox"/> WRAP |
| <input checked="" type="checkbox"/> EISEP | <input checked="" type="checkbox"/> NSIP | <input checked="" type="checkbox"/> HIICAP | <input checked="" type="checkbox"/> Transportation | <input checked="" type="checkbox"/> Other: CS & CRC |

CONTACT PERSON: Aging Services Representative **TELEPHONE:** (518) 474-5476

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

FOUR YEAR PLAN
APRIL 1, 2012-MARCH 31, 2016
ANNUAL IMPLEMENTATION PLAN
APRIL 1, 2012 MARCH 31, 2013
FOR OLDER AMERICANS ACT
NEW YORK STATE EXPANDED IN-HOME SERVICES FOR THE ELDERLY PROGRAM,
COMMUNITY SERVICES FOR THE ELDERLY PROGRAM,
CONGREGATE SERVICES INITIATIVE, STATE TRANSPORTATION PROGRAM,
SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM,
CAREGIVER RESOURCE CENTER,
HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM, AND
WEATHERIZATION REFERRAL AND PACKAGING PROGRAM

This document, including applications and attachments, fulfills the "Area Plan" requirement under the Older Americans Act, as amended, and the "County Plan" requirement under Section 214 of the New York State Elder Law.

Area Agency Information

Area Agency: _____ County Code: _____
 Director's Name: _____ Title: _____
 Address: _____
 City: _____, New York Zip Code _____
 Phone Area Code: _____ Number: _____

Name and Title of Chief Executive Officer

Name: _____ Title: _____
 Address: _____
 City: _____, New York Zip Code _____
 Phone Area Code: _____ Number: _____

Official Authorized to Receive Payments

Name: _____ Title: _____
 Address: _____
 City: _____, New York Zip Code _____
 Phone Area Code: _____ Number: _____

Send To:
New York State Office for the Aging
Division of Finance and Administration
2 Empire State Plaza, 3rdFloor
Albany, NY 12223-1251

AAA: _____
 Original Date Submitted: _____
 Date Revised: _____
 Date Last Saved: _____

**2012-16
 FOUR YEAR PLAN
 2012-13 ANNUAL IMPLEMENTATION PLAN
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PLAN REVIEW AND APPROVAL

Must be signed by the area agency director (and the sponsoring agency executive if the area agency is not part of county/City of New York/Native American Organization).

I hereby submit for approval the Four year Plan and the Annual Implementation Plan (hereafter referred to as the Plan) for the Older Americans Act and New York State Programs for the Elderly and the applications for funding indicated below:

Program	Program Period	Program Applied For
Title III-B	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-C	January 1, 2012 to December 31, 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-D	January 1, 2012 to December 31, 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	January 1, 2012 to December 31, 2012	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
SNAP	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No
WRAP	April 1, 2012 to March 31, 2013	<input type="checkbox"/> Yes <input type="checkbox"/> No

I agree to comply with all applicable federal, state and local laws and regulations, program standards, and standard assurances which affect any funds, (including matching funds and program income) used for programs described in this Plan. Furthermore, I agree to comply with all attachments submitted as part of this Plan and indicated on Page 49.

I certify that the information contained on the Priority Services Schedule (Attachment B) is true and correct.

I also certify that this organization is not currently suspended or debarred as defined in 45 CFR part 76.

Signature of Director of Area Agency on Aging _____
Date

Signature of Sponsoring Agency Executive _____
(if other than county/City of New York/Native American Organization) Date

LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL

Must be signed ONLY if the area agency intends to apply for Community Services for the Elderly Program or Expanded In-home Services for the Elderly Program state aid pursuant to the New York State Elder Law.

I, _____ being the Chief Executive Officer/Chairman of the Governing Board of this _____ (county/City of New York/Native American Organization), do hereby certify that:

1. The _____, an area agency on aging established pursuant to the Older Americans Act of 1965, as amended, has been duly designated by me pursuant to New York State Elder Law.

- Community Services for the Elderly Program
- Expanded In-home Services for the Elderly Program.

2. This Plan for the Older Americans Act and New York State Community Services for the Elderly and/or Expanded In-home Services for the Elderly Programs, pursuant to New York State Elder Law, is hereby approved for submission to the New York State Office for the Aging.

Signature (Use blue ink. "per" signature not acceptable) _____
Date

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

GOALS

List the activity(ies) the AAA plans to undertake for each of the five goals below and any additional goals added by the AAA.

Goal 1

Empower older adults, their families, caregivers, and other consumers to make informed decisions about, and to be able to easily access, existing health and long-term care options including community-based services.

Activity(ies):

Rationale:

Goal 2

Enable older adults, especially those who are in greatest social and economic need to remain in their own homes with high quality of life for as long as possible through the provision of home and community-based services, including supports for caregivers. People in greatest social and economic need include:

- low income;
- low income minorities (*includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders*);
- frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.);
- rural residents;
- limited English proficiency;
- limited literacy/no literacy;
- Native Americans;
- institutionalized or at risk of institutionalization; and
- homebound; or
- LGBT (lesbian, gay, bisexual, transgender).

Activity(ies):

Rationale:

Goal 3

Empower older adults to stay active and healthy through Older Americans Act services and the new prevention benefits under Medicare.

Activity(ies):

Rationale:

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Goal 4

Ensure the rights of older adults and prevent their abuse, neglect and exploitation.

Activity(ies):

Rationale:

Goal 5

Maintain effective and responsive management.

Activity(ies):

Rationale:

In addition to the goal(s) listed, please add any other goal(s) including activities the AAA will undertake in this Plan:

Goal 6

Activity(ies):

Rationale:

Goal 7

Activity(ies):

Rationale:

Goal 8

Activity(ies):

Rationale:

Goal 9

Activity(ies):

Rationale:

AAA: _____
Original Date Submitted: _____
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Demographic Data and Targeting Objectives

	A. 2000 Census*	B. Total Number: Registered Clients	C. Number Registered Clients to be Served**
1. Total number of persons aged 60+ in the PSA:			
2. Total number of persons projected to be served under this plan during the period 4/1/2012 - 3/31/2013:			
3. ** Please provide a breakdown for the total on line 2 as follows:			
a) Low Income (below 150% of poverty)			
b) Low Income Minority (below 150% of poverty)			
c) Frail/Disabled			
d) Aged 75-84			
e) Aged 85+			
f) Live Alone			
g) Rural***			
h) Limited English Proficiency***			
Clients by Ethnicity			
i) Hispanic			
Clients by Race			
j) Native American/Alaskan Native			
k) Asian			
l) Black			
m) White Hispanic			
n) White not Hispanic			
o) Native Hawaiian/Pacific Islander			
p) Other Race			
q) 2 or More Races			

*** The pre-printed census figures (Column A) and Client data (Column B) are only provided on the web-based version of this form. Registered clients are those receiving a Cluster 1 or Cluster 2 service. (2012-13 is based on 2000 Census. When additional data become available, in subsequent years, the Demographic Page will be updated with 2010 Census data.)**

****Targeted groups include those unserved and underserved older adults in greatest social or economic need, particularly those who are low income, low income minorities, rural residents, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.).**

***** Please see *Guide for Completion (Guide)* for definitions of *Rural* and *Limited English Proficiency*.**

AAA: _____
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4. a. Specify the planned targeting activities for this four year period at the system, program and client levels. Indicate how these activities and changes are designed to increase participation of unserved and underserved older adults in greatest social or economic need, particularly those older adults who are:

- low income;
- low income minorities (*includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders*);
- frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.)
- rural residents;
- limited English proficiency;
- Native Americans; or
- institutionalized/at risk of institutionalization.

b. If the AAA did not achieve targeting objectives set forth in its 2011-12 Plan, this item should describe how the AAA will modify its targeting activities in 2012-13 to improve its efforts to reach older adults most in need as described in 4.a., above. (In determining whether past targeting objectives were achieved, see QUARTERLY STATUS REPORT - Demographic Information (36A). For information on NYSOFA's targeting policies, refer to Program Instruction 92-PI-30.

5. Please specify how the AAA plans to provide outreach and language accessibility to persons with limited English proficiency who may seek services (e.g., contracted interpreter/translator, community organization links for translation, interpretation services, language interpretation phone line, etc.) (*See Guide* for further information.)

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

NEEDS ASSESSMENT

In completing this section, review 11-TAM-01, Service Needs Assessment, Four Year Plan on Aging

DATA COLLECTION and ANALYSIS

1. Identify the methods used to collect data for identifying and prioritizing needs
(Check all that apply)

- Random sample survey
- Selected sample survey
- Community forums
- Public hearings
- Meetings with older adults
- Focus groups
- Census/Demographic data
- CAARS and/or NAPIS data
- NY Connects data
- AAA and subcontractor information, such as program surveys; information and assistance records; waiting lists; and case files
- AAA reports to county legislators or boards of directors
- Key informants
- Other (Specify) _____

2. Briefly describe the reason(s) why the data collection method(s) checked in Item #1 was/were selected. Be sure to indicate the particular method(s) selected as a strategy for reaching unserved and underserved older adults in greatest social or economic need, particularly those older adults who are:

- low income;
- low income minorities (*includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders*);
- frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.)
- rural residents;
- limited English proficiency;
- Native Americans;
- institutionalized; or at risk of institutionalization.

Please include information describing how assessment efforts and materials were made accessible to persons with limited English proficiency and/or disabilities.

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3. Briefly summarize what the AAAs analysis of the data collected showed.

AREA AGENCY SERVICE PRIORITIES

4. List those services that were identified as being most important to or needed by older adults to enable them to remain at home or return to their homes and participate in family and community life.

Service(s):

UNMET SERVICE NEEDS/GAPS

5. For those existing AAA services where an unmet need/service gap has been identified, that is, where the demand for service(s) exceeds the ability of the AAA to provide the service(s), complete the following table.

Unmet Service Need/Gap (List as Appropriate)	Reasonable estimate of the number of people AAA is unable to serve	*Method(s) used to estimate number of people AAA is unable to serve	**Reason(s) for inability to serve	Other (use this area to explain other)
1.				
2.				
3.				
4.				
5.				

Use the following codes to complete the section on Methods and Reasons.

*Methods: (a) surveys, (b) waiting lists, (c) information and assistance records, (d) case files, (e) CAARS/NAPIS data, (f) census data, (g) other, identify

**Reasons: (a) insufficient funds, (b) lack of service providers, (c) staff shortages, (d) other, identify.

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MAJOR ISSUES/THEMES

- 6. List any major local issues or themes that were identified through the needs assessment process. (Examples might include expanding coordination among aging service providers in PSA, loss of medical facilities, decrease in service providers, deteriorating housing stock, migration of older adults and quality of life issues such as: safety, loneliness, home modifications, health and wellness, need for assistive devices, multi-lingual materials and translations.)

ADVISORY COUNCIL

- 7. Describe the AAA Advisory Council’s role in the needs assessment process.

AAA: _____
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MULTIPURPOSE SENIOR CENTER/DESIGNATED FOCAL POINTS ROSTER

To facilitate access to services and to encourage maximum collocation and coordination of services for older adults, each AAA shall list all Multipurpose Senior Centers and if applicable, designated Focal Points for comprehensive service delivery in each community.

Multi-Purpose Senior Center Facility: means a community facility for the organization and provision of a broad spectrum of services, which shall include provision of health (including mental health), social, nutritional, and educational services and the provision of facilities for recreational activities for older adults.

Focal Point: A place or mobile unit in a community or neighborhood designated by the AAA for the collocation and/or coordination of services. Key characteristics include:

- recognized and visible within the community as a point of contact for information about or access to a variety of supportive services for older adults;
- works and coordinates with other service providers, including those who may not have an office/site within the community, to make the services of these other organizations regularly accessible to older adults; and
- older adults are linked with a wide variety of supportive services available within the community.

List below the names and addresses of all designated Focal Points, Senior Centers including NY Connects/ Aging and Disability Resource Centers (ADRC).

Name /Address of Senior Center/Focal Point	Site is a Senior Center		Site is a Focal Point		Site receives Title III funds		Estimated Funds Provided	If site is a AAA subcontractor enter their Code
	YES	NO	YES	NO	YES	NO		

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

SYSTEM DEVELOPMENT AND COORDINATION

1. Describe how the AAA plans to address any barriers to service, gaps in service availability or unmet needs in its Planning and Service Area, especially for those unserved and underserved older adults in greatest social or economic need, particularly those who are:
 - low income;
 - low income minorities (*includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders*);
 - frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.)
 - rural residents;
 - limited English proficiency;
 - Native Americans;
 - institutionalized/ at risk of institutionalization;
 - homebound; or
 - LGBT.

2. Describe the activities the AAA plans to undertake to coordinate services for older adults including, but not limited to: access; legal; home care; respite; and case management.

3. Describe how the AAA plans to change or modify its internal procedures to better assist older adults in obtaining services and benefits.

4. Describe how the AAA plans to coordinate with the Local Department of Social Services (LDSS) and other community partners to provide information, assistance and public education regarding long term care options. Please include information describing how information and materials will be made accessible to persons with limited English proficiency and/or disabilities.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

SERVICE/PROGRAM EVALUATION

Identify how both directly provided and subcontracted services and programs included in this plan will be evaluated to determine their quality and effectiveness. (Check all that apply)

- Client satisfaction surveys
- Client files/records
- AAA staff reports
- Cost/benefit analysis
- Monitoring activities (directly provided and subcontracted)
- Focus groups
- CAARS/NAPIS reports
- Outcome measures
- Provider/Contractor Reporting
- Other(s): Identify _____

CONTRIBUTIONS and COST SHARING

1. Describe how the AAA plans to provide the older adults served through Title III-B, Title IIIC-1, Title IIIC-2, Title III-D, Title III-E, SNAP, CSE and CSI resources and non-cost sharing clients served by EISEP with a voluntary and confidential opportunity to contribute to the cost of services. (Refer to 03-PI-05, NYSOFA Policy on Program Income, dated 4/22/03)

(If any suggested voluntary contribution schedule(s) has/have been developed, check here [] and forward the schedule(s) to NYSOFA(ASR) by US Mail or Email.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

2. Describe how the AAA will monitor the provider's use of voluntary contributions to expand the service for which the contributions were given and to supplement (not supplant) funds received under this Act.

3. Describe the process(es) for billing and collecting client cost sharing under EISEP and, if applicable, under CSE for EISEP-like services.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

Within the broad categories listed below, check the AAA’s case priority issues for legal services. If a priority issue was identified that is not listed below, please specify the issue in the space provided. (Refer to 94-PI-52: “ Statewide Standards for the Delivery of Legal Assistance to Older New Yorkers” pages 5 through 7)

The AAA is required to consult with its legal services provider(s) in identifying priority issues. Please check here to indicate that the AAA has done so [].

LEGAL SERVICES – CASE PRIORITIES

INCOME MAINTENANCE AND BENEFITS	HEALTH/LONG TERM CARE
Social Security	Medicare
SSI	Medicaid
Food Stamps	Nursing Home Issues
Unemployment	Adult Home Issues
Railroad Retirement	Insurance Issues
Workers Compensation	Home Health Care
Veterans Benefits	QMB and SLMBY Issues
Pensions	Other (Describe)
HEAP	
Other (Describe)	
	INDIVIDUAL RIGHTS
	Defense of Guardianship
HOUSING/UTILITIES	Preservation of Personal Autonomy (e.g. POA, Health Care Proxy etc.)
Tenant Issues & Evictions	Representative Payee
Section 8 Housing	Abuse Cases
Foreclosure	Financial Exploitation
Home Repair Fraud	Other (Describe)
Utility Shut Offs	
Energy Issues	MISCELLANEOUS CATEGORIES
Home Ownership/Real Property	Discrimination
Home Equity Conversion/Reverse Mortgages	Permanency Planning on behalf of adult children with disabilities
Other (Describe)	Grandparents/Relatives’ Rights
	Divorce/Annulment/Separation (in order to obtain benefits)
CONSUMER	Employment Issues
Consumer Debt/Credit Card Issues/Collection	Taxes
Contracts/ Warranties	Other (Describe)
Non-Health Insurance Issues	
Bankruptcy	
Other (Describe)	

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

PUBLIC HEARINGS/AREA AGENCY ON AGING ADVISORY COUNCIL

1a. Provide the following information on Public Hearing(s) held for the SFY 2012-13 planning period.

Location	Date	Number Attending
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

b. Was the notice of at least one Public Hearing published in a local newspaper of general circulation at least twenty one (21) days before that hearing? [9 NYCRR 6653.2]
 YES _____ *NO _____

Date of notice publication: _____

c. Was the proposed Plan or abstract containing program goals, objectives, action steps, and proposed budgets with categorical breakdowns made available to the public within a reasonable time prior to the hearing?
 YES _____ *NO _____

d. Was a minimum of one Public Hearing held at least 30 days prior to the submission of this plan?
 YES _____ *NO _____

e. **NEW YORK CITY ONLY:** Was at least one Public Hearing as described herein held in each borough?
 YES _____ *NO _____

If *NO to any of the above please explain:

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

2. Briefly describe the efforts used in seeking input from those unserved and underserved older adults individuals in greatest social or economic need, particularly those who are:

- low income;
- low income minorities (*includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders*);
- frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.)
- rural residents;
- limited English proficiency;
- Native Americans;
- institutionalized/at risk of institutionalization;
- homebound; or
- LGBT.

3. How were interested parties in the PSA notified of the public hearing(s) and provided the opportunity to testify?

4. Briefly summarize major issues discussed or raised at the public hearings.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

5. List the major changes in the Plan resulting from input by attendees at the hearings. Or, if appropriate, put a checkmark below.

_____ Not applicable, no major change(s)

Major changes in the Plan:

6. Provide the date the Plan was presented to the Area Agency Advisory Council as required for its review, before it was transmitted to NYSOFA. [9 NYCRR 6653.2 (f)]

Date: _____

Summarize the comments of the Advisory Council:

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

AREA AGENCY PROGRAMS AND SERVICES INFORMATION

A. NUTRITION SERVICES (Refer to the *Guide for Completion* and 92-TAM-3, 2/26/92 for additional information.)

1. Nutrition services funded under Title III-C, III-E, SNAP, CSE, EISEP, other:

- a. Summarize the AAA's plan for meeting nutrition services requirements including meals, counseling and education designed to improve nutritional status, promote good health and to prevent illness. Indicate the anticipated effect any proposed operational changes (such as site closure) will have on service. Please refer to Section A of the *Guide* for a list of items that should be covered in the summary.

Summary of Plans:

b. Are any operational changes in nutrition sites or food preparation sites (kitchens, caterers) planned or projected for SFY 2012-13?

*YES [] NO []

If *YES, please list the site(s) that are proposed to be changed, the type of change and when the change is projected to take place. List one site per line.

NAME OF SITE/LOCATION	TYPE OF CHANGE <i>Opened, Closed, Altered</i>	DATE OF CHANGE 1 st quarter SFY 2 nd quarter SFY 3 rd quarter SFY 4 th quarter SFY

c. Total number of Registered Dietitian (RD) service hours per week planned or projected for SFY 2012-13 _____

d. Of the above total: _____ hours of RD services are provided by RD who is on staff or is a consultant to the AAA. (Do not include hours of the RD who is employed by a nutrition or meal program provider.)

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

c. If your AAA operates or plans to implement one of the recognized evidence-based nutrition or health promotion programs, please indicate which ones(s) you operate (or plan to implement). Also list local partners involved in operating or supporting your program.

LOCAL PROGRAM NAME	PROGRAM 1	PROGRAM 2
Evidence-based model used		
Date begun or planned to begin		
Partners		
Target population		
Number of participants		
LOCAL PROGRAM NAME	PROGRAM 3	PROGRAM 4
Evidence-based model used		
Date begun or planned to begin		
Partners		
Target population		
Number of participants		

d. The following list of evidence-based health promotion programs has research-based health-related outcomes. When considering the utilization of your Title III-D funding, NYSOFA encourages AAAs to adopt evidence-based health promotion programs. Some are easier to implement and maintain than others, and some require professional level staff to deliver while others are largely delivered by trained volunteers.

NYSOFA is working with several of these programs to build capacity for greater delivery of evidence-based programs to older adults statewide. The following table contains a variety of evidence-based health promotion programs for your consideration. They are grouped by health concern addressed. NYSOFA encourages you to consider each program in light of the experience that your county has had with EBDPs (evidence-based disease prevention programs), budgetary constraints and the needs of your community's older adults.

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

Evidence-based Health Promotion Programs

General Health and Wellness	Physical Activity	Falls	Nutrition	Mental Health/Addictions	Medication Management
**Enhance Wellness http://www.projectenhance.org/	*Active Living Every Day http://www.humankinetics.com/ppALED	*A Matter of Balance http://www.mainehealth.org/mh_body.cfm?id=432	Eat Better, Move More http://nutritionandaging.fiu.edu/You_Can/07.2YouCanGuidebook.pdf	**Healthy Ideas http://www.healthyingprograms.org/resource/ReplicationReport_HealthyIDEAS.pdf	**Medication Management Improvement System http://www.homemeds.org/
*Stanford University based Chronic Disease Self-Management Programs (CDSMP: SEE NOTE BELOW) http://patienteducation.stanford.edu/programs/cdsmp.html	Eat Better, Move More http://nutritionandaging.fiu.edu/You_Can/07.2YouCanGuidebook.pdf	Step-by-Step http://www.healthysanbernardinocounty.org/modules.php?op=modload&name=PromisePractice&file=promisePractice&pid=508	**Healthy Eating for Successful Living for Older Adults http://www.healthyingprograms.org/content.asp?sectionid=72&ElementID=311	*PEARLS-Program to Encourage Active, Rewarding Lives for Seniors http://www.pearlsprogram.org/	
	*Enhance Fitness http://www.projectenhance.org/	**Stepping On http://www.dhs.wisconsin.gov/aging/CDSMP/SteppingOn/index.htm	*Healthy Eating Everyday http://www.humankinetics.com/ppHEED	**Prevention & Management of Alcohol Problems in Older Adults: A Brief Intervention http://www.healthyingprograms.org/content.asp?sectionid=71&ElementID=338	
	**Healthy Moves http://www.picf.org/landing_pages/22.3.html	**Tai Chi: Moving for Better Balance http://www.arthritis.org/tai-chi.php			
	**Fit and Strong http://www.fitandstrong.org/				
Other:	Other:	Other:	Other:	Other:	Other:

Stanford University based Chronic Disease Self-Management Programs (CDSMP)

These programs were developed at the Stanford University Patient Education Research Center and include the CDSMP as well as others, e.g. Diabetes Self-Management Program, Tomando Control, Arthritis Self-Management Program, etc.

*Programs where there has been a concerted effort in NYS to build capacity and experience around the delivery of the program.

** Programs that are AOA pre-approved or recognized evidence-based disease prevention (EBDP) programs.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

3. Integrating Nutrition Services and Health Promotion Services

In support of the Administration on Aging’s emphasis on the benefit of linking nutrition activities with health and wellness programs, identify AAA efforts at collaboration between these two initiatives. (See the *Guide* for additional instructions in preparing the summary.)

Describe Collaboration Activities:

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

B.TITLE III-E: NEW YORK ELDER CAREGIVER SUPPORT PROGRAM

(Refer to the *Guide for Completion* and the Standard Assurances.)

1. **Services for Caregivers of Adults Who Are 60 and Over and Caregivers for Individuals of Any Age with Alzheimer’s Disease or Related Disorder:** At least one service under each category must be available to caregivers. Please check the appropriate column for the funding source planned to support the service(s) the AAA intends to provide. When III-E funds are being used (whether the sole source or in combination with other funding sources) (√) the III-E box ***only and omit listing the other funding sources.*** “Other” funding sources are required to be identified in the “Other” column; (√) ***only when no III-E funds are being used to provide the service.***

SERVICE CATEGORY	FUNDING SOURCES		
	III-E	Other	Identify:
Information			
Outreach			
Public Information			
Assistance			
Information and Assistance			
Case Management			
Other, specify:			
Counseling, Support Groups, Training <i>(Only one required, but may provide all three)</i>			
Counseling			
Support Groups			
Training			
Respite			
Personal Care Level I			
Personal Care Level II			
Home Health Aide			
In-home Contact and Support <i>(supervision of care receiver or friendly visiting)</i>			
Social Adult Day Care			
Adult Day Health Care Services			
Overnight Adult Home			
Overnight Nursing Home			
Other, specify:			
Other, specify:			
Supplemental Services			
PERS			
Equipment			
Home Delivered Meals			
Transportation			
Legal Services			
Assisted Transportation			
Home Modification			
Other, specify:			

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

2. Optional Components of Title III-E Caregiver Support Program:

(Check only those services to be funded by Title III-E):

Not Applicable, AAA does not plan to provide any optional components with Title III-E funds.

Services for caregiving grandparents and older relatives (to receive services, grandparents/relatives must be 55 years or older):

The AAA does plan to provide services to grandparents/relatives of children age 18 or younger (including persons with disabilities)

- Information Assistance Counseling Support Groups Training
- Respite (list types) _____
- Supplemental Services (list types) _____

The AAA does plan to provide services to grandparents/relatives who provide care to family members with disabilities between the ages of 19-59.

- Information Assistance Counseling Support Groups Training
- Respite (list types) _____
- Supplemental Services (list types) _____

C. Caregiver Resource Center (CRC) [applies only to NYS’s 17 State Funded Programs]

The AAA has designated a physical location(s) as the CRC YES _____ NO _____

Please check the activities that are provided through the CRC*:

- Resource Library
- Training
- Support Groups
- Counseling
- Information & Assistance
- Public Information
- Other: Specify _____

Specify any special needs populations that will be served: _____

*Note: All CRC activities are to be included on Page 35 (State & All Other Programs – Service Delivery and Resource Allocation Plan) on line 19, “Caregiver Services.”

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

D. Caregiver Services Funded by Other Sources (e.g., Title III-B, CSE)

Caregiver Services (Do not include Caregiver Services funded with Title III-E or CRC funds)

- Presentations to groups
- Training
- Support group meetings
- Individual counseling
- Resource library
- Other (briefly describe) _____

E. Health Insurance Information Counseling and Assistance Program (HIICAP)

1. Clearly describe how the Program will use the HIICAP funding to provide Medicare counseling and outreach services in the county. Be sure to explain how locally based counseling, targeted LIS and other low-income outreach, “Welcome to Medicare” events, and other services to those most in need of health care counseling and assistance will be provided.

2. Please list any specific activities (outreach, advertising, partnerships, etc.) that will be new to the HIICAP this year. Include the name of any new partners and detailed information on any new outreach or advertising efforts.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

3. Are there any anticipated changes to the following HIICAP components for 4/1/12-3/31/13?

	*YES	NO
a) Program Coordinator		
b) Program Operations		
c) Subcontractor		
d) Sites		
e) Other		

If ***YES**, please explain:

4. The HIICAP Hotline (1-800-701-0501) has experienced a large growth in calls during the past year. Please tell us about the AAAs capacity to handle these calls including how the calls are directed within the AAA.

5. Provide the days and hours of operation that HIICAP is available to provide Medicare beneficiaries with one-on-one counseling.

6. Describe your volunteer recruitment efforts during the past year and plans for this current funded year. Be sure to include information about any organizations that have been partnered with for volunteers and whether or not the Program is using the www.newyorkersvolunteer.ny.gov website.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

7. Please enter the number of HIICAP Volunteers that the county currently has: _____

8. How many sites [including the AAA Office(s)] does the HIICAP use for counseling, enrollment assistance and other HIICAP activities? (Include sites that are operated by subcontractors, partners and community agencies if utilized by HIICAP trained staff.) _____

F. The Senior Medicare Patrol Program (SMP)

1. Briefly describe how the SMP will use fraud and abuse strategies in (1) one-to-one counseling sessions, (2) outreach events and (3) training programs.

2. Briefly describe new ways the SMP will be used in its Medicare fraud and abuse work.

G. Weatherization Referral and Packaging Program (WRAP)

1. Program Administration

		YES	*NO
a.	Does the Program arrange energy audits to be done?		
b.	Does the Program conduct a home visit; complete a Needs Assessment and a Service Action Plan?		
c.	Does the Program access NYSERDA programs?		
d.	Does the Program make referrals to DHCR programs-Access to Home and RESTORE?		
e.	Are referrals received from a broad spectrum of the community such as DSS, local agencies, hospitals, churches?		

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

* Please explain any question where you checked *NO

f. Describe the specific steps that the Program will undertake to increase client activity and expand and solidify the Program as a source of energy packaging for older adults in the county.

2. Staffing

	*YES	NO
Is there at least one designated staff member for the WRAP program?		

If *YES, explain what other duties the WRAP coordinator is responsible for:

3. Outreach

Describe outreach strategies used to reach eligible WRAP older adult households within the county.

4. Leveraging

		YES	*NO
a.	Does the WRAP coordinator meet with private, public, and volunteer agencies to develop leveraging for the program?		
b.	Does the WRAP coordinator leverage private funds from clients and family members when possible?		
c.	Are records being kept to track leveraging sources and approximate dollars amounts for leveraging sources?		

* Please explain any question where you checked *NO

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

5. Subcontracting

	*YES	NO
If any part of the WRAP program is subcontracted?		

If *YES, include a description of subcontractor staffing level and note the specific role of the subcontractor.

6. Last Resort Funding

	YES	*NO
Does the Program use Last resort Funding?		

If answer is *NO skip to Question 7.

Amount of Last Resort Funding	\$
-------------------------------	----

Please describe the process for using Last Resort funding and the types of energy related repairs being approved.

7. Internal Controls

Describe the internal controls process:

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

H. GENERAL SERVICES: Please provide the following information regarding services the area agency intends to administer during the 2012-13 Annual Implementation Plan. Please refer to 11-PI-03, 04/05/11, "Standard Definitions for Services and Units of Service." Brief narrative information regarding agency services may be added, but is not required.

1. Information and Assistance

- | | | |
|---|--|---|
| <input type="checkbox"/> Information | <input type="checkbox"/> Benefits counseling | <input type="checkbox"/> Referral |
| <input type="checkbox"/> Tax counseling | <input type="checkbox"/> Case assistance | <input type="checkbox"/> Housing assistance |
| <input type="checkbox"/> Other (briefly describe) | _____ | |

2. In-Home Contact and Support

- | | |
|---|---|
| <input type="checkbox"/> Friendly visiting | <input type="checkbox"/> Shopping assistance |
| <input type="checkbox"/> Telephone reassurance | <input type="checkbox"/> Supervision services |
| <input type="checkbox"/> Other (briefly describe) | _____ |

3. Outreach

- | | |
|---------------------------------------|------------------------------------|
| <input type="checkbox"/> Face to face | <input type="checkbox"/> Telephone |
|---------------------------------------|------------------------------------|

4. Transportation

- | | | |
|--------------------|---------------------------------|--------------------------------------|
| a) Service design: | <input type="checkbox"/> Demand | <input type="checkbox"/> Fixed route |
|--------------------|---------------------------------|--------------------------------------|

b) Type(s) of activities planned for 2012-13:

- | | |
|---|--|
| <input type="checkbox"/> To medical appointments | <input type="checkbox"/> To program sites & senior centers |
| <input type="checkbox"/> To visit friends & relatives | <input type="checkbox"/> Shopping assistance |
| <input type="checkbox"/> Other (briefly describe) | _____ |

Narrative Information:

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

I. Other NYSOFA Funding and Services: Please check the box(es) to indicate programs that your AAA administers and enter the amount of funding anticipated for the coming program period. Include the funding amount on the line indicated under the 'All Other Programs' column of the Service Delivery and Resource Allocation Plan on Page 35 of this Plan.

CHECK	PROGRAM NAME	SERVICES PROVIDED	FUNDING AMOUNT	'ALL OTHER PROGRAMS' COLUMN -LINE#
	Title V	Employment Services		21
		Planning/Implementation/Admin.		22
	Title VII	Ombudsman Services		20
	State LTCOP	Ombudsman Services		20
	Foster Grandparents	Volunteer Services Program		21
	RSVP	Volunteer Services Program		21
			Other: Enter line#	—
	Grants-in-Aid	Various		Determined by AAA Enter line#
	Caregivers Resource Center (State Funded)	Information & Assistance Caregivers Services		13
				19
	HEAP	Energy Assistance		21
	WRAP	Weatherization Services		21
	HIICAP/SMP	Health Insurance Information, Counseling and Assistance		13
				21
	NY Connects/ADRC	Information and Assistance		13
		Public Information		21
		Planning/Implementation/Admin.		22
	MIPPA MIPPA/ADRC	Information and Assistance		13
		Public Information		21
	State Funded Transportation	Transportation		9
				10
	Other: specify			Line#
	Other: specify			Line#
	Other: specify			Line#
	Other: specify			Line#
	Other: specify			Line#

Sub-Totals

TOTAL _____

Line 9	
Line 10	
Line 13	
Line 19	
Line 20	
Line 21	
Line 22	
GIA	
Other Lines	
Total \$	

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

►This is a continuation of the previous page◄

	Amount of Funding for this Service	Funding Sources (List all)
Name/Description of Service/Program _____ Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Subcontracted		
Name/Description of Service/Program _____ Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Subcontracted		
Name/Description of Service/Program _____ Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Subcontracted		
Name/Description of Service/Program _____ Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Subcontracted		
Name/Description of Service/Program _____ Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Subcontracted		
Name/Description of Service/Program _____ Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Subcontracted		

New York State Office for the Aging
 Federal Programs - Service Delivery and Resource Allocation Plan

AIP Period: 4/1/12 to 3/31/13 *

Original Date Prepared:

Date Revised:

Date Last Saved:

Area Agency: _____

Service Categories	Dir	Sub	Number of Individuals to be Served	Grand Total Units (All sources (Pages 34&35))	Grand Total Funding \$ (All sources (Pages 34&35))	Title III-B		Title III-C-1		Title III-C-2		Title III-D		Title III-E ^(e)	
						Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding \$
1. Personal Care Services															
a. Personal Care Level II (c)															
b. Personal Care Level I (c)															
2. Consumer Directed In-home Services(c)															
3. Home Health Aide (c)															
4. Home Delivered Meals															
5. Adult Day Services															
6. Case Management (a)															
7. Congregate Meals (Total)															
a. NSIP Ineligible Meals **															
b. NSIP Eligible Meals															
8. Nutrition Counseling															
9. Assisted Transportation									(d)						
10. Transportation (a)									(d)						
11. Legal Assistance (b)															
12. Nutrition Education															
13. Information & Assistance (a)									(d)		(d)				
14. Outreach (a)									(d)		(d)				
15. In-home Contact & Support (c)									(d)		(d)				
16. Sen. Center/Rec. & Education									(d)						
17. Health Promotion															
18. Personal Emergency Response															
19. Caregiver Services (c)															
20. LTC Ombudsman															
21. Other Services															
22. Area Plan Administration															
TOTAL															

34

(a) These services constitute Access services under Title III-B for the purpose of meeting the priority services requirement of 20%.
 (b) These services constitute Legal Services under Title III-B for the purpose of meeting the priority services requirement of 7%.
 (c) These services constitute In-Home Services under Title III-B for the purpose of meeting the priority services requirement of 2.5%.
 (d) See Page 19 of Guide for Completion for limitations on expenditures for Supportive and Access services, (lines 9,10, 13-16) under Title III-C. Line 15, In-Home Contact & Support may only include Shopping Assistance under Titles III-C-1 and III-C-2.
 (e) Refer to Pages 13-14 of the Guide for Completion for listing of services included in each of the five Title III-E Service Categories. Supplemental Services are limited to 20% of the total Title III-E budget.
 * AIP Period will not correspond with most Federal program periods.
 ** NSIP - Nutrition Services Incentive Program (formerly Cash-in-Lieu of Commodity Foods)

**New York State Office for the Aging
State & All Other Programs - Service Delivery and Resource Allocation Plan**

AIP Period: 4/1/12 to 3/31/13

Original Date Prepared:

Date Revised:

Area Agency: _____

Date Last Saved:

Service Categories	EISEP		CSE		CSI		SNAP		ALL OTHER PROGRAMS		
	Units	Funding \$	Units	Funding Amount	Funding Source						
1. Personal Care Services											
a. Personal Care Level II		(a)									
b. Personal Care Level I		(a)									
2. Consumer Directed In-home Services		(a)									
3. Home Health Aide											
4. Home Delivered Meals		(a&b)							(c)		
5. Adult Day Services		(a&b&d)									
6. Case Management											
7. Congregate Meals		(a&b)									
a. NSIP Ineligible Meals											
b. NSIP Eligible Meals											
8. Nutrition Counseling		(a&b)									
9. Assisted Transportation		(a&b)									
10. Transportation		(a&b)									
11. Legal Assistance											
12. Nutrition Education											
13. Information & Assistance											
14. Outreach											
15. In-home Contact & Support		(a&b&e)									
16. Sen. Center/Rec. & Education											
17. Health Promotion		(a&b)									
18. Personal Emergency Response		(a&b)									
19. Caregiver Services											
20. LTC Ombudsman											
21. Other Services		(a&b)									See pages 31-33
22. Planning/Implementation/Admin.											
TOTAL											

(a) See Pages 32-34 of the Guide for Completion for limitations on services provided under EISEP.

(b) See Page 20 of the Guide for Completion for information regarding these EISEP services.

(c) Enter the number of LTHHCP (or other non-NSIP eligible) meals _____

(d) Enter the amount of Adult Day Services provided as: Non-Institutional Respite: \$ _____ Ancillary Services: \$ _____

(e) Enter the amount of In-home Contact & Support Services provided as: Non-Institutional Respite: \$ _____ Ancillary Services: \$ _____

**Application for Funding
Summary Budget for Titles III-B, III-C-1, III-C-2, III-D, III-E**

Period: 1/1/12 to 12/31/13

Title III-B Period (if different than above): to

Original Date Prepared:

Date Revised:

Date Last Saved:

Area Agency:

Budget Category	Title III-B Area Plan Admin.	Title III-B Services	Total III-B Budget	Title III-C-1 Area Plan Admin.	Title III-C-1 Services	Total III-C-1 Budget	Title III-C-2 Area Plan Admin.	Title III-C-2 Services	Total III-C-2 Budget	Title III-D Budget*	Title III-E Area Plan Admin.	Title III-E Services	Total III-E Budget**
1. PERSONNEL													
Adjustments(a)													
Adjusted Personnel													
2. FRINGE BENEFITS			(b)			(b)			(b)	(b)			(b)
3. EQUIPMENT													
4. TRAVEL													
5. MAINTENANCE & OPERATIONS													
6. OTHER EXPENSES													
7. SUBCONTRACTS													
8. FOOD													
9. TOTAL BUDGET (Lines 1-8)													
10. Less: Anticipated Income													
11. Less: NSIP/ COMMODITY FOOD													
12. NET TOTAL (Line 9 Less Lines 10 & 11)													
13. FEDERAL FUNDS REQUESTED	(c)	(d)		(c)	(d)		(c)	(d)		(d)	(c)	(c)	
14. MATCHING FUNDS													

- (a) Adjustments to Personnel Roster – see Attachment E.
- (b) Composite Fringe Benefit Percentage.
- (c) Federal Funds Requested Cannot Exceed 75% of Net Total, Line 12.
- (d) Federal Funds Requested Cannot Exceed 90% of Net Total, Line 12.

*Title III-D Expenditures Budgeted for Medication Management:
If applying for Title III-D funds, the AAA must provide Medication Management Services and expend at least the amount specified on the allocation schedules provided by NYSOFA.

**Title III-E Expenditures Budgeted for Grandparents and Other Older Relatives Caring for Children Activities: This service is limited to 10% of the Title III-E federal funds and local match plus income generated by these services. Do not include expenditures for grandparents and other older relatives caring for individuals with disabilities between 19-59.

** Title III-E Expenditures Budgeted for Supplemental Services: This service is limited to 20% of the Title III-E federal funds and local match plus income generated by these services.

Percent of Federal funds budgeted for Area Plan Administration:
(See Guide for Completion, page 32 for further information)

Amount

Percentage %

Federal Programs - Supporting Budget Schedule

Period: 1/1/12 to 12/31/12

Title III-B Period (if different than above): to

Original Date Prepared:

Date Revised:

Date Last Saved:

Area Agency:

5. MAINTENANCE & OPERATIONS	Title III-B	Title III-C-1	Title III-C-2	Title III-D	Title III-E
A. Rental Costs from Rent Allocation Schedule					
B. Adjustments to Rental Costs – see Attachment E					
C. Equipment Maintenance					
D. Equipment Costing Less Than \$1,000					
E. Insurance					
F. Photocopying					
G. Postage					
H. Printing					
I. Supplies					
J. Telephone					
K. Other (specify):					
L. Other (specify):					
M. Other (specify):					
Total Maintenance & Operations					
6. OTHER EXPENSES					
A. Audits					
B. Bonding					
C. Conferences, Seminars & Training					
D. Membership & Subscriptions					
E. Minor Alterations & Renovations					
F. Other (specify):					
G. Other (specify):					
H. Other (specify):					
Total Other Expenses					

Federal Programs - Supporting Budget Schedule

Area Agency:

10. ANTICIPATED INCOME	Title III-B	Title III-C-1	Title III-C-2	Title III-D	Title III-E
A. Participant Contributions					
B. Other Income (specify source)					
Total Income (10A+10B)					
13. FEDERAL FUNDS					
A. Carryover *					
B. Base Allocation					
C. Transfer From and (To) III-B **					
D. Transfer From and (To) III-C-1 **					
E. Transfer From and (To) III-C-2 **					
F. Supplement					
Total Federal Funds					
14. MATCHING FUNDS					
Source					
Check if In-Kind					
Total Matching Funds					

* If Carryover exceeds 7.5% of the previous year's total Federal award for Titles III-B, III-C, III-E or 25% for Title III-D a justification must be provided in Attachment D.

** Provide justification for all transfers in Attachment D.

Application for Funding

Original Date Prepared:

Summary Budget for EISEP, CSE, CSI, SNAP, CRC and State Transportation Programs

Date Revised:

Area Agency:

Date Last Saved:

Budget Category	EISEP Implementation	EISEP Services Activities	Total EISEP Budget	CSE Planning & Implementation	CSE Community Service Project Activities	Total CSE Budget	CSI Administration	CSI Services Costs	Total CSI Budget	SNAP Administration	SNAP Service Activities	Total SNAP Budget	Total CRC Budget	Total State Transportation Budget
1. PERSONNEL														
Adjustments(a)														
Adjusted Personnel														
2. FRINGE BENEFITS			(b)			(b)			(b)			(b)	(b)	(b)
3. EQUIPMENT														(f)
4. TRAVEL														
5. MAINTENANCE & OPERATIONS														
6. OTHER EXPENSES														
7. SUBCONTRACTS														
8. FOOD														
9. TOTAL BUDGET (Lines 1-8)														
10. Less Anticipated Income (Not Used as Local Match)														
11. Less: NSIP/ COMMODITY FOOD														
12. NET TOTAL (Line 9 Less lines 10 & 11)														
13. STATE FUNDS REQUESTED	(c)	(d)		(c)	(d)		(d,e)	(d)	(d)	(e)				
14. MATCHING FUNDS														

- (a) Adjustments to Personnel Roster
- (b) Composite Fringe Benefit Percentage
- (c) 100% State Reimbursement
- (d) 75% State Reimbursement
- (e) Limited to 5% of total state funds (SNAP and CSI programs)
- (f) State Transportation funds may not be utilized to purchase vehicles

EISEP In-Home Services Percentage: (EISEP In-home Services include Personal Care Level I & II & Consumer Directed In-home Services only) _____

EISEP Ancillary Services Percentage: _____
 (Ancillary services include Adult Day Services not provided as non-institutional respite, HDM, Congregate Meals, Nutrition Counseling, Assisted Transportation/Escort, Transportation, In-home Contact and Support not provided as non-institutional respite, Health Promotion, Personal Emergency Response and Other Services)

(See Guide for Completion, pages 33 and 34 and the worksheet for additional information.)

Supporting Budget Schedule for the EISEP, CSE, CSI, SNAP, CRC and State Transportation Programs

Original Date Prepared:

Area Agency:

Date Revised:

Date Last Saved:

5. MAINTENANCE & OPERATIONS	EISEP	CSE	CSI	SNAP	CRC	State Transportation
A. Rental Costs from Rent Allocation Schedule						
B. Adjustments to Rental Costs – see Attachment E						
C. Equipment Maintenance						
D. Equipment Costing Less Than \$1,000						
E. Insurance						
F. Photocopying						
G. Postage						
H. Printing						
I. Supplies						
J. Telephone						
K. Other (specify):						
L. Other (specify):						
M. Other (specify):						
Total Maintenance & Operations						
6. OTHER EXPENSES						
A. Audits						
B. Bonding						
C. Conferences, Seminars & Training						
D. Membership & Subscriptions						
E. Minor Alterations & Renovations						
F. Other* (specify):						
G. Other* (specify):						
H. Other* (specify):						
Total Other Expenses						

*Equipment and assistive devices purchased as EISEP Ancillary Services must be included on line 6. F,G or H unless they are purchased as part of a subcontract.

Supporting Budget Schedule for the EISEP, CSE, CSI, SNAP, CRS and State Transportation Programs

Area Agency:

10. ANTICIPATED INCOME	EISEP	CSE	CSI	SNAP	CRC	State Transportation
A. Cost Sharing						
B. Cost Sharing Transferred from EISEP to CSE						
C. Net Cost Sharing (10A [+ or -] 10B)						
D. Participant Contributions						
E. Other Income (specify source) _____						
F. Contributions Used as Match						
Total Income (10C+10D+10E-10F)						
14. MATCHING FUNDS						
Source						
Check if In-Kind						
Contributions Used as Match						
Total Matching Funds						

**Application for Funding
Summary Budget for HIICAP and WRAP**

Area Agency:

Budget Category	HIICAP	Total WRAP Budget
1. PERSONNEL		
Adjustments(a)		
Adjusted Personnel		
2. FRINGE BENEFITS	(a)	(a)
3. EQUIPMENT		
4. TRAVEL		
5. MAINTENANCE & OPERATIONS		
6. OTHER EXPENSES		
7. SUBCONTRACTS		
8. LAST RESORT FUNDS		
9. TOTAL BUDGET (Lines 1-8)		
10. Less Anticipated Income		
11. NET TOTAL (Line 9 Less line 10)		
12. FEDERAL/STATE FUNDS REQUESTED		
13. MATCHING FUNDS		

42

(a) Composite Fringe Benefit Percentage.

Supporting Budget Schedule for HIICAP and WRAP

Area Agency:

5. MAINTENANCE & OPERATIONS	HIICAP	WRAP
A. Rental Costs from Rent Allocation Schedule		
B. Adjustments to Rental Costs – see Attachment E		
C. Equipment Maintenance		
D. Equipment Costing Less Than \$1,000		
E. Insurance		
F. Photocopying		
G. Postage		
H. Printing		
I. Supplies		
J. Telephone		
K. Other (specify):		
L. Other (specify):		
M. Other (specify):		
Total Maintenance & Operations		
6. OTHER EXPENSES		
A. Audits		
B. Bonding		
C. Conferences, Seminars & Training		
D. Membership & Subscriptions		
E. Minor Alterations & Renovations		
F. Other (specify):		
G. Other (specify):		
H. Other (specify):		
Total Other Expenses		

Supporting Budget Schedule for HIICAP and WRAP

Area Agency:

10. ANTICIPATED INCOME	HIICAP	WRAP
A. Participant Contributions		
B. Other Income (specify source)		
Total Income (10A+10B)		
13. STATE OR FEDERAL FUNDS		
A. Carryover (WRAP only)		
B. Base Allocation		
C. Supplement		
Total State or Federal Funds		
13. MATCHING FUNDS		
Source		
Check if In-Kind		
[]		
[]		
[]		
[]		
[]		
[]		
Total Matching Funds		

RENT ALLOCATION SCHEDULE

Period _____ to _____

Original Date Prepared:

Date Revised:

Date Last Saved:

Area Agency:

Complete For Each Location	1	2	3	4	5	6	7	8	9 OTHER FUNDING
	Annual Cost	Title III-B	Title III-C-1	Title III-C-2	Title III-E	EISEP	CSE	SNAP	Source(s)**
	Total Percent								Amount
Address:									
Owner:									
Annual Rent:									
Maint.-in-Lieu:									
Address:									
Owner:									
Annual Rent:									
Maint.-in-Lieu:									
Address:									
Owner:									
Annual Rent:									
Maint.-in-Lieu:									
Address:									
Owner:									
Annual Rent:									
Maint.-in-Lieu:									
Address:									
Owner:									
Annual Rent:									
Maint.-in-Lieu:									
Subtotal This Page									

For Locations Used as In-Kind, Note with Asterisk (*).

- ** 'Other Funding' Source Codes:
- | | | | | |
|----------------|---------------------------|--------------------------|--------------------------|--------------------------|
| 1) Title VII | 6) State Caregivers (CRC) | 11) NY Connects/ADRC | 16) Other, specify _____ | 21) Other, specify _____ |
| 2) Title V | 7) State LTCOP | 12) Transportation | 17) Other, specify _____ | 22) Other, specify _____ |
| 3) WRAP | 8) RSVP | 13) County Funds | 18) Other, specify _____ | 23) Other, specify _____ |
| 4) Title III-D | 9) State Respite Program | 14) MIPPA | 19) Other, specify _____ | 24) Other, specify _____ |
| 5) CSI | 10) HIICAP | 15) Other, specify _____ | 20) Other, specify _____ | |

Grand Total*									
---------------------	--	--	--	--	--	--	--	--	--

Subcontractor Roster
AIP Period: 4/1/2012- 3/31/2013

Period _____ to _____
 Original Date Prepared: _____
 Date Revised: _____
 Date Last Saved: _____

For each contract:
 o Check if contract is active
 o Enter dollar amount planned for each funding category (Federal, State, Other) and applicable service(s) for each

Name: Contractor Code: Employer ID: Minority Contractor: [] Yes [] No Rural contractor: [] Yes [] No Number of contracts, (State & Federal), with this contractor: [] Contract is: Active: [] Yes [] No New: [] Yes [] No	III-B \$ _____ Services to be provided: (Must be completed)	III-C-1 \$ _____ Services to be provided: (Must be completed)	III-C-2 \$ _____ Services to be provided: (Must be completed)	III-D \$ _____ Services to be provided: (Must be completed)	III-E \$ _____ Services to be provided: (Must be completed)	EISEP \$ _____ Services to be provided: (Must be completed)	CSE \$ _____ Services to be provided: (Must be completed)	CSI \$ _____ Services to be provided: (Must be completed)	SNAP \$ _____ Services to be provided: (Must be completed)	OTHER \$ _____ Services to be provided: (Must be completed)	TOTAL \$ _____ Services to be provided: (Must be completed)
Name: Contractor Code: Employer ID: Minority Contractor: [] Yes [] No Rural contractor: [] Yes [] No Number of contracts, (State & Federal), with this contractor: [] Contract is: Active: [] Yes [] No New: [] Yes [] No	III-B \$ _____ Services to be provided: (Must be completed)	III-C-1 \$ _____ Services to be provided: (Must be completed)	III-C-2 \$ _____ Services to be provided: (Must be completed)	III-D \$ _____ Services to be provided: (Must be completed)	III-E \$ _____ Services to be provided: (Must be completed)	EISEP \$ _____ Services to be provided: (Must be completed)	CSE \$ _____ Services to be provided: (Must be completed)	CSI \$ _____ Services to be provided: (Must be completed)	SNAP \$ _____ Services to be provided: (Must be completed)	OTHER \$ _____ Services to be provided: (Must be completed)	TOTAL \$ _____ Services to be provided: (Must be completed)
Name: Contractor Code: Employer ID: Minority Contractor: [] Yes [] No Rural contractor: [] Yes [] No Number of contracts, (State & Federal), with this contractor: [] Contract is: Active: [] Yes [] No New: [] Yes [] No	III-B \$ _____ Services to be provided: (Must be completed)	III-C-1 \$ _____ Services to be provided: (Must be completed)	III-C-2 \$ _____ Services to be provided: (Must be completed)	III-D \$ _____ Services to be provided: (Must be completed)	III-E \$ _____ Services to be provided: (Must be completed)	EISEP \$ _____ Services to be provided: (Must be completed)	CSE \$ _____ Services to be provided: (Must be completed)	CSI \$ _____ Services to be provided: (Must be completed)	SNAP \$ _____ Services to be provided: (Must be completed)	OTHER \$ _____ Services to be provided: (Must be completed)	TOTAL \$ _____ Services to be provided: (Must be completed)

Page Subtotal:	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
Grand Total: (Complete on final page.)	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

ATTACHMENTS

Check [✓] attachments included with this Plan.

Forms are provided for Attachments A, B, C, D, and E.

Note: Letters of comment received on the expected impact of (and agency relationships under) CSE Projects and EISEP from local Departments of Social Services, Health, Mental Health and any other county and City of New York agencies and CASA-type agencies, must be maintained on file locally for State Office review.

ATTACHMENT A: Standard Assurances

Note: Area Agency on Aging Director's original signature is required on the first page of the Standard Assurances assuring that the AAA will fully comply with the Standard Assurances contained in this attachment. The AAA is required to submit only the certification (Page 50).

ATTACHMENT B: Priority Services Expenditure Report

This report **must** be completed and returned by **each** AAA.

ATTACHMENT C: Summary of **major changes** and/or justification for **new direct services**

This **must** be completed and returned by **each** AAA.

ATTACHMENT D: Justification for excess Title III Carryover and Title III Transfers

ATTACHMENT E: Fringe Benefit Policy/Travel Reimbursement Policy
Adjustments to Personnel Roster and Rent Allocation Schedule

04/01/12 – 03/31/16

ATTACHMENT A FOUR YEAR PLAN
STANDARD ASSURANCES
April 1, 2012- March 31, 2016

Covering the following programs:
Title III-B of the Older Americans Act
Titles III-C-1 and III-C-2 of the Older Americans Act
Title III-D of the Older Americans Act
Title III-E of the Older Americans Act

New York State Expanded In-Home Services For The Elderly Program (EISEP)
Community Services For The Elderly Program (CSE)
Congregate Services Initiative (CSI), State Transportation Program
Supplemental Nutrition Assistance Program (SNAP)
Caregiver Resource Center (CRC)
Health Insurance Information Counseling And Assistance Program (HIICAP)
Weatherization Referral And Packaging Program (WRAP)



New York State Office for the Aging

Instructions: After careful review of the Standard Assurances, please sign the following certification and return only this page (with original signature in blue ink) with your Four Year Plan.

I certify that no amendments to these Standard Assurances have been made nor will be made without the expressed written consent of the New York State Office for the Aging. I have read and agree that the

_____ Area Agency on Aging
(Name of Area Agency)

shall fully comply with the attached Standard Assurances.

(Name of Area Agency on Aging Director)

_____ (Signature, *in blue ink*) _____ (Date)

Standard Assurances Applicable to All Programs

1. **Statutes, Regulations, and Policies:** The area agency on aging (AAA) assures that all its activities under this Four Year Plan (hereafter referred to as “Plan”) shall conform with all applicable Federal, State, and Local laws, and with Federal and State regulations, and program standards and Program Instructions of the New York State Office for the Aging (NYSOFA) that apply to such activities.

Federal Statutes, Regulations, and Policies

The Older Americans Act (OAA) of 1965, as amended (*42 U.S.C. 3001 et. seq.*)

2 CFR Part 225 (*Cost Principles for State and Local Governments*)

45 CFR Part 74 (*Administration of Grants*)

45 CFR Part 76 (*Suspension and Debarment*)

45 CFR Part 84 (*Nondiscrimination on the basis of Handicap*)

45 CFR Part 92 (*Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments*)

45 CFR 93 (*New Restrictions on Lobbying, see 91-PI-5 [1/24/91]*)

45 CFR Part 1321, Subparts A-D (*Grants to State and Community Programs on Aging*)

45 CFR Part 1321.61 (b)(4) (*Support of State Title VII Activities*)

Age Discrimination in Employment Act of 1975, as amended (*29 U.S.C. 621, et seq.*)

Americans with Disabilities Act of 1990 (*42 U.S.C. 12101, et seq.; see 92-PI-32 [8/4/92]*)

Civil Rights Act of 1964, Title VI, as amended (*42 U.S.C. 2000-d et. seq.*)

Equal Employment Opportunity Act of 1972 (*42 U.S.C. 2000e, et seq.*)

Equal Pay Act of 1963, as amended (*29 U.S.C. 206*)

Home Energy Assistance Act of 1981, as amended (*42 U.S.C. 8601, et seq.*)

Rehabilitation Act of 1973, Sec. 504 (*29 U.S.C. 794, Nondiscrimination*)

Single Audit Act Amendments of 1996 (*31 U.S.C. 7501, et seq.*)

Office of Management and Budget (OMB):

OMB Circular A-95 (*Clearinghouse Review*)

OMB Circular A-102 (*Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments*)

OMB Circular A-110 (*Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education and other Non-profit Organizations*)

OMB Circular A-122 (*Cost Principles for Non-profit Organizations*)

OMB Circular A-133 (*Audits of State and Local Government and Non-Profit Organizations*)

Federal Executive Order 11246, as Amended by Executive Order 11375

(*Affirmative Action*); as Amended by Executive Order 12086 (*Consolidation of Compliance Functions*); and as Amended by Executive Order 13279 (*Equal Protection for Faith-Based and Community Organizations.*)

Executive Order 13166 (*Improving Access to Services for Persons with Limited English Proficiency*)

State Statutes, Regulations, and Policies

New York State Elder Law
New York State Office for the Aging Rules and Regulations (*9 NYCRR Parts 6651, 6652, 6653, 6654 and 6655*)
Executive Law, Article 15 (*State Human Rights Law Prohibiting Discrimination Based on Race, Color, Creed, National Origin, Sex, Age, Disability, Sexual Orientation and Other Factors*)
Executive Law, Article 15A (*Minority/Women's Business Contract Requirements*)
Elder Law, Section 218 (*Establishes Basic Requirements for Long Term Care Ombudsman Programs under the Older Americans Act*)
Public Officers Law (*Defense and indemnification of representatives of the State Long-Term Care Ombudsman Program*)
Executive Law, Article 7-A (*Registration and reporting provisions required of Charitable Organizations*)
Expanded In-home Services for the Elderly (EISEP) Program Standards (87-PI-66 [10/21/87])
NYSOFA Nutrition Program Standards (90-PI-26 [5/17/90])
Legal Assistance Standards (94-PI-52 [12/29/94])
Governor's 1960 Code of Fair Practices
Governor's Executive Order 6 (*Affirmative Action Efforts*)
Governor's Executive Order 19 (*Prevention of Sexual Harassment*)

2. **Program Implementation:** The AAA identified in this Plan has the authority and the responsibility for effective implementation of Title III of the OAA, Community Services for the Elderly (CSE), Expanded In-Home Services for the Elderly Program (EISEP), Congregate Services Initiative (CSI), Supplemental Nutrition Assistance Program (SNAP), State Transportation Program, Health Insurance Information Counseling and Assistance Program (HIICAP), Weatherization Referral and Packaging Program (WRAP), and Caregiver Resource Center (CRC) programs and to support Title VII and the State Long Term Care Ombudsman Program (LTCOP). This AAA agrees to carry out directly or through contractual or other agreements, programs in its planning and service area (PSA) as detailed in this Plan, and Title III-B, III-C, III-D, III-E, EISEP, CSE, CSI, SNAP, State Transportation Program, HIICAP, WRAP, and CRC Applications for Funding (Applications).
3. **Changes to this Plan:** The AAA assures that it shall submit for approval to NYSOFA necessary documentation for changes, additions, or deletions to this approved Plan, and the Title III-B, III-C, III-D, III-E, EISEP, CSE, CSI, SNAP, State Transportation Program, HIICAP, WRAP, and CRC Applications.
4. **Utilization of Funding:** The AAA understands and agrees that it shall apply only for funds which are necessary to meet the specific needs of older adults within its PSA for the next year and understands that NYSOFA shall not award any funds which cannot be so utilized.

5. Approved Costs, Budget Modifications:

- A. **Expenditures:** The AAA agrees that expenditures shall be made only for authorized items of expense contained in the budget section of the approved Applications. Cost overruns up to \$1,000 or 10% (whichever is greater) for an individual budget category for authorized items of expense will be allowed as long as the total costs do not exceed the total amount of the grant. If and when expenditures in excess of \$1,000 for items not previously budgeted (e.g., equipment, personnel or subcontractor items) become necessary, the AAA shall submit a written request to NYSOFA and await NYSOFA approval before making such expenditures. Also, if costs for an individual budget category will exceed the budgeted amount by more than \$1,000 or 10%, whichever is greater, a budget modification must be approved in writing by NYSOFA before these costs will be reimbursed. (See 05-PI-09 [6/15/05].)
- B. **Equipment Disposition:** If equipment costing \$1,000.00 or more is purchased with any Federal or State funds, including funds for CSE, CSI, EISEP, SNAP and CRC under this Plan, and the equipment is no longer needed for activities supported by such Programs, NYSOFA reserves the right to select a recipient for and approve the transfer to such recipient of such equipment, which must be used for services to older adults.
6. **Vouchering:** The AAA agrees that State Vouchers submitted for reimbursement of expenses incurred in the conduct of this Agreement will not include any expenses which have been, or will be, reimbursed from other sources (e.g., other Federal or State funds). The AAA shall file claims for all payments on a timely basis in accordance with procedures promulgated by NYSOFA. The AAA agrees to accept payments electronically as required by New York State for expenses incurred and will enroll in the OSC electronic payment program, unless a request for Exemption from Electronic Payment is approved by NYSOFA. If an AAA is not yet receiving electronic payments, they must complete the Electronic Payment Authorization Form for Vendors and Government Entities and mail the form, along with the Substitute W-9 form *directly* to: NYS Office of the State Comptroller, Bureau of State Accounting Operations, Warrant & Payment Control Unit, 110 State Street – 9th Floor, Albany, NY 12236. Information on this requirement and the forms are available on AAARIN.
7. **Access to Records:** The AAA agrees to maintain appropriate programmatic and fiscal records for the programs included under this Plan. Such records must be retained for six years after final payment is made. Authorized representatives of the Administration on Aging (AoA), the New York State Comptroller or his authorized representatives and staff of NYSOFA shall have access to and right to examine all books, documents, and all pertinent materials of the AAA related to the programs included under this Plan. In addition, AAA shall provide access to other federal and state governmental agencies at the request of NYSOFA.
8. **Indemnification:** The AAA agrees to hold NYSOFA and the State of New York harmless and indemnify it from liability for actions the AAA takes under this Plan. In the event any claim is made or any action is brought against NYSOFA or the State of New York, arising out of negligent or careless acts or any neglect, fault or default of an employee, agent,

independent contractor, trustee or volunteer of the AAA, either within or without the scope of his/her employment or scope of authority, or arising out of the AAA's negligent performance, NYSOFA shall have the right to withhold further payments for the purpose of set-off in sufficient sums to cover the said claim or action and accompanying litigation costs. The rights and remedies of NYSOFA provided for in this Standard Assurance shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Agreement.

9. **Personal Client Information:** The AAA agrees that personal information relating to individuals who apply for or receive services pursuant to this Agreement shall be kept confidential by the AAA and shared on a need-to-know basis only with AAA and contractor staff for purposes of providing programs and services. Such information can be shared with entities outside those involved in delivering programs and service only with the informed consent of the individual served or pursuant to a court order or when there is deemed to be actual and immediate danger to the health or welfare of the individual.

10 Contracts

10.1 AAA Responsibilities for Contract administration

- A. **Minority and Women Owned Business (M/WBE) Contracts:** The AAA assures that it will comply with all federal, state and local laws regarding opportunities for minority owned/operated and women owned/operated organizations.
- B. **Technical Assistance:** The AAA shall provide technical assistance and information in a timely manner to all subcontractors.
- C. **Subcontract Approval:** The AAA shall formally enter into contracts in accordance with the Subcontractor Roster contained in this Plan. The AAA shall not execute a contract with a profit making entity for the delivery of OAA and/or CSE services until NYSOFA has approved the contract. All contracts shall be written in accordance with Federal, State and Local standards and a copy of the fully executed contract (including budgetary information) shall be forwarded to NYSOFA no later than thirty (30) days after the execution date of the contract. The AAA shall maintain contracts for all subcontractors as well as supporting documentation for all vouchers from subcontractors. All contracts must be accompanied by a completed Subcontract Transmittal Form, (see 96-PI-09 [2/15/96] and 97-PI-04 [1/29/97]).
- D. **Subcontract Monitoring:** The AAA agrees to monitor its subcontractors to ensure that subcontractors make expenditures only for authorized items of expense contained in the approved budgets and shall further ensure that if and when other than authorized expenditures become necessary, the subcontractor shall request and await AAA approval before incurring such expenditures. The AAA shall submit a copy of this revision to NYSOFA within 30 days of its effective date.
- E. **Funding Limitations:** The AAA may approve a subcontract that extends beyond the renewal date of an Application. In approving a subcontract beyond the renewal date of an Application, the AAA should not make a commitment that may exceed next year's

annualized funding level, and the subcontract must state that it is contingent upon provision of funding to the AAA in the subsequent year.

- F. **Data and Programming:** The AAA assures that any service, product, report or other information generated by a computer or otherwise supplied under this Plan provided by the AAA to NYSOFA or other state or Federal agencies shall, when used in accordance with supplied documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations.

Any services or products purchased with funds under this Plan shall come with a warranty that those services shall be provided in an accurate and timely manner without interruption, failure or error due to inaccuracy of the service's or product's operations in processing date/time data (including but not limited to calculating, comparing, and sequencing) various date/time transitions including leap year calculations.

The supplier of such services shall be responsible for damages resulting from any delays, errors or untimely performances resulting therefrom, including but not limited to the failure or untimely performance of such services.

- G. **Conformance with This Plan:** The AAA agrees that all subcontracts funded under this Plan shall contain a provision that the work performed by the subcontractor must be in accordance with the terms of this Plan, and further agrees to make such Plan available to its subcontractor for such purposes.

- H. **Integrity and Public Purpose:** The AAA shall maintain the integrity and public purpose of services provided, and service providers, under the OAA in all contractual and commercial relationships.

- I. **Disclosure of Contractors and No Diminishment of Services:** The AAA shall:

- 1) disclose to the Assistant Secretary of the AoA and the Director of the State agency:
 - a) the identity of each non-governmental entity with which such agency has a contract or commercial relationship relating to providing any service to older adults; and
 - b) the nature of such contract or such relationship;
- 2) demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under the OAA by the AAA has not resulted and will not result from such contract or such relationship; and
- 3) demonstrate that the quantity or quality of the services to be provided under the OAA by the AAA will be enhanced as a result of such contract or such relationship.

- J. **Use of OAA Funds:** The AAA agrees that funds received under the OAA shall not be used to pay any part of a cost (including an administrative cost) incurred by it to carry out

a contract or commercial relationship that is not carried out to implement the OAA.

- K. **Receipt of OAA Services:** The AAA agrees that preference in receiving services under the OAA shall not be given by such agency to particular older adults as a result of a contract or commercial relationship that is not carried out to implement the OAA.
- L. **Focal Points:** The AAA shall specify, in grants, contracts or agreements implementing the Plan, the identity of each focal point so designated.
- M. **AAA Funding Liability:** The AAA assures that its contracts with providers shall provide that all payments to be made thereunder are subject to the availability of Federal/State funds and the AAA shall have no liability under the contract beyond the amounts available under adopted Federal and State budgets.
- N. **Record Maintenance:** The AAA will require all subcontractors to maintain records and make reports in such form and containing such information as may be required by the AAA and NYSOFA. The AAA will require all subcontractors to maintain such accounts and documents as will permit expeditious determination to be made at any time of the status of award funds, including the disposition of all monies received from the AAA and the nature of all expenditures claimed against such funds.

10.2 AAA Subcontract Requirements.

- A. AAA assures that its contracts with providers of services shall include the following provisions in addition to the provisions specified in B below:
 - 1) **Targeting.** Contractor, to the maximum extent feasible, agrees to provide services to those unserved and underserved older adults in greatest social or economic need, particularly those who are low income, low income minorities, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities and older adults residing in rural areas in accordance with their need for such services, and to meet specific objectives established by the AAA for providing services to the above groups within the PSA.
 - 2) **Contributions.** Contractor shall provide participants an opportunity to voluntarily contribute to the cost of the service received, as appropriate. Contractor shall use all collected contributions to expand the service for which the contributions were given to supplement the funds received under the OAA.
 - 3) **Client Needs.** Contractor shall assist participants in taking advantage of benefits under other programs.
 - 4) **Non-duplication.** Contractor assures that the services it provides are coordinated and do not unnecessarily duplicate services provided by other sources.
- B. AAA assures that its contracts shall include the following provisions:

- 1) **Reporting.** The Contractor shall provide the AAA with timely information needed to satisfy reporting requirements as specified by NYSOFA;
- 2) **Record Retention and Accessibility.** The Contractor agrees to maintain appropriate records and to retain them for six years after final payment is made. The Contractor agrees to provide access to for examination all books, documents and all pertinent materials related to the contract to authorized representatives of the Administration on Aging (AoA), the New York State Comptroller or his representatives and staff of NYSOFA and/or the AAA.
- 3) **Confidentiality.** Contractor agrees that, to the extent it maintains personal information relating to applicants or recipients of services pursuant to the contract, such information will be kept confidential and shared with the AAA; or with other entities upon the consent of applicant, recipient or an authorized representative of the applicant or recipient; or as required by federal or state laws.
- 4) **AAA Funding Liability.** Payment to Contractor is subject to the availability of Federal/State funds and the AAA shall have no liability under the contract beyond the amounts available under adopted Federal and State budgets. To the extent that the agreement extends beyond the renewal date of AAA's Application, it is contingent upon provision of funding to the AAA in the subsequent year.
- 5) **Conformance with AAA Area Plan.** To the extent that the contract with the AAA is for a program or services funded under the Area Plan, Contractor agrees that it will perform such work in accordance with the terms of the Area Plan. The AAA agrees to make the Area Plan available to contractor.
- 6) **Warranty for Data and Programming.** The Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to inaccuracy of the service's or product's operations in processing date/time data (including but not limited to calculating, comparing, and sequencing) various time/date transitions including leap year calculations. Contractor accepts responsibility for damages resulting from any delays, errors or untimely performances resulting therefrom, including but not limited to the failure or untimely performance of such services.
- 7) **Responsibility.** The Contractor certifies that, to the best of its knowledge and belief, it is and will be in compliance with 45 CFR Part 76, regarding Debarment, Suspension and other Responsibility Matters concerning public (Federal, State or local) transactions. If necessary, the Contractor will submit an explanation of why it cannot provide this certification.

10.3 AAA Subcontract Requirements for OAA Title III Programs

The Contractor agrees that for programs established and funded in whole or in part pursuant to Title III of the Older Americans Act Contractor shall: specify how it intends to satisfy the

service needs of low-income minority individuals, older adults with limited English proficiency, and older adults residing in rural areas in the area served by it; to the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older adults residing in rural areas in accordance with their need for such services; and meet specific objectives established by the AAA, for providing services to low-income minority individuals, older adults with limited English proficiency, and older adults residing in rural areas within the planning and service area.

11. **Responsibility:** The AAA certifies that, to the best of its knowledge and belief, it is and will be in compliance with 45 CFR Part 76, regarding Debarment, Suspension and other Responsibility Matters concerning public (Federal, State, or local) transactions. If necessary, the AAA will submit an explanation of why it cannot provide this certification.
12. **Due Recognition:** The AAA agrees that any program, public information materials, or other printed or published materials on the work of or funded by these programs shall give due recognition to NYSOFA and as appropriate AoA.

AAAs agree that all materials developed by the AAA or its subcontractors in connection with programs funded under this plan shall be the property of NYSOFA. NYSOFA also reserves the right to copyright all such materials, the exclusive right to reproduce, publish or otherwise use, and to authorize others to use these materials, subject to any restrictions in Federal Laws and Regulations.

13. **Public Information:** The AAA shall provide for a continuing program of public information specifically designed to assure that information about programs and activities carried out under this Plan is effectively and appropriately disseminated throughout the PSA. The AAA shall provide information to the public upon request. Where appropriate, the AAA shall make public information available in the primary languages of the client populations. Public information shall also be made accessible to persons with disabilities, including those with hearing and vision impairments.
14. **Limited English Proficiency:** The AAA agrees to comply with 87-PI-8 [2/5/87], and in each PSA in which a substantial number of older adults of limited English proficiency reside, the AAA shall:
 - A. utilize in the delivery of outreach services under section 306(a)(2)(A), the services of workers who are fluent in the language spoken by a predominant number of such older adults who are of limited English proficiency and
 - B. designate an individual employed by the AAA, or available to such AAA on a full-time basis, whose responsibilities will include:
 - 1) taking such action as may be appropriate to assure that counseling assistance is made available to such older adults who are of limited English proficiency in order to assist such older adults in participating in programs and receiving assistance under the OAA; and

- 2) providing guidance to individuals engaged in the delivery of supportive services under this Plan to enable such individuals to be aware of cultural sensitivities and to effectively take into account linguistic and cultural differences.

15. Equal Access to and Propriety of Services: With regard to any activities/services it supports, sponsors or provides under this Plan, the AAA shall:

- A. Serve any older adults and ensure equal access for participation, services, activities, and informational sessions without regard to Race, Color, Creed, National Origin, Sex, Age, Disability, Sexual Orientation, Marital Status, Familial Status, Military Status, Arrest or Conviction Record, Predisposing Genetic Characteristics or Victims of Domestic Violence;
- B. Refrain from using funds to advance any sectarian effort and ensure that any services to be provided under this Plan shall be secular in nature and scope and in no event shall there be any sectarian, partisan, or religious services, counseling, proselytizing, instruction or other sectarian, partisan, or religious influence undertaken in connection with the provision of such services;
- C. Refrain from using funds to advance any partisan candidate or effort; however, the AAA shall ensure that its providers, including senior centers and facilities, grant equal access to candidates regardless of policy views or party affiliation, consistent with 02-PI-19 [9/24/02];
- D. Refrain and prevent the use by others under its control of official authority, influence or coercion to interfere with or affect elections or nominations for political office;
- E. Refrain from and prohibit any others receiving funds under this Plan for services or activities for older adults from attempting to coerce or advise other persons to contribute anything of value to a party, committee, organization, agency or person for political purposes, nor engage in any other partisan activities under its auspices;
- F. Conduct periodic evaluations and public hearings on activities carried out under the Plan. In addition, the AAA assures that it has held a public hearing on this Plan as required by NYSOFA regulations and has submitted the Plan to its Advisory Council for review and comment prior to submission to NYSOFA;
- G. Be an advocate for older adults in its PSA and monitor, evaluate and comment on all policies, programs, hearings and other community actions which will affect older adults ; its efforts shall include planning, information sharing, coordination, interagency linkages, monitoring and evaluation to achieve a comprehensive, community-based system for serving older adults ;
- H. Identify and support (i.e., provide technical assistance, counseling) public and private nonprofit entities involved in the prevention and treatment of elder abuse and determine the need for such services;

- I. Conduct internal monitoring of directly provided services and monitoring of subcontracted services. At minimum, the AAA must conduct at least one on-site monitoring of each subcontractor every year. Such monitoring shall include ensuring that subcontractors comply with all applicable statutes, regulations, policies and standards, including the non-discrimination requirements, in their provision of services to the client population. (See 99-PI-20, [8/5/99].) This does not include the LTCOP program which is monitored by the Office of the State Ombudsman.
 - J. The AAA assures that each activity the AAA undertakes, including planning, advocacy, and systems development, will include a focus on the needs of low-income minority older adults and older adults residing in rural areas.
16. **Coordination of Services with other Government Programs:** The AAA assures that those to be served under this Plan are not eligible to receive the same or similar services under Titles XVIII, XIX or XX of the Federal Social Security Act or any other governmental program and are not residents of adult residential care facilities who are receiving or are entitled by law to receive the same or substantially similar services from that facility, unless the AAA has in effect an agreement providing for reimbursement from the appropriate funding source for such services.
17. **Licensure and Certification:** The AAA shall ensure that where the State or local public jurisdictions require licensure or certification for the provision of services, the AAA and its subcontractors providing such services under the approved Plan shall be so licensed or certified. Workers delivering services funded under this Plan must be appropriately qualified, selected, trained and supervised.
18. **Targeting:** The AAA shall make targeting efforts in accordance with policies issued by NYSOFA. With respect to the fiscal year preceding the fiscal year for which such Plan is prepared:
- A. Identify the number of low income, low income minorities, rural residents, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities.
 - B. Describe the methods used to satisfy the service needs of such individuals identified in A. above.
19. **Educational Opportunities:** The AAA shall compile information on institutions of higher education in the PSA regarding courses offered to older adults and policies on enrollment and tuition and such other information as may be necessary to encourage such educational activities and make a summary of this information available to older adults at appropriate places.
20. **Reporting:** The AAA agrees to comply with the reporting requirements as set forth by NYSOFA.
- A. The AAA and its subcontractors will utilize a Minimum Data Set (MDS) compliant assessment tool for: 1) assessing or re-assessing older adults for personal care levels I and

II, case management, home health aide, home delivered meals and adult day/adult day health services, and 2) for obtaining data on these older adults for reporting purposes. (See Program Instruction 97-PI-01 [1/3/97].)

- B. In conducting the MDS-compliant assessment for the above-listed services, the AAA and its subcontractors will make every effort to complete the assessment and develop an appropriate care plan during the initial visit with the older adult(s) and, if appropriate, his/her caregivers. If the assessment and care plan are not completed during the initial visit, these activities must be concluded within 30 calendar days of the initial visit.
 - C. The AAA understands the necessity of submitting timely and accurate CAARS and client-based data to NYSOFA for Federal and State reporting purposes. The AAA assures that it will submit CAARS reports and consumer-based data as specified by NYSOFA within twenty days following the end of each reporting period. Failure to submit reports accurately detailing AAA program activity within the time frames in the NYSOFA reporting procedures will result in the withholding of payment(s) for Title III, EISEP, CSE and SNAP.
21. **Contributions:** The AAA agrees to comply with all NYSOFA policies and procedures related to contributions made by or on behalf of individuals, including procedures to safeguard and account for all contributions. Please refer to 03-PI-05, NYSOFA Program Income Policy. Individuals with self declared incomes at or above 185 percent of the federal poverty line will be encouraged to contribute at levels based on the actual cost of services.
22. **Corporate Eldercare:** The AAA agrees that any corporate eldercare activities undertaken by it shall comply with the policies and guidance set forth in 90-PI-63 [11/1/90].
23. **Funding Availability:** The AAA agrees that all payments to be made under this Plan are subject to the availability of Federal/State funds and NYSOFA shall have no liability to the AAA beyond the amounts made available in the Federal and State Budgets.
24. **Terminations:**
- A. Any programs and funding under this Plan may be terminated at any time upon mutual written consent of the State and the AAA.
 - B. The State may terminate in whole or in part any programs and funding included in this Plan immediately, upon written notice of termination to the AAA, if the AAA fails to comply with the terms and conditions of this Plan as it pertains to such program or funding and/or with any laws, rules, regulations, policies or procedures applicable to such programs.
 - C. The State may also terminate in whole or in part any programs or funding included in this Plan for any reason in accordance with the following provisions:
 - 1) The State shall have the right to terminate any or all programs or funding included in this Plan early for: (i) unavailability of funds; (ii) cause; (iii) convenience; or (iv)

non-responsibility.

- 2) The State retains the right to cancel any programs included in this Plan, in whole or in part without reason provided that the AAA is given at least 60 days notice of its intent to cancel. The State may only invoke its right to terminate for convenience provided that the State has given written notice to the AAA at least 60 days prior to the date of termination, unless the State has otherwise reserved the right to terminate at any time. This provision should not be understood as waiving the State's right to terminate the program for cause or stop work immediately for unsatisfactory work, but is supplementary to that provision.
 - 3) The AAA shall make a full and final accounting of all funds received under all terminated program(s) within sixty (60) days of the termination notice.
- D. Written notice of termination, where required, shall be sent by personal messenger service or by certified mail, return receipt requested. The termination shall be effective in accordance with the terms of the notice.
 - E. Upon receipt of notice of termination, the AAA agrees to cancel, prior to the effective date of any prospective termination, as many outstanding obligations as possible, and agrees not to incur any new obligations after receipt of the notice without approval by the State.
 - F. The State shall be responsible for payment on claims pursuant to services provided and costs incurred pursuant to any specific terms set forth elsewhere in this Plan. In no event shall the State be liable for expenses and obligations arising from the program(s) after the termination date.
 - G. The procedures for termination as set forth in A through F are subject to the requirements under the Older Americans Act, other pertinent federal laws and state laws.
25. **Native American Access to Services:** The AAA agrees to pursue activities to increase access by older adults who are Native Americans to all aging programs and benefits provided by the agency, including programs and benefits under the OAA, if applicable

Standard Assurances Applicable to Title III-B, Title III-C, Title III-D, and Title III-E

26. Title III Funding: In applying for and receiving funding under Title III-B, Title III-C, Title III-D and Title III-E of the OAA, the AAA understands and agrees that:
- A. **Availability:** The AAA shall apply only for funds based on the appropriate allocation schedules promulgated by NYSOFA as well as any unexpended (carry-over) funds previously awarded to the AAA by NYSOFA. The AAA understands and agrees that carry-over funds may be awarded to the extent that these funds are incorporated into an approved application, provided that the requirements of 88-PI-17 [3/24/88] are met. If an AAA applies for more funds than a subsequent closeout shows as the final carry-over balance, the AAA must submit a budget modification requesting a level of program

expenditures which corresponds to the reduced Federal funds.

- B. **Area Plan Administration:** The AAA shall budget no more than 10% of the combined Federal allocations (including carry-over) for Titles III-B, III-C-1, III-C-2, III-D and III-E for Area Plan Administration. The amount of federal dollars expended on Area Plan Administration cannot exceed 10% of the combined Federal expenditures for Titles III-B, III-C-1, III-C-2, III-D and III-E.
- C. **Matching Funds:** The AAA agrees to provide a minimum 25% local matching funds for Area Plan Administration expenditures under Titles III-B, III-C-1, III-C-2 and III-E. The AAA agrees to provide a minimum 10% local matching funds for service expenditures under Titles III-B, III-C-1, III-C-2 and III-D. The AAA agrees to provide a minimum 25% local matching funds for services expenditures under Title III-E.
- D. **Audit:** The AAA shall comply with the federal audit requirements per the 1996 amendments to the Single Audit Act, OMB Circular A-133 and the "Government Auditing Standards."
- E. **Directly Provided Services:** In accordance with NYSOFA regulations (9NYCRR Part 6652.9), services can only be provided directly by an AAA where NYSOFA grants approval. This approval will be granted only if the AAA demonstrates that provision of such service by the AAA is necessary to ensure an adequate supply of the service, or that the service is directly related to the AAA's administrative functions, or that service of comparable quality can be provided more economically by the AAA.
- F. **Advisory Council:** The AAA shall establish an Advisory Council consisting of older adults including minorities who are participants or eligible to participate in programs under the OAA, representatives of older adults, local elected officials, the general public and providers of health care and supportive services to advise the AAA in all matters relating to the development, administration and operation of the Plan. The AAA shall submit the area plan and amendments for review and comment to the advisory council before it is transmitted to the State Agency for approval.
- G. **Service Coordination:** The AAA shall coordinate planning with other agencies and organizations, Native American Tribal organizations and Native Hawaiian organizations to promote new or expanded benefits and opportunities for older adults.
- H. **Intergenerational Day Care:** If possible, the AAA shall arrange with organizations providing day care for children or adults and respite for families, so that older adults can assist in the delivery of such services to children, adults and families.
- I. **Outreach:** The AAA shall conduct outreach efforts, and an annual evaluation of the effectiveness of these outreach activities, to identify older adults eligible for assistance under the OAA, with special emphasis on:
 - 1) older adults residing in rural areas;

- 2) older adults with greatest economic need (with particular attention to low- income, low income minority individuals including Native Americans and older individuals residing in rural areas);
 - 3) older adults with greatest social need (with particular attention to low- income minority individuals including Native Americans and older individuals residing in rural areas);
 - 4) older adults with limited English proficiency;
 - 5) older individuals who are frail or with severe disabilities;
 - 6) older adults with Alzheimer's disease or related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals).
- J. **Information and Assistance:** The AAA assures that it shall provide for the establishment and maintenance of information and assistance services in sufficient numbers to assure that all older adults within the PSA covered by the Plan shall have reasonably convenient access to such services.
- K. **Services to Native Americans:** If there is a significant population of older Native Americans in the PSA of the AAA, the AAA shall conduct outreach activities to identify older Native Americans in such area and shall inform such older Native Americans of the availability of assistance.
- L. **Grievances:** The AAA shall establish a grievance procedure for older adults who are dissatisfied with or denied services under the OAA.
- M. **Disabled Individuals:** The AAA assures that it will coordinate planning, identification, assessment of needs and provision of services for older adults with disabilities, with particular attention to individuals with severe disabilities, with agencies that develop or provide services for individuals with disabilities.
- N. **Transportation:** The AAA shall identify the needs of older adults and describe the methods it will use to coordinate planning and delivery of transportation services (including the purchase of vehicles) to assist older adults, including those with special needs, in the PSA.
- O. **Disclosure of Spending:** The AAA shall, on the request of the Assistant Secretary of AoA or the Director of the State Agency, for the purpose of monitoring compliance with the OAA (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older adults.
- P. **Title VI:** The AAA shall, to the maximum extent practicable, coordinate the services it provides under Title III of the OAA with services provided under Title VI of the OAA (Grants to Native Americans).

Q. Case Management: The AAA assures that case management services provided under Title III of the OAA through it shall:

- 1) not duplicate case management services provided through other Federal and State programs;
- 2) be coordinated with services provided through such other Federal and State programs, and
- 3) be provided by
 - a) a public agency; or
 - b) a nonprofit private agency that:
 - (i) gives each older adult seeking services under this title a list of agencies that provide similar services within the jurisdiction of the AAA;
 - (ii) gives each older adult described in clause (i) a statement specifying that the individual has a right to make an independent choice of service providers and documents receipt by such individual of such statement;
 - (iii) has case managers acting as agents for the individuals receiving the services and not as promoters for the agency providing such services; or
 - (iv) is located in a rural area and obtains a waiver of the requirements described in clauses (i) through (iii).

Standard Assurances Applicable to Title III-B

27. In applying for and receiving funding under Title III-B of the OAA, the AAA understands and agrees to:

A. Priority Services: Expend the percentage of Title III-B funds, as established by NYSOFA for each of the three priority services categories (access, in-home and legal assistance) in Program Instruction 88-PI-47 [7/22/88].

Waiver: NYSOFA, in approving the Title III-B application or amendment to such application, may waive the assurance of the above paragraph for any category of service for which the AAA demonstrates to NYSOFA that services provided from other sources meet the needs of older adults in the PSA for that category of service. If the AAA receives a waiver for any category of service, it must continue to spend for the remaining categories of services the percentage of AAA funds approved by NYSOFA.

B. Legal Assistance Program: The AAA assures that it will enter into contracts with providers of legal assistance which can demonstrate the experience or capacity to deliver legal assistance and that it will attempt to involve the private bar in legal assistance

activities authorized under Title III-B, including groups within the private bar furnishing services to older adults on a pro bono and reduced fee basis. The AAA further assures that it will give priority to legal assistance related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect and age discrimination. AAA will not require any provider of legal assistance under Title III-B to reveal any information that is protected by the attorney-client privilege.

- C. **Priority Service Reporting:** Report annually to NYSOFA, in detail, the amount of funds expended for each such category of priority services during the fiscal year most recently concluded.
- D. **Service Coordination:** Coordinate priority services with community Alzheimer's programs, coordinate mental health services provided with Title III-B funds with mental health services provided by community health centers and other organizations, and, if appropriate, conduct outreach to identify older Native Americans and inform them of availability of services.
- E. **Nursing Home Diversion:** Conduct efforts to facilitate coordination of community-based, long-term care services to defer inappropriate institutionalization for older adults who are at home, patients in hospitals, and patients in long term care facilities who could return home.
- F. **Multipurpose Senior Centers:** In regard to any multipurpose senior centers acquired or constructed using OAA funds, ensure compliance with Sections 306, 311, and 312 of the OAA, NYSOFA regulations (9NYCRR Part 6654.9), and 90-PI-36 [6/19/90].
- G. **Ombudsman Assistance:** The AAA agrees to cooperate with and support NYSOFA in its administration of the LTCOP as required in Title VII of the OAA, and the NYS Elder Law and federal and State regulations, and agrees to comply with any applicable vouchering, reporting and program requirements of NYSOFA for the program in accordance with Title VII Standard Assurances.
- H. **Ombudsman Funding:** The AAA assures that it will apply for all available LTCOP funding when it has been designated a local LTCOP sponsor by the State Ombudsman or when it acts as a local government fiscal conduit for the transfer of NYSOFA LTCOP funds to the designated local non-profit sponsor. The use of these funds shall be subject to the approval of the State Ombudsman who shall provide technical assistance to the local LTCOP Coordinators as to its appropriate use.
- I. **Ombudsman Program:** The AAA shall support any Substate LTCOP operating within its PSA and shall meet its 2000 maintenance of effort requirement under the OAA. If no Substate LTCOP operates within its PSA, the AAA shall assist the State Ombudsman Program in the development of such a Substate LTCOP. The AAA shall comply with all applicable rules, regulations, policies, and procedures of the State LTCOP.

Standard Assurance Applicable to Title III-C

28. **III-C Funding for Access and Supportive Services:** In applying for and receiving funding under Title III-C of the OAA, the AAA understands and agrees that Title III-C expenditures for supportive and access services shall only be funded with III-C contributions and that such expenditures by a III-C provider are limited to the amount of contributions generated by the provider.

Standard Assurances Applicable to Title III-C and SNAP (for additional Assurances applicable to SNAP, see SA#5B & SA#35)

29. In applying for and receiving funding under Title III-C of the OAA and SNAP, the AAA understands and agrees that:

- A. **Special Dietary Needs:** The AAA assures that the nutrition program in the PSA shall reasonably accommodate participants who have particular dietary needs arising from the health requirements, religious requirements, or ethnic backgrounds of such participants.
- B. **Outreach:** It shall be the AAA's responsibility to identify and reach out to currently unserved and underserved individuals who would be eligible for home delivered meals.
- C. **Provider Organizations:** The AAA, when selecting potential home delivered meal providers, shall give consideration where feasible to organizations which:
 - 1) have demonstrated an ability to provide home delivered meals efficiently and reasonably; and
 - 2) furnish assurances to the AAA that such an organization shall maintain efforts to solicit voluntary support and that the funds made available under this Title to the organization shall not be used to supplant funds from non-Federal sources.
- D. **Congregate Sites:** Sites for congregate meals and comprehensive supportive services are located in as close proximity to the majority of eligible individuals' residences as feasible, with particular attention on a multipurpose senior center, a school, a church, or other appropriate community facility, preferably within walking distance, and where appropriate, transportation to such site is furnished.
- E. **Allowable Services:** The AAA may only apply for and use Title III-C funds to provide meals and other services (i.e., nutrition counseling and nutrition education) directly related to nutrition services. The AAA may also use program income for supportive and access services to enhance the nutrition program. Such supportive and access services include outreach, transportation (III-C-1only) Information and Assistance, In-Home Contact and Support (shopping assistance only), Senior Center/Recreation and Education (III-C-1 only), Assisted Transportation (III-C-1only). Program income cannot be used for access and supportive services in amounts greater than what has been generated by program activity.

Standard Assurances Applicable to Title III-D

30. Title III-D

- A. **Area Plan Administration:** No Title III-D funds shall be budgeted or expended for Area Plan Administration.
- B. **Medication Management:** The AAA agrees to expend at least the amount specified by NYSOFA on medication management activities.

Standard Assurances Applicable to Title III-E Caregiver Program

31. Title III-E Caregiver Program

- A. **Comprehensive Support System:** The AAA shall develop and provide a comprehensive system of caregiver services to serve and support “adult” caregivers (persons aged 18 and older) who are providing informal care to an “older” adult (aged 60 and older).
- B. **Grandparents as Caregivers:** The AAA may budget up to 10% of its Title III-E funds (Federal funds plus local match), plus any income generated by grandparent/relative caregiver services, for a grandparent/relative caregiver program. The AAA may expend a maximum of 10% of its final Title III-E expenditures (Federal funds plus local match), plus any income generated by grandparent/relative caregiver services, for a grandparent/relative caregiver program. Caregiver services under this program are to be provided only to caregiver grandparents or other relatives (by blood or marriage) who are aged 55 and older and who are living with, and acting as the primary caregivers of, a child aged 18 or younger.
- C. **Statutory Services:** The caregiver program support services shall include each of five specific, statutory categories of caregiver services, with the amounts used to fund each service to be determined by the AAA, based on the needs of its particular caregivers. The AAA may meet this comprehensive service requirement by including services in its Title III-E Caregiver Program that meet Title III-E requirements, but that are funded from other sources. These required services are:
 - 1) Information about available services;
 - 2) Assistance in gaining access to the services;
 - 3) Individual counseling, organization of support groups, caregiver training to assist the caregivers in the areas of health, nutrition and financial literacy and to help caregivers make decisions and solve problems relating to their caregiver roles and responsibilities;
 - 4) Respite services to temporarily relieve caregivers by providing a short-term break from their caregiving responsibilities.

5) Supplemental services to complement the caregiver's efforts to provide care.

D. Recipients of Respite and Supplemental Services: The AAA agrees that respite and supplemental services shall only be provided to the caregivers of "frail" older adults as "frail" is defined in OAA section 102(22), that is, an older adult (60 and older) who is functionally impaired because the person is unable to perform at least two activities of daily living without substantial human assistance, including verbal reminding, physical cueing or supervision; or, an older adult who has a cognitive or other mental impairment that requires substantial supervision because the person behaves in a manner that poses a serious health or safety hazard to the person or to another person; or to grandparent/relative caregivers 55 and older.

E. Supplemental Services: The AAA may budget up to 20% of its Title III-E funds (Federal funds plus local match), plus any income generated by supplemental services for the provision of supplemental services. The AAA may expend a maximum of 20% of its final Title III-E expenditures (Federal funds plus local match), plus any income generated by supplemental services for the provision of supplemental services.

32. Service Priority: The AAA shall give priority to the following individuals:

A. Older Caregivers with Special Needs: Caregivers who are older adults with greatest social need, and older adults with greatest economic need, with particular attention to low-income older adults;

B. Older Caregivers Caring for Individuals with Special Needs: Older adults providing care to individuals with severe disabilities, including children with severe disabilities, as defined in OAA section 102 (48) which means a severe, chronic disability attributable to mental or physical impairment, or a combination of mental and physical impairments, that is likely to continue indefinitely and results in substantial functional limitation in 3 or more of the major life activities as specified in OAA section 102 (13) which includes self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, economic self-sufficiency, cognitive functioning and emotional adjustment;

C. Caregivers of Cognitively Impaired Individuals: Family caregivers who provide care for older adults with Alzheimer's disease and related disorders with neurological and organic brain dysfunction.

33. Maintenance of Effort: The AAA agrees to meet its applicable maintenance of effort requirement for Title III-E funds under this Plan as determined by NYSOFA and to not supplant the use of other funds available for Caregiver Program services, with the funding available under Title III-E.

Standard Assurances Applicable to Caregiver Resource Centers

34. Caregiver Resource Centers

- A. **CRC Services:** AAAs that have a Caregiver Resource Center (CRC) funded under NYS Elder Law § 206, agree to provide and enhance CRC services. CRC services are similar to the required services funded through the Title III-E Caregiver Program, except that CRC does not fund respite and supplemental services. CRC services can supplement or be integrated, as appropriate, into the AAA's Caregiver Program, with the goal of using AAA expertise to achieve cost-effective, productive and creative "best practices" caregiver services that can serve as models for other AAAs.

- B. **Materials Developed Under CRC:** AAAs that have a Caregiver Resource Center (CRC) funded under NYS Elder Law § 206, agree that all materials developed by the AAA in connection with the CRC program shall be the property of NYSOFA. NYSOFA also reserves the right to copyright all such materials, the exclusive right to reproduce, publish or otherwise use, and to authorize others to use these materials.

Standard Assurance Applicable to SNAP (for additional Assurances applicable to SNAP, see also SA#29 and SA#5B).

35. In applying for and receiving funding under SNAP, the AAA understands and agrees that:

- A. **Separate Accounting:** The funds provided under SNAP shall be accounted for and reported separately from those received under other sources, including Title III-C.

- B. **SNAP Services:** The funds provided under SNAP must be used to provide home delivered meals and/or services related to the provision of meals to eligible older adults whose nutritional needs have not or cannot be met under III-C or CSE. SNAP funds may be used to provide congregate meals but only when the provision of the congregate meals will serve nutritionally at-risk older adults or result in an increased ability to provide home delivered meals.

- C. **Administration:** No more than 5% of SNAP funds awarded shall be budgeted for AAA administration. No more than 5% of SNAP funds expended shall be for AAA administration.

- D. **No Supplanting III-C Services:** No funds received as a result of this application for SNAP funds shall be used to replace nutrition services provided or intended to be provided under Title III-C and CSE.

Standard Assurances Applicable to CSE and EISEP

36. In applying for and receiving CSE and/or EISEP funding, the AAA understands and agrees that:

- A. **Direct Provision of Services:** The AAA can provide EISEP and/or CSE case management services directly without requesting NYSOFA approval. However, it cannot provide other EISEP or CSE services directly unless it receives approval from NYSOFA. NYSOFA approval is discretionary and shall only be given if the AAA can show that: the AAA provided this service directly prior to the approval of the AAA's first CSE Plan (this would usually be 1979); or if the AAA demonstrates that the direct provision of a service is necessary due to the absence of an existing suitable provider and so is necessary to assure an adequate supply of the service, or is necessary to ensure the quality of the service provided. (See 9NYCRR §6652.9(c).)
- B. **Maintenance of Effort:** The AAA must meet the following maintenance of effort requirements:
- 1) **For CSE and EISEP:** Maintenance of "base year expenditures" made by the county or other funded service providers irrespective of the source of funds. "Base year expenditures" means the level of expenditures in the year prior to the first year for which a county plan for Community Services for the Elderly was submitted or in the County's 1979 fiscal year, whichever is later.
 - 2) **For EISEP:** Maintenance of total community service project expenditures under the Community Services for the Elderly program for the period April 1, 1985, through March 31, 1986, unless this requirement is waived or reduced by NYSOFA.
- C. **Letters of Comment:** The AAA shall obtain letters of comment on the expected impact of (and agency relationships under) CSE projects and EISEP from the county agencies including social services, health, mental health and CASA-like agencies, and in the case of New York City the city governmental agencies responsible for social services, health and mental health. If the AAA is the designated agency of an Indian Tribal Organization, the AAA shall obtain letters of comment from any equivalent local agencies responsible for social services, health and mental health.
- D. **Medicaid Rate Cap:** The AAA shall not receive reimbursement from NYSOFA for EISEP in-home services in excess of the current Medicaid rate cap. The Medicaid rate cap is the DoH-approved cost per unit of comparable in-home services provided under the Medicaid Personal Care Program that applies to the time period and county in which the EISEP services were delivered. This requirement also applies to EISEP-like services provided to clients under CSE.
- E. **Contesting Eligibility and Cost Share Decisions:** AAA shall provide applicants or recipients of EISEP or EISEP-like services funded under EISEP/CSE the opportunity to contest adverse decisions as to eligibility, levels of required cost sharing and involuntary terminations of services.
37. **Matching Requirements:** The AAA agrees to provide minimum local matching funds for service expenditures under EISEP and CSE as set forth by applicable State law and requirements.

Standard Assurance Applicable to CSE

38. In applying for and receiving CSE funding, the AAA understands and agrees that Community Services Projects developed by the AAA shall not exceed three years, except NYSOFA may approve continuation of a project beyond three years if periodic evaluation shows that the project effectively improved the delivery of services to older adults.

Standard Assurance Applicable to EISEP

39. In applying for and receiving EISEP funding, the AAA understands and agrees that:

- A. **Coordination with LDSS:** The AAA is required to coordinate with its local Social Services office to establish and maintain procedures which shall ensure that EISEP does not duplicate Medicaid and Title XX programs, and ensure that these procedures are set out in a Memorandum of Understanding with such local office. This memorandum must be submitted to and approved by NYSOFA.
- B. **33% In-Home Services Requirement:** At least 33% of the AAA's total expenditures of state EISEP services dollars and required local match for those dollars must be spent on in-home services (i.e., Personal Care Level I and Personal Care Level II).
- C. **33% Ancillary Services Requirement:** No more than 33% of the AAA's total expenditures of state EISEP services dollars and required local match for those dollars may be spent on ancillary services.
- D. **County Home Care Plans (CHCP):** The first year EISEP County Home Care Plan, as amended by any subsequent plans and CHCP revisions, is incorporated by reference and made a part of this Plan, and the goals and procedures contained in it are reaffirmed.

Standard Assurance Applicable to CSI

40. In applying for CSI funds, the AAA understands and agrees that:

- A. **Congregate Services:** "Congregate services" shall mean services for older adults which are provided by a public or private non-profit agency in community settings at which older adults come together for services and activities that respond to their diverse needs and interests.
- B. **Direct Provision of CSI Services:** The AAA may subcontract with public agencies, municipalities, not-for-profit agencies or such other entities that provide congregated services. The AAA may not directly provide a service under CSI unless granted a waiver by the Director of NYSOFA. Approval of direct service provision will only be given if the service was directly provided prior to approval of the 1994-95 Area Plan, or direct provision is necessary due to the absence of an existing suitable provider or to ensure the quality of the service provided.

- C. **Multi-County Partnerships:** Two or more counties may join together for the purpose of implementing CSI through a written agreement between the cooperating AAAs.
- D. **Matching Funds:** Under CSI the AAA will provide matching funds equal to 25% of its CSI costs. The allowable forms of match are the same as those permitted under CSE and EISEP. In-kind salaries and rent are allowable. State funds and local funds used to match other State or Federal funds are not allowable as match. The local match can be entirely new match or local funding formerly used to match the local Recreation Program for the Elderly.
- E. **Administration:** The AAA shall budget no more than 5% of CSI funds (State Aid & Local Match) for AAA administration. The AAA agrees that it will expend no more than 5% of CSI funds for AAA administration.
- F. **Meal Costs:** Meal costs are not allowable under the CSI program.

Standard Assurances Applicable to NY Connects: Choices for Long Term Care

- 41. **NY Connects Cooperation:** The AAA agrees to cooperate with local social services offices in the implementation of the NY Connects Program as directed by NYSOFA. The AAA assures that it will report to NYSOFA on implementation of the NY Connects Program and work with other stakeholders to assess and implement local long term care reform.

Standard Assurances Applicable to Emergency Preparedness Plans

- 42. **Emergency Preparedness Plans:** The AAA agrees to develop and maintain a plan on how it will coordinate its activities, and develop long-range emergency preparedness plans, with local and State emergency response agencies, relief organizations, local and State governments, and other institutions that have responsibility for disaster relief service delivery within the PSA.

Standard Assurances Applicable to Mental Health Services

- 43. **Mental Health Services:** The AAA agrees to follow any policies developed by NYSOFA concerning mental health issues or services as they may pertain to older adults and to coordinate with NYSOFA and entities in its community to increase public awareness of mental health disorders affecting older adults, remove barriers to the diagnosis and treatment of such disorders and to coordinate mental health services available to older adults (including mental health screenings) provided with area aging funds with other mental health services available to older adults in its community.

44. **Standard Assurances Applicable to the Weatherization Referral Assistance Program (WRAP)**

Weatherization Referral and Packaging Program

- A. **Authority to administer WRAP Funds:** The AAA identified in this Application for Funding has the authority and the responsibility for effective implementation and/or administration of a WRAP program. This AAA agrees to carryout directly or through contractual or other agreements, programs in its planning and service area (PSA) as detailed in this Plan.
- B. **Multiple AAA Programs:** Two or more AAAs may join together through a written agreement between the cooperating AAAs for the purpose of implementing and/or administering the WRAP program.
- C. **AAA Responsibilities under WRAP:** In applying for and receiving WRAP funding, the AAA understands and agrees to:
- 1) **Outreach:** Assume responsibility for performance of outreach activities for older adults. The conduct of such outreach activities shall be designed to assure that eligible households, especially households with older adults, are made aware of the assistance available under WRAP and under any similar energy-related assistance available under subtitle B of Title VI (relating to Community Services Block Grant Program) of the Omnibus Budget Reconciliation Act of 1981, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of the Low Income Home Energy Assistance Act of 1981. Outreach activity may include the utilization of various news media to maximize the dissemination of energy assistance information. All outreach efforts shall be documented by the AAA.
 - 2) **Coordination:** Coordinate its WRAP activities in connection with similar and related programs administered by the federal government and the state, particularly low-income energy-related programs under subtitles B of Title VI (relating to Community Services Block Grant Program), of the Omnibus Budget Reconciliation Act of 1981, under the supplemental security income program, under Part A of Title VI of the Social Security Act, under Title XX of the Social Security Act, under the low-income weatherization assistance program under Title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which are administered under the Economic Opportunity Act of 1964 before the date of the enactment of the Low Income Home Energy Assistance Act of 1981.
 - 3) **Designated Staff Coordinator:** AAA shall designate an AAA staff member who shall be the coordinator of WRAP at the local level.
- D. **Reporting, Last Resort:** The AAA agrees to comply with the reporting requirements established by NYSOFA, including that Last Resort expenditures of more than \$1,000 per client require prior written approval by the NYSOFA Energy Unit and no more than \$5,000 of Last Resort funds shall be allocated to any one client. The \$5,000 is a lifetime benefit per client.

- E. The AAA shall ensure that whenever licensure or certification is required pursuant to either State or local law for the provision of services to be provided, the AAA and its subcontractors providing such services under the approved Application for Funding shall be so licensed or certified. Workers delivering services under this WRAP program must be appropriately qualified, selected, trained and supervised.

F. WRAP and Last Resort Contracts:

- 1) The AAA will formally enter into contracts in accordance with the Application for Funding and/or Supporting Budget Schedules contained therein. The AAA shall not execute a contract with a profit-making entity for the delivery of WRAP services until NYSOFA has approved the contract. All contracts shall be written in accordance with federal, state, and local standards and a copy of the fully executed contract (including budgetary information) shall be forwarded to NYSOFA no later than thirty (30) days after the execution date of the contract.

The AAA will maintain contracts for all subcontractors as well as supporting documentation for all vouchers from subcontractors.

- 2) The AAA agrees that all subcontracts funded under the WRAP program shall contain a provision that the work performed by the subcontractor must be in accordance with the terms of the WRAP program Application for Funding, and further agrees to make such Application for Funding available to its subcontractor for such purposes.

Standard Assurances applicable to the Health Insurance Information, Counseling and Assistance Program (HIICAP)

45. Health Insurance Information, Counseling and Assistance Program (HIICAP)

- A. The AAA agrees that the Project Narrative and Budget attached hereto are part of the Plan and may not be modified without the written consent of the New York State Office for the Aging (NYSOFA).
- B. The AAA agrees that it will not assign or transfer the rights or responsibilities it has with regard to the HIICAP program without the prior written consent of NYSOFA. If the AAA subcontracts the direct performance of the HIICAP program, including the HIICAP Coordinator, it retains primary responsible for satisfying the responsibilities set forth in this Plan and the AAA will include the responsibilities in the agreement with such subcontractor.
- C. In addition to providing general information about original Medicare and available Medicare Advantage options the program must cover, at a minimum, the following areas:
 - 1) Medicare eligibility, benefits, preventive services and claims filing;

- 2) Medicare Prescription Drug Benefit;
 - 3) EPIC and how it works with the Medicare prescription drug plans;
 - 4) Medicaid eligibility, benefits and spousal protections;
 - 5) Medicare Supplement insurance policy coverage, comparison information and claims filing;
 - 6) Long Term Care insurance and planning, including the NYS Partnership for LTC; and
 - 7) Other types of health insurance benefits (including employer, retiree, Medicare Savings Program benefits, “Extra Help”, etc.).
- D. AAA agrees to provide counseling to individual Medicare beneficiaries unable to access other channels of information or needing and preferring locally based individual counseling services.
- E. AAA will make counseling resources and locations locally accessible to low-income, dual-eligible, and hard-to-reach beneficiaries and will equip its counselors to provide in-depth, complex counseling and enrollment assistance on Medicare, Medicare Prescription Drug Coverage, Medicare Managed Care or Medicare Advantage Plans, EPIC enrollment and coordination with Medicare Prescription Drug Coverage.
- F. The AAA acknowledges that HIICAP is a volunteer-based program and will be operated as such. AAAs must increase and enhance the counselor work force and equip them to be proficient in the areas noted above. A list of all trained HIICAP volunteers and staff must be submitted to NYSOFA as part of the AAA’s application. In order to avoid a conflict of interest, an AAA will not allow individuals who are currently licensed as health insurance agents/brokers or have some other conflict of interest to volunteer for HIICAP in any capacity even if the individual is willing to sign a disclaimer stating that he or she will provide unbiased insurance counseling information to clients.
- G. The AAA will ask program volunteers whether or not they are licensed to sell health insurance products and the status of their current license.
- H. The AAA agrees to designate a HIICAP Coordinator to be responsible for the AAA’s performance under this Plan. The HIICAP Coordinator shall be the AAA’s representative and contact person for all HIICAP related issues including program and reporting.
- I. The HIICAP Coordinator(s) designated by the AAA will oversee the training and quality of service provided by all volunteers and staff. The Coordinator(s) annually will certify that volunteers have satisfied the annual training requirements. Significant training and support will be necessary to prepare counselors to help beneficiaries understand and enroll in new choices and benefits created by the MMA and subsequent Federal Laws such as the Affordable Care Act of 2010. The Coordinator will oversee and manage the inventory of

training and consumer education supplies.

- J. The AAA agrees that its designated HIICAP Coordinator(s) will attend HIICAP training, use all NYSOFA-prescribed HIICAP training material, participate in NYSOFA sponsored monthly coordinator and other conference calls.
- K. The AAA shall update the Security Plan originally submitted in the first year of the grant (9/28/92 – 9/27/93) describing steps undertaken to protect the confidentiality of all project related information that identifies individuals (hereafter referred to as client information). The Security Plan must specify that client information is confidential, that it may not be disclosed directly or indirectly except for purposes directly concerned with the conduct of the project, and that informed written consent of the individual be obtained for any disclosure not directly concerned with the conduct of the project. AAAs joining HIICAP for the first time shall provide a plan that outlines how they will protect client information. The Plan should be included in the application.
- L. The AAA assumes responsibility for the accuracy and completeness of the information contained in all technical documents and reports submitted.
- M. AAA agrees that it will submit quarterly performance reports as specified by NYSOFA on all HIICAP Client Contacts and Public & Media Events via the National SHIP reporting System at <http://shipnpr.Shiptalk.org>. The AAA agrees to complete the annual Resource Report on paper forms and send the completed report to NYSOFA.
- N. The AAA agrees to ensure the capacity to access Internet information via basic dial-up access at the minimum, with a high-speed connection preferred, including expanding and maintaining Internet capability at the local counseling levels. The AAA will have the capacity to send and receive a high volume of information (including training materials and Power Point presentations) through electronic mail (email) and through the Internet. The AAA assures that HIICAP counselors will have access to Internet-based information, training materials, counseling and enrollment tools.
- O. The AAA agrees to ensure adequate capacity to receive and properly answer and address all calls received through the NYS HIICAP Hotline (1-800-701-0501) as calls are automatically transmitted to the local AAA/HIICAP.
- P. Upon approval of this application and issuance of a Notification of Grant Award, the AAA is eligible to request an advance of up to twenty-five percent (25%) of its award. The AAA shall submit appropriate State Vouchers for reimbursement of expenses incurred in the conduct to this Agreement in such form as required by NYSOFA. The final voucher for expenses incurred in the conduct of this Agreement will be submitted to NYSOFA within sixty (60) days after the ending date of the grant period.
- Q. The AAA will include the express acknowledgement, “This publication has been created or produced by [county] with financial assistance, in whole or in part through a grant from the New York State Office for the Aging and the Centers for Medicare & Medicaid Services, the Federal Medicare agency.” on all new publications funded solely or in part

by HIICAP.

R. The New York State Office for the Aging has approved the following disclaimers that the AAA must use when disseminating HIICAP materials and/or advertising:

1) “The information provided by the Health Insurance Information, Counseling and Assistance Program is intended for the sole purpose of educating consumers in regard to the choices available for their health insurance needs. Particular emphasis is placed on understanding original Medicare. Nothing herein is intended nor should it be construed as an endorsement by the State of New York of any specific insurance product or insurer.”

2) If the above disclaimer is too lengthy for certain media items (i.e. flyers, small brochures, etc), the disclaimer below may be used as a substitute:

“New York State does not endorse nor recommend any specific insurance product or insurer; this program is solely intended to educate consumers about their choices.”

S. AAA will include references within the FY 2011 budget submission indicating how at least 5% of the HIICAP funding will be used to provide one-on-one pharmaceutical benefits counseling to dual eligible beneficiaries with mental disabilities. NYSOFA encourages HIICAPs to partner with community mental health centers to assist the centers in providing Medicare and Medicaid counseling for their clients.

T. AAA will provide information for a mid-term report (and other reports as required) to NYSOFA on clients served and activities provided under 2011-12 HIICAP grant with specific reference to those with mental disabilities.

Standard Assurance applicable to the Senior Medicare Patrol Program-SMP

46. AAA agrees to report activities funded through SMP via the <http://.shipnpr.Shiptalk.org> website indicating “fraud and abuse” as topics discussed with clients and at public events. AAA will complete and submit Reporting forms for all SMP events whether held in conjunction with a HIICAP activity or on its own. In addition, AAA agrees to report suspected Medicare fraud to the appropriate hotline for investigation.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

ATTACHMENT B

PRIORITY SERVICES EXPENDITURE REPORT

Instructions: Using actual expenditures for the period, October 1, 2010- September 30, 2011, submit this completed and certified report with the 2012-16 Plan. **To access the on-line expenditure report, return to the NYSOFA Budgeting and Reporting Systems Main Menu, click on CAARS Quarterly, select any period, and click "Go To Report". On the CAARS Quarterly Main Menu, under "Tools", click on "Go To Reports". Select beginning period October 1, 2010; Select ending period of September 30, 2011; then click Expenditures Report. A PDF version of the report will generate in a separate window for your review.**

Please see Guide for Completion

Column A: Include Title III-B expenditures (services dollars only - Federal, Non-Federal and Income) for:

Row 1. **Access** : transportation, outreach, information and assistance, case management

Row 2. **In-home**: personal care level II, personal care level I, home health aide, consumer directed in-home services, in-home contact & support, and caregiver services

Row 3. **Legal**: legal advice & representation by an attorney (including, to the extent feasible, counseling or other appropriate assistance by a paralegal or law student under the supervision of an attorney), and includes counseling or representation by a non-lawyer where permitted by law, to older adults with economic or social needs. (Also see 94-PI-52, 12/29/94.)

Row 4. **All Other Services**: necessary to sum total services dollars expended.

Row 5. **Subtotal**: all services dollars expended.

Row 6. **Over Match**: must be removed from total.

Row 7. Total: [T] should indicate all Title III-B services dollars with required match only. Be sure to subtract any over match.

Column B: To calculate the percentage of each Priority Service in Column A, divide each Priority Service Expenditure, on Column A by the total [T] Expenditure in Column A, Line 7.

If the percentage in Column B meets the minimum required percentage STOP do not continue.

If it does not, then continue in Column C. Include only the required amount from CSE and/or SNAP expenditures **required** to meet the Percentage in each of the Priority Services areas. (See instructions in Guide on how to calculate the minimum percentage amounts.)

Notes: [S] Include SNAP dollars for Access **only**.

[H] Include CSE dollars for Home Health Aide, In-Home Contact & Support and Caregiver Services **only**.

Column D: add Columns A and C for Lines 1, 2 & 3.

Column E: calculate the percentage of each Priority Service separately. For each priority service divide dollars for the combined III-B and CSE/SNAP amounts (Column D) by the sum of the III-B total [T] in Column A, Line 7, plus the Priority Service's amount in Column C.

Category & Minimum Required Percentage	(A)	(B)	(C)	(D)	(E)
	III-B Services Expenditures	Percent (A)/ [T]	CSE (&SNAP for Access)	Services Combined Total (A) + (C)	Percent (D)/ {[T] + (C)}
1. Access 20.0%			[S]		
2. In-Home 2.5%			[H]		
3. Legal 7.0%					
4. All Other Services					
5. Subtotal					
6. Over Match (-)					
7. Total	[T]				

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____

ATTACHMENT C

Program Design Modifications

All AAAs should carefully review this form and the Guide for Completion.

PURPOSE

All AAAs must complete Attachment C. Attachment C is intended for the AAA to alert and obtain approval from NYSOFA regarding: Major Changes; New Direct Services; New Activities; Plans for Multipurpose Senior Centers that are not included in the previous program period; and/or any changes that are being planned for periods covered by future Plans (e.g. an RFP to be held in SFY 2012-2013 that will result in a major change in services or providers in SFY 2013-2014).

Every AAA must complete the Certification Section of Attachment C whether or not any changes are anticipated.

Please be advised that program design modifications identified in Attachment C must be approved by NYSOFA before any expenditures can be obligated for such plans.

DEFINITIONS

Program Design Modification: Refers to a Major Change, New Direct Service or New Activity.

Major Change(s): Refers to a proposed change(s) in program design for SFY 2012-2013 from what NYSOFA has approved in the previous program period that will significantly impact older adults. It also refers to any planned change(s) for periods covered by future Plans that will have a significant impact on service delivery to older adults.

Significant Impact: The criteria for determining Significant Impact include:

1. The discontinuance of any service, or
2. Major changes in:
 - a. service location;
 - b. access to services;
 - c. service providers;
 - d. types of services being offered;
 - e. the manner in which services are provided;
 - f. service levels (changes of more than 20% in units or expenditures for any specific service); and,
 - g. changes in administrative operations (e.g.; a re-organization, a consolidation).

Please refer to the *Guide for Completion* for examples of 'Major Changes' and situations which are exempt from inclusion in this attachment.

New Direct Service: Refers to any service to be provided by the AAA directly (as opposed to being provided by a subcontractor) that has not been provided by the AAA.

New Activity: Refers to: Any new service or program.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

PROGRAM DESIGN MODIFICATIONS

For each proposed program design modification, select the relevant choice(s) from the drop-down menus below.

Select if actions proposed by the area agency or its subcontractors will occur during the funding period 4/1/2012-3/31/2013 Plan.

Service	
Funding Source(s)	
Type of Activity	
Period of Change	

Please describe the anticipated program design modification/s in the text box provided.

ACTIONS THAT MAY AFFECT FUTURE PERIODS

Select if any actions by the AAA or its subcontractors are anticipated for the 4/1/2012 – 3/31/2013 Plan period that may result in future program design modifications in future plan periods (see *Guide for Completion*).

Service	
Funding Source(s)	
Type of Activity	
Period of Change	

Please describe any actions identified that may result in program modifications in future program periods in the text box provided.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

CERTIFICATION

A box must be checked or an explanation must be provided.

The AAA hereby certifies that any Program Modifications or actions anticipated for the 04/01/2012-03/31/2013 Plan period that may result in Program Modifications during the 2012-2013 Program Year or a future program year: SHALL NOT result in a loss or diminution in the quantity or quality of the services (including all federal, state and locally funded services) provided, or to be provided as a result of direct provision of services by the AAA or any contractual or commercial relationship between the AAA and any non-governmental entity; and SHALL enhance the quantity, quality and maintain the integrity and public purpose of the services to be provided as a result of direct provision of services by the AAA or any contractual or commercial relationship between the AAA and any non-governmental entity.

If the above certification cannot be made, please explain in the text box provided. This would include reductions due to a loss of local, state or federal funding.

OR

The Area Agency on Aging does not anticipate any changes in its programs that may occur during the 2012-2013 Program Year or a Future Program Year and certifies that: If any change to its programs or services does occur during the 2012-13 Program Year or a future Program Year that causes or can be expected to cause a significant impact or major change in its programs or services, the Area Agency on Aging will notify the State Office for the Aging as soon as it becomes aware of such change and will submit an amended Attachment C for the then current Program Year if so directed by the State Office for the Aging.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

MULTIPURPOSE SENIOR CENTERS

Please describe any multipurpose senior centers that will be acquired and/or constructed using Title III-B funds for the 4/1/2012 – 3/31/2013 AIP period or future program periods in the text box provided:

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

ATTACHMENT D

Justification for Title III Carryovers and Title III Transfers

▶ **Transfers:** Provide justification for any transfer of funds within and among Title III programs. Transfers are limited to no more than 30% between Titles III-B and III-C and no more than 40% between Titles III-C-1 and III-C-2. Transfers are not allowed for Titles III-D or III-E.

▶ **Carryovers:** (Reference 88-PI-17, 3/24/88)

Titles III-B, III-C and Title III-E: Provide justification for carryover amounts in excess of 7.5%.

Titles III-D: Provide justification for carryover amounts in excess of 25%.

Targeting: Describe how excess carryover funds will be used for targeting (Reference 92-PI-30, 7/21/92) those unserved and underserved older adults individuals in greatest social or economic need, particularly those who are low income, low income minorities, rural residents, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.). For example, the following activities represent possible efforts to improve achievement of targeting goals: provision of linguistic interpretation services to persons with limited English proficiency or deaf persons, translation of informational materials for persons with limited English proficiency or development of Braille and audio materials for persons who are visually impaired, etc. Where the AAA targeting goals have not been met and the AAA will not use carryover funds for additional or expanded targeting efforts, please provide a justification including a description of the specific activities implemented by the AAA to meet targeting goals and outcomes.

AAA: _____
Original Date Submitted: _____
Date Revised: _____
Date Last Saved: _____

ATTACHMENT E

Fringe Benefits and Travel Reimbursement Policies

▶ **Fringe Benefits Policy:** A complete copy of the AAA's (or sponsor's) Fringe Benefit Policy must be submitted with the **Four Year Plan**. Include below the current fringe benefit rate for employees. Describe any changes from the 2008-2012 Fringe Benefit policy submitted with the 2008-12 Four Year Plan and submit a complete copy of the 2012 Fringe Benefit Policy.

2012-2013 Fringe Benefit Rate: _____ %

▶ **Travel Reimbursement Policy:** A complete copy of the area agency's (or sponsor's) Travel Reimbursement Policy must be submitted with the **Four Year Plan**. Describe below any changes from the 2008-2009 Travel Reimbursement Policy submitted with the 2008-2012 Four Year Plan and submit a complete copy of the 2012 Travel Reimbursement Policy.

▶ **Personnel Roster and Rent Allocation Schedule Adjustment:** Describe below any adjustments included in the adjustment line of the summary budgets for personnel costs, or the adjustment line of the supporting budget schedules for rental costs.

**Guide for Completion
of the Four Year Plan
2012-2016
and the
Funding Applications
for 2012 - 2013**

under

**Titles III-B, III-C-1, III-C-2, III-D, and III-E
of the Older Americans Act of 1965 as Amended,**

and the

**Expanded In-home Services for the Elderly Program,
Community Services for the Elderly Program,
Congregate Services Initiative,
Supplemental Nutrition Assistance Program,
State Transportation Program,
Caregiver Resource Center,
Health Insurance Information Counseling and Assistance Program, and
Weatherization Referral and Packaging Program**

Andrew M. Cuomo, Governor

Greg Olsen, Acting Director

GUIDE FOR COMPLETION

INTRODUCTION

These instructions are designed to assist Area Agency on Aging (AAA) staff in completing the Four Year Plan (which includes the annual applications for funding), hereafter referred to as the Plan. Also included in this *Guide for Completion*, hereafter referred to as the *Guide*, are instructions for the Personnel Roster, Equipment Schedule, Rent Allocation Schedule, and Subcontractor Roster.

The Four Year Plan consists of Pages 2 through 33 of the Plan package. The information on these pages should be completed to cover the entire four year period of this Plan. Pages 34 & 35, along with Page 1 and the Attachments, constitute the Annual Implementation Plan (AIP) for the first year of this Four Year Plan. The information on these pages should only cover the first year of this four year plan period.

OVERVIEW

1. Technology

All forms will be web-based, with the exception of the Plan Review and Approval signature page and the Standard Assurances signature page. These interactive forms will be available on the NYSOFA Budgeting and Reporting System on or about October 1, 2011. AAAs must complete these forms on the web and transmit them to NYSOFA through the same medium. This process is the same as that utilized for the 2011-12 Annual Implementation Plan and subsequent budget modifications.

2. Submission

AAAs are not required to submit hard copies of the entire Plan package to NYSOFA. However, AAAs are required to submit an original of the signed Plan Review and Approval page (Page 1) and signed certification page of the Standard Assurances (Page 50) to the State Office for the Aging, Division of Finance and Administration. The Plan must bear an original signature in **blue ink**. **Note: Only the certification page of the Standard Assurances must be submitted.**

3. Content

OVERVIEW OF PLAN CHANGES:

The content of the 2012-16 Four Year Plan is similar to that of the 2008-12 Four Year Plan and the 2011-12 AIP. However, there are some differences. The following is a summary of key areas in which there have been changes:

Changes in the Standard Definitions are reflected in the Plan.

Demographic Data/Targeting: (Pages 4 & 5) The definition of targeted groups has been updated here and throughout the documents. Question 5 regarding how AAA plans to provide linguistically accessible services to persons with limited English proficiency has been added.

Needs Assessment: (Pages 6-8) Technical Assistance Memorandum 11-TAM-01 has been issued to assist with this process. Question 2 has been expanded to ask about specific data collection methods selected as strategies for reaching targeted groups.

Contributions and Cost Sharing: (Page 12) This section has been expanded to include a question on cost sharing under EISEP and CSE for EISEP-like services for which cost sharing applies.

Legal Services: Case Priorities (Page 14) The menu list of case priorities for legal assistance on this page has been substantially revised to include areas of the law with which older adults least able to obtain legal assistance elsewhere may need advice and representation in order to maintain their independence, financial security, dignity and choice. Two of the category titles have been changed (i.e., “Income/Nutrition/Benefits” is now “Income Maintenance and Benefits” and “Guardianship/Abuse/Neglect” is now “Individual Rights”). In addition, some case priorities have been moved to a different category. There are also some new additions to the menu of case priorities, including unemployment, veteran’s benefits, utility shut offs, eviction, employment (e.g., duties of the older adult when they employ a person to assist with activities of daily living) and permanency planning on behalf of adult children with disabilities.

Public Hearing Section: (Pages 15-17) Program Instruction 11-PI-06 has been issued to assist with this process. An additional question on efforts used to seek input from targeted groups has been added.

Nutrition Services: (Pages 18-22) Three narrative questions have been added to the Plan to provide NYSOFA with a comprehensive overview of how the AAA plans to address the nutritional and preventive health needs of older adults in the service area. Question 1a asks AAAs to describe plans for:

- meeting nutrition service requirements (meals, nutrition education, nutrition counseling, screening and assessments as appropriate),
- strengthening or expanding service,
- offering greater participant choice or control,
- addressing cultural considerations of participants and,
- responding to the needs of targeted populations including Native Americans.

Question 2b asks AAAs to describe how they will provide the health promotion services identified in question 2a, including local partners, special grants, etc. Question 3 calls for AAAs to describe how they integrate chronic disease management and physical activity and fitness with nutrition activities to help older adults maintain healthy lifestyles.

Title III-E: New York Elder Caregiver Support Program (Pages 23 & 24) The first sub-question under item 2 “Optional Components of the Title III-E Caregiver Support Program” was eliminated. This question asked about “services to caregivers of persons with disabilities who are 60 and over”. This change was made because such individuals are included in item 1.

Changes were also made to the *Guide* to remind AAAs that they can serve caregivers caring for a person of any age with Alzheimer’s or a related disorder, and older caregivers caring for an adult between the ages of 19-59 with a disability.

Service Delivery Resource Allocation Plan: (Page 34) The “Number of Individuals to be Served” has been added.

Standard Assurances: (Page 50) There have been numerous changes to the order of the standard assurances and some changes to the content of the standard assurances. A major reason for these changes was NYSOFA’s interest in streamlining the document through centralizing all of the provisions pertaining to contracting, terminations and administrative responsibilities (e.g., vouchering) that apply to all of the programs covered under the plan. For example, the assurances that pertain to the relationship between the AAA and its contractors have been centralized into Standard Assurance 10. In the previous versions contract related assurances were included in the program specific assurances resulting in duplication. *Please note that for Standard Assurance 10.1 I 1), NYSOFA submits this information to AoA based on the Subcontractor Roster that each AAA includes in its Plan.* Standard Assurance 10.2 and 10.3 provide provisions to be included in the AAA subcontracts to facilitate compliance with the requirements of the Older Americans Act. Standard Assurance 23 “Terminations” has been substantially revised; however, the revisions are designed to clarify the rights and responsibilities of the AAA and NYSOFA. In

addition, a standard assurance has been added for the Legal Assistance Program (see Standard Assurance 27 B) and one has been added for the Senior Medicare Patrol Program (see Standard Assurance 48).

GENERAL COMMENTS

Accuracy and Completeness: Applicants should read this *Guide* thoroughly to make certain all questions on the documents are answered completely and in sufficient detail. If you have additional questions concerning the completion of any item(s), you should contact the Aging Services Representative (ASR) or Grants Management Budget Specialist 2 (GMBS2)/Senior Accountant (Sr. Acct.) assigned to your AAA.

ANNUAL IMPLEMENTATION PLAN

Cover Page

Complete the following:

- Name and address of the AAA.
- Name and address of the Chief Executive Officer of the county or other sponsoring organization (i.e., person who should get copies of approval and award letters).
- Name and address of the official authorized to receive payment from this Office.

PLAN REVIEW AND APPROVAL (Page 1)

- Complete the program period for the AAA's Title III-B program.
- Check appropriate box for each program for which the AAA is applying for funds.
- AAA director must sign and date using blue ink.
- For those AAAs sponsored by an organization other than county government, the sponsoring agency executive must also sign and date.

LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL (Page 1)

In accordance with the New York State Elder Law, the Chief Executive Officer/Chairman of the Governing Board of each county, City of New York or Native American Organization must approve the submission of the application for funding under the Community Services for the Elderly and/or Expanded In-home Services for the Elderly Programs.

- On the first blank, enter the name of the Chief Executive Officer/Chairman of the Governing Board.
- On the second blank, enter the names of the County/City of New York/Native American Organization.
- On the third blank, enter name of the AAA.
- Check the box for the program(s) for which the AAA is applying.
- Using blue ink, obtain the signature of the individual listed on the first blank, and date.

GOALS (Page 2)

The goals listed are based on those identified by the Administration on Aging in their Strategic Plan for 2007-2012. AAAs also have an option of adding additional goals based on unique local priorities. If an additional goal is added use the appropriate section of the plan to enter this information. AAAs should identify key activities that will be undertaken in their county to achieve each goal and the rationale for this approach.

DEMOGRAPHIC DATA AND TARGETING OBJECTIVES (Pages 4 & 5)

NOTE: Use census data for limited English proficiency for 3.h)

- Column A, Lines 1 and 3 a-q, includes preprinted most current census data for the number of persons residing in the PSA who are aged 60 and older.
- Column B, Lines 1 and 3 a-q, includes preprinted Client data for SFY ending March 31, 2011. Note this data is for registered (cluster 1 & 2) clients only.
- Column C, Lines 2 and 3 a-n, requests the number of those persons projected to be served during the 2012-2013 Plan year by the AAA and its subcontractors. For Lines 3 a-n, the entries will not represent unduplicated counts for projected client data. It is expected that individuals will often fall into more than one of the categories.

Program Instruction 92-PI-30, dated 7/21/92, on targeting provides an example for calculating target group figures. This example for calculating planned targeting objectives is repeated below:

If a Planning and Service Area (PSA) has 10,000 older adults of whom 500 belong to a particular target group, then that target group represents 5% of the general older adult population. If an AAA plans to serve 1,000 older adults within its PSA, targeting efforts should ensure that at the minimum 50 (5% x 1,000) members of the target group are included among service recipients. If using this method results in a fraction, please round up to the nearest whole number, that is, person. Apply the formula to those unserved and underserved older adults in greatest social or economic need, who are low income, low income minorities (includes Hispanics, Native American/Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders), rural residents, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities.

92-PI-30 further states that "Area Agencies must strive to serve members of target groups in substantially higher percentages than their representation in the general older adult population of the PSA."

4. a. *Specify the planned targeting activities for this four year period at the system, program and client levels. Indicate how these activities and changes are designed to increase participation of unserved and underserved older adults in greatest social or economic need, particularly those older adults who are, low income, low income minorities, rural residents, older adults with limited English proficiency, Native Americans, those at risk of institutionalization and persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.).*

This section should describe the AAA's comprehensive 4 year plan for outreach and service delivery to targeted groups.

4. b. *If the AAA did not achieve targeting objectives set forth in its 2011-12 Plan, this item should describe how the AAA will modify its targeting activities in 2012-13 to improve its efforts to reach older adults most in need as described in 4.a., above. (In determining whether past targeting objectives were achieved, see QUARTERLY STATUS REPORT - Demographic Information (36A). For information on NYSOFA's targeting policies, refer to Program Instruction 92-PI-30.)*

This section should discuss those areas where the AAA did not meet its targeting objectives in the prior period, and how targeting activities and service design have been modified to improve achievement of targeting objectives. Please provide specifics.

5. *Specify how the AAA plans to provide outreach and language accessibility to persons with limited English proficiency who may seek services (e.g., contracted interpreter/translator, community organization links for translation, interpretation services, language interpretation phone line, etc.).*

This section should discuss how the AAA will provide language assistance in outreach and delivery of services to persons with limited English proficiency. The AAA should assess, as accurately as possible, the frequency with which they have or *should have* contact with limited English proficiency individuals from different language groups that may seek assistance. The greater the number or proportion of persons with limited English proficiency in the AAA's PSA, the more likely language services are needed. The Federal (AoA/HHS) **Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons** advises recipients of federal funds to assess language needs and decide what reasonable steps they should take to ensure meaningful access for limited English proficiency persons. This Guidance also notes that even AAAs that serve limited English proficiency persons on an unpredictable or infrequent basis should determine what to do if a limited English proficiency individual seeks services under the program in question. For those areas with smaller limited English proficiency populations, this plan need not be intricate. It may be as simple as being prepared to use one of the commercially available telephonic interpretation services to obtain immediate interpreter services. AAAs are encouraged to review the federal Guidance referenced above to review the four factor analysis recommended by AoA (through the Health and Human Services (HHS) Guidance), and for other useful information. This Guidance may be found at the following link: <http://www.hhs.gov/ocr/civilrights/resources/specialtopics/lep/policyguidancedocument.html>

DEFINITIONS FOR RURAL AND LIMITED ENGLISH PROFICIENCY

Rural - A rural area is any area that is not defined as urban. Urban areas comprise: (1) urbanized areas (a central place and its adjacent densely settled territories with a combined minimum population of 50,000) and (2) an incorporated place or a census designated place with 20,000 or more inhabitants.

Limited English Proficiency- Individuals who do not speak English as their primary language and who have a limited ability to read, write, speak, or understand English may be limited English proficient, and may be eligible to receive language assistance with respect to a particular type of service, benefit, or encounter.

NEEDS ASSESSMENT (Pages 6-8)

In completing the needs assessment section of the Plan, AAA staff may find it helpful to review Technical Assistance Memorandum 11-TAM-01, "Service Needs Assessment, 2012-2016 Four Year Area Plan on Aging," dated January 27, 2011.

Questions 1, 2, and 3: Responses should reflect information about the structure and step-by-step process through which the AAA gathered and analyzed data about the needs of older adults and the resources available to meet these needs. In completing these questions, it may be useful to refer to 11-TAM-01 where the advantages and limitations of various data collection techniques are discussed.

Additionally, responses should specify what specific steps were taken to gather data from unserved and underserved older adults in greatest social or economic need, particularly those individuals who are:

- low income;
- low income minorities (*includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders*);
- frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.)
- rural residents;
- limited English proficiency;
- Native Americans;
- institutionalized; or at risk of institutionalization

Question 4: Provide a list of services that were identified as being most important for older adults to remain at home or return to their homes to participate in family and community life. For example, the needs assessment process may have shown that older adults and their caregivers rank home delivered meals as a very important service that enables them to remain in their homes.

Question 5: Provide a list of existing AAA services where an unmet need/gap has been identified, a best estimate of how many people you are unable to serve for each need/gap, the method used to quantify the unmet service need/gap, and the reason you are unable to provide the service. Codes are furnished on the form to identify the methods and reasons. If the AAA indicates a (g) "other" code in the methods column or a (d) "other" choice in the reasons column, use the "Other" column to identify the method or reason that is applicable.

AAA services generally refer to those service categories listed on Lines 1-20 of the Service Delivery & Resource Allocation Plan (Page 16). For example, the AAA funds a transportation program, but is not able to provide this service to a specific geographic area of its PSA due to a lack of transportation providers in that area. Through various methods, such as surveys, waiting lists, and/or local census data, the AAA is able to determine that there are approximately 20 older adults in that specific area who need transportation.

Using this scenario, the AAA might complete question 5 as follows:

Unmet Service Need/Gap: *Transportation*
Reasonable estimate of people unable to serve: *20*
Method: *Code (a) – survey.*
Reason: *Code (b) – lack of service providers.*
Other:

If the AAA did not identify any service needs/gaps, enter "none" in the first column titled "Unmet Service Need/Gap."

Question 6: Provide a list of any major local issues or themes identified through the needs assessment process.

Question 7: Self explanatory.

PROJECTED RESOURCE INVENTORY (Page 9)

List all "other resources," projected to be secured primarily through the efforts of the AAA to enhance community based services to older adults in the PSA. Do not include services provided under subcontract with the AAA.

For each provide the name of the Agency/Organization and the service provided. Where possible provide an estimated dollar value of these services.

MULTIPURPOSE SENIOR CENTER/DESIGNATED FOCAL POINTS (Page 10)

List the names and addresses of all designated Multipurpose Senior Centers/Focal Points including NY Connects /Aging and Disability Resource Centers (ADRC).

In the columns provide, check if it is a Senior Center and/or Focal Point, if the site receives Title III funds and an estimate of the funds provided. If a site is an AAA subcontractor, enter their subcontractor code.

SYSTEM DEVELOPMENT AND COORDINATION (Page 11)

This section contains four questions on system and coordination objectives and internal AAA functions. A section asks the AAA to describe its plans to coordinate activities with the local department of social services (LDSS) and other partners to provide I&A regarding long term care options. System-wide advocacy efforts should be included as well as activities such as:

- coalition building, including development of aging organizations as advocates;
- national, state and local legislative and regulatory issues;
- caregiver activities/informal support initiatives;
- changing community attitudes towards older adults and the aging process;
- monitoring, evaluating and commenting upon policies and programs affecting older adults;
- involvement with the private sector;
- revenue enhancement activities;
- collocation and out-stationing;
- designation of focal points in geographic areas where needs are greatest;
- development of new formal and informal interagency agreements with the public and private sectors;
- development and use of interagency planning and coordination councils and efforts to link AAA planning with other agencies' planning activities;
- development and utilization of volunteers; and
- efforts to involve "other resources" in the community including service organizations, non-profit agencies, faith communities, and the business community including public-private partnerships.

SERVICE/PROGRAM EVALUATION (Page 12)

Check all methods used to determine program results. AAAs should also consult Program Instruction 99-PI-20, Program/Fiscal Monitoring, dated August 5, 1999, for references to program evaluation for subcontractors and directly provided service activities.

A box has been added for "Provider/Contractor Reporting". This is to facilitate monitoring services of providers. For example, in the Legal Services Program, an attorney cannot give the AAA access to the client file because of the attorney rules of professional conduct. The attorney may be required to report without identifying the client, the types of services provided, the number of clients served, and the general outcome (e.g. referral to another agency for assistance, successful defense against eviction or assisted the person in obtaining the Medicaid benefits that were denied). There are probably other services for which monthly or quarterly reporting by the provider/contractor would be helpful.

CONTRIBUTIONS and COST SHARING (Page 12 & 13)

Specify AAA and subcontractor contribution policies and practices as they apply to OAA, CSE, EISEP, SNAP and CSI funded programs. Outline methods used to insure the voluntary nature, the confidentiality, and the security of these contributions. Note: A contribution policy is not required for Title VII and the NYS Long Term Care Ombudsman programs. Please note, as well, that the 2006 reauthorization of the OAA specifies that voluntary donations, at contribution levels based on actual service costs, shall be encouraged from individuals whose self-declared income is at or above 185% of the federal poverty line.

If the AAA has a suggested voluntary contribution schedule(s), check the box and forward a copy by Us Mail or Email to the ASR.

OAA §315(b)(4)(E) provides that the AAA “shall ensure that each service provider will use all collected contributions to expand the services for which the contributions were given”. Specify how the AAA will monitor use by the providers of contributions received consistent with the OAA requirement.

AAAs should consult Program Instruction 03-PI-05, NYSOFA Policy on Program Income, dated 4/22/03, for additional information on contributions.

A question on cost sharing has been added. In describing the process(es) for billing and collecting of cost sharing, please be sure to identify the entity(ies) responsible for billing and collecting the cost share, the billing time period and the procedures for collecting past due cost sharing and, if necessary, for discharging the client due to lack of payment of cost share. AAAs may want to consult Program Instruction 90-PI-51 which covers both EISEP Hearing Standards & Standards for Collecting Past-Due Cost Share.

LEGAL SERVICES-CASE PRIORITIES (Page 14)

Legal Assistance provided under Title III-B of the Older Americans Act is part of the essential core of AoA’s legal assistance and elder rights programs. It is an advocacy program established to provide older adults, particularly those individuals with greatest economic or social need, with legal advice and representation, including representation in court, by attorneys participating in the program. The program can provide important assistance for older adults in accessing long-term care options and other community-based services. It can also protect older adults against direct challenges to their independence, choice and financial security.

A goal of the legal assistance program is to have a clear and direct positive effect on the ability of older adults to stay independent in their homes and communities, with optimized choice and individual autonomy, for as long as possible. The AAA and the provider(s) of Legal Assistance are encouraged to establish additional goals for the program that are more specific.

In this section of the Plan the AAA, in consultation with the provider(s) of legal assistance is to identify the priority legal services based upon the program goal(s) and an assessment of the needs of the older adults, especially those with greatest economic or social need, living in the PSA. The AAA must allocate program resources in areas which will concentrate the services on older adults least able to obtain legal assistance elsewhere. Case priorities must be determined so as to not duplicate services available from other sources and to fill existing gaps in the availability of services to older adults with the greatest need. This page of the Plan provides a menu list of case priorities for legal assistance.

Identify and check the issues which apply and also indicate if the legal assistance provider(s) for the PSA was consulted to help select the priority issues. When completing this section, please refer to the Program Instruction 94-PI-52 “Statewide Standards for the Delivery of Legal Assistance to Older New Yorkers”, dated December 29, 1994.

PUBLIC HEARINGS AND AREA AGENCY ON AGING ADVISORY COUNCIL (Pages 15-17)

In preparing the public hearing and presentation to the advisory council please refer to 11-PI-06. This recent program instruction is intended to assist area agencies in holding a better public hearing and involve more of their community in services for older adults.

Questions 1a-d: List the location, date and number of individuals attending each of the public hearings which were conducted for the 2012-13 Plan.

Question 1e: For New York City only, please note that section 214 of the Elder Law requires that at least one public hearing be held within each county contained within the City of New York.

Question 2: Summarize efforts undertaken by the AAA to obtain input from older adults who lack access to public hearings or other opportunities to provide feedback to the AAA on available services, service priorities, etc. In particular, note outreach efforts to obtain feedback from those unserved and underserved older adults in greatest social or economic need, particularly those individuals who are, low income, low income minorities, rural residents, older adults with limited English proficiency, Native Americans, those at risk of institutionalization and persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.)

Question 3: Describe how the AAA notified older adults, service providers and the general public of its public hearing(s) in conjunction with the 2012-2013 Plan. Note, too, efforts made to provide interested parties with the opportunity to testify (for example, holding a hearing during evening hours to provide employed caregivers with an opportunity to testify).

Question 4: Self explanatory

Questions 6: Self explanatory

Please note that the Area Plan must be submitted to the AAA Advisory Council and the Advisory Council be given an opportunity to comment before submission of the Plan to NYSOFA.

AREA AGENCY PROGRAM AND SERVICE INFORMATION (Pages 18-22)

Complete this form for services the AAA intends to administer during this plan period. Please refer to Program Instruction 11-PI-03, "Standard Definitions for Services and Units of Service", dated April 5, 2011.

1. **Nutrition Services - Section A** Nutrition Services funded under Title III-C including Title III-E, SNAP, CSE, EISEP, Other:

Note: Attachment C should be completed as necessary.

1a. The summary should provide a clear, concise statement of how the AAA will operate the nutrition program and what the AAA wants to achieve in the plan period. The following elements should be included:

- number of congregate sites, food preparation kitchens and number of HDM routes;
- general staffing (paid and volunteer) and the use of Registered Dietitians(s) to provide training, technical assistance and monitoring to assure that meals meet the required Dietary Guidelines and DRIs; to assure quality nutrition education and nutrition counseling to those assessed as nutritionally at risk and to assure compliance with all state and local laws regarding food safety;
- special programs such as Senior Farmers Market Nutrition Program, and Medicaid Waivers such as LTHHCP;
- local initiatives to improve or increase access to healthy foods, including new or non-traditional services such as mobile markets; and
- ways to provide choice or control for recipients of nutrition services (for example, special menus or services such as salad bars or dinner meals; restaurant voucher option).

The summary should also include:

- a description of changes in overall operation based on analysis of service area demographics and population distribution including targeted population(s), workforce availability, public hearings and other needs assessment methods
- an indication of how the AAA proposes to alter its emphasis on components of nutrition services or mix of services in the Plan to respond to changes in the PSA. For example, this might include identifying ways the AAA plans to expand or strengthen nutrition services in its area. Or, it might include making a choice to serve more meals to fewer people or shifting more emphasis to HDMs because of an increase in the number of older more frail clients or finding ways to offer nutrition services that will help increase revenue or income.
- a description of planned efforts to increase participation of targeted populations such as adapting or offering menus to reflect cultural preferences, hiring of multi-lingual staff and locating new sites in communities which have significant numbers of targeted individuals. Also include any cultural considerations used to increase participation. Explain local efforts to increase participation of Native American residents in the PSA or efforts to work collaboratively with local Native American tribes. In addition, indicate how the AAA plans to coordinate Title III services with Title VI services (if applicable).
- a statement of any special challenges concerning nutrition services the AAA anticipates occurring during the period of this Plan and what actions are planned to address them.

1b. Changes to meal and food preparation sites:

This question applies to any anticipated changes being considered during the Plan Year.

Check the appropriate box. If yes is checked, complete the information about the planned operational changes noting the type of change (open, close or alter) and date the change is anticipated (quarter of the SFY) in the table.
Complete Attachment C as well.

1c. and 1d. Use of Registered Dietitians (RD):

The nutrition program requires a registered or registration-eligible dietitian to be on the staff of or working as a consultant for the AAA. Sufficient time and relevant resources must be budgeted for the position of RD to allow the AAA to implement a comprehensive nutrition service plan. The dietitian must be employed for an adequate number of hours to perform all necessary job duties related to assuring the overall health and safety aspects of program operation (including but not limited to menu planning, meal preparation, meal service and delivery) as well as duties related to nutrition screening, counseling and nutrition education. The level of RD service hours per week is determined in consultation with NYSOFA but in no case may be less than eight (8) hours per week. [Sect. 6654.10 (g)] Technical Assistance Memorandum 92-TAM-3, dated 2/26/92, can be used to determine if the current staffing level is adequate.

1c. Enter the total number of hours per week that a RD performs the activities as outlined in Technical Assistance Memorandum 92-TAM-3, dated 2/26/92. If the nutrition provider also has a RD who performs some of the activities outlined in 92-TAM-3, include those hours in the total.

1d. Enter the total hours of RD services that will be provided by a RD who is on staff or a consultant to the AAA. Do not include hours of the RD who is employed by a nutrition or meal program provider.

1e. Check the appropriate cell in the table provided. If there is a vacancy of more than three months' duration and the YES box is checked, provide information on the AAA's plans for filling the position and the date by when it is projected this will occur.

2. Health Promotion Services funded under Title III-D, CSE, CSI, EISEP, Other and the Chronic Disease Self Management Program (CDSMP):

Note: Title III-D guidelines require that at least the amount of funding specified by NYSOFA be used to provide medication management activities. (See Program Instruction 01-PI-12, dated May 30, 2001.)

2a. Check the appropriate box(es) indicating which health promotion activities the AAA intends to provide with Title III-D, CSE, EISEP, CSI or other funding. If the other box is checked, provide a brief description (50 character limit) of the health promotion activities that will be implemented and why the AAA chooses to do this in addition to medication management and other items that have been checked. OAA Sect 102(14) defines "disease prevention and health promotion services": To see this definition go to:

http://www.aoa.gov/AoARoot/AoA_Programs/HCLTC/Evidence_Based/index.aspx#evidence

2b. Summarize what program services will be provided and how they will be provided including local partnerships and special grants. Place special emphasis in the summary on Medicare Preventive Services such as flu and pneumonia shots, mammogram and prostate screening, diabetes management; falls prevention; osteoporosis and physical fitness. Priority should be given to providing these services in areas that are medically underserved and in areas where there are large numbers of older adults who have the greatest economic need or who have limited English proficiency.

2c. NYSOFA suggests that AAAs use Title III-D funding to expand the use of evidence-based disease prevention programs (EBDP). For information about evidence based programs that the Administration on Aging promotes please see the following web site:

<http://www.healthyagingprograms.org/content.asp?sectionid=32>

2d. Using the table provided, indicate the evidence-based disease prevention programs that the AAA supports will fund or otherwise will implement during this planning cycle. See the table included for a list of AoA approved and/or Stanford University- developed evidence-based disease prevention programs.

Please specify the date the project was begun or is expected to begin, the partners with whom the AAA is collaborating, target population, and the estimated number of participants.

3. Describe the AAA's work to link and coordinate activities supported with Title III-C and Title III-D funding emphasizing ways local programs help older adults develop and/or maintain healthy lifestyles. Include in the summary ways that local programs integrate physical activity or fitness programs with nutrition services (for example, "Eat Better, Move More"; continuation of "You Can" campaign type activities). Emphasis should also be placed on ways that the links and coordination address chronic health conditions such as heart disease, obesity, diabetes, arthritis or activities that specifically address a high prevalence disease rate in the PSA (for example: offering evidence-based programs to nutrition program participants.)

Title III-E: New York Elder Caregiver Support Program – Section B (Page 23 & 24)

1. Services for Caregivers of Older Adults Who are 60 and Over and Caregivers for Individuals of Any Age with Alzheimer's disease or Related Disorder. The purpose of this chart is to document the intent to comply with the requirement that at least one service under each service category (i.e., information; assistance; counseling, support

groups and training; respite and supplemental services) is available to caregivers as part of the AAA's caregiver program. Please notice that this chart also reflects any services that the AAA plans to provide to caregivers caring for someone younger than 60 with Alzheimer's disease or a related disorder. Since the 2006 amendments to the OAA, AAAs could serve these caregivers in their program. For each service the AAA plans to provide with Title III-E funds, check (✓) the III-E column. Complete the columns headed "Other" and "Identify" for the applicable services **only** when the AAA is using other funding sources (i.e., not Title III-E) to meet the requirement noted above.

AAAs may find the information and documents on the Caregiver Program page on AAARIN helpful as it completes this section.

2. Optional Components of Title III-E Caregiver Support Program

This section covers services to older caregivers, who are not the parents, caring for a child. The child may or may not have a disability. It also covers services to older caregivers, who are not the parents, caring for an adult with a disability who is between the ages of 19-59.

These caregivers are generally underserved across the state. Title III-E funds may be used to serve them. NYSOFA strongly encourages each AAA to consider utilizing some of their Title III-E funds to help communities address needs of these caregivers.

Please note the elimination of the item covering "services to caregivers of persons with disabilities who are 60 and over" from the 2011-12 *Guide*. This change was made because such individuals would be included in question 1.

Entries require that a check (✓) be placed for each special population listed and the specific services to be provided only if the AAA's III-E plan is designed to serve these populations. If the AAA does not plan to provide services to any of the two special populations listed, check the first box, noting that these services are not applicable.

Note: To the extent possible, the information in the "Title III-E" column on Page 34 should be consistent with the information included in this section of the Plan on the caregiver program and completed using the chart below. For example, if an AAA noted in this section that it will provide Personal Care Levels I and II as respite services, then Lines 1a. and 1b. in the "Title III-E" column on Page 34 would be completed. However, there are instances where the specificity in this section is not available on Page 34. For example, while social adult day and adult day health are listed in the chart on Page 23, the service on Page 34 is adult day services; thus an AAA that noted that it plans to provide social adult day and/or adult day health on Page 23 would complete Line 5 on Page 34.

Please note that "public information" included under the services category "information" in question 1 of this section would be included on Line 21 "Other Services" on Page 34. This is similar to where "public information" that is planned to be provided under other sources would be included.

The following chart is designed to provide further guidance in this area.

Service as Listed on Pgs. 23-24

Service as Listed in Title III-E Col. Pg. 34

Information:

Outreach	Outreach (Line 14)
Public Information	Other (Line 21)*

Assistance:

Information & Assistance	Information & Assistance (Line 13)
Case Management	Case Management (Line 6)
Other, specify:	Other (Line 21)*

Counseling/Support Groups/Training:

Counseling	Caregiver Services (Line 19)
Support Groups	Caregiver Services (Line 19)
Training	Caregiver Services (Line 19)

Respite:

Personal Care Level I	Personal Care Level I (Line 1.b)
Personal Care Level II	Personal Care Level II (Line 1.a)
Home Health Aid	Home Health Aide (Line 3)
In-Home Contact & Support	In-Home Contact & Support (Line 15) (Supervision of Care Receiver & Friendly Visiting)
Social Adult Day	Adult Day Services (Line 5)
Adult Day Health	Adult Day Services (Line 5)
Overnight Adult Home	Other (Line 21)*
Overnight Nursing Home	Other (Line 21)*
Other, specify:	Other (Line 21)*

Supplemental:

Personal Emerg. Response System	Personal Emerg. Response System (Line 18)
Equipment	Other (Line 21)*
Home Delivered Meals	Home Delivered Meals (Line 4)
Transportation	Transportation (Line 10)
Legal Services	Legal Assistance (Line 11)
Assisted Transportation	Assisted Transportation (Line 9)
Home Modification	Other (Line 21)*
Other, specify:	Other (Line 21)*

***“Other” services must also be described on Page 32 or 33.**

General Rule:

Defined Services: are those defined in the Standard Definitions 11-PI-03. These defined services are shown on Pages 34 & 35, lines 1-19 of the Plan.

“Other” Services: are those NOT defined in the Standard Definitions 11-PI-03. These “other” services are NOT shown on Pages 34 & 35, lines 1-19 of the Plan.

If a service that the AAA is going to provide is a service that is defined on lines 1-19 then it needs to be placed on the appropriate line in the III-E Column.

For Example:

- The AAA provides Assisted Transportation as a supplemental service under III-E. As Assisted Transportation is listed on Page 34 on line 9, the Units & Funding should appear on line 9 in the III-E Column.
- The AAA provides “Grab Bars” as a supplemental service under III-E. “Grab Bars” are considered equipment. There is no corresponding line on Page 34 for equipment. Therefore the Funding would appear on line 21 in the III-E Column.

State Funded Caregiver Resource Center (only applies to AAAs with NYS funded CRC programs: Broome, Cattaraugus, Clinton, Cortland, Fulton, Genesee, Madison, Monroe, Nassau, Onondaga, Orange, Putnam, Rockland, Steuben, Sullivan, Tompkins & Westchester) - Section C (Page 24)

Checkboxes have been provided in this section for AAAs to indicate if there is a designated location for the CRC (such as a room in its suite of offices in the county office building) and to indicate the specific service activities that it plans to carry out with 2012-2013 CRC funding. AAAs should also indicate if there are any special needs populations that will be served (for example, caregivers for older adults with developmental disabilities).

Caregiver Services Funded by Other Sources (e.g., Title III-B, CSE) - Section D (Page 25)

This section should be used to list planned caregiver activities that receive federal, state, local or private funding *other than* Title III-E or CRC funding. Place a check (√) in the appropriate boxes and/or briefly describe any activities for which there is no checkbox.

Health Insurance Information, Counseling and Assistance Program (HIICAP) – Section E (Page 26)

HIICAP will assist Medicare Beneficiaries to identify, understand and enroll in programs and plans, when eligible and appropriate, including the Medicare Prescription Drug coverage, Medicare Prescription Drug Low Income Subsidy (LIS) program, Medicare Advantage plans, Medicare supplemental insurance policies, Medicare Savings Programs, long-term care insurance and financing, and other public and private health insurance coverage options available to Medicare beneficiaries. HIICAP will provide this assistance and conduct related outreach when appropriate for new Medicare enrollees, Special Enrollment Periods (SEPs), and the Annual Enrollment Period. HIICAP should focus efforts on beneficiaries most in need of community-based, one-on-one counseling, considering the needs created by the diversity of Medicare beneficiaries in New York State, including the need for trained counselors who speak languages other than English.

This section of the Plan requires AAAs to complete eight questions on the activities that they plan to carry out during the next fiscal year related to Health Insurance Counseling which incorporate current CMS requirements. Counties are encouraged to provide enough narrative and program descriptions ensuring NYSOFA understanding of the program and thereby, facilitate approval.

Question 1: This question provides NYSOFA with an understanding of how the HIICAP program is structured and administered locally utilizing staff, sites and outreach efforts. Please be as detailed as possible in your response.

Question 2: Please describe any new initiatives the AAA has developed to reach out to Medicare beneficiaries. Include organizations you plan to work with.

Question 3: Provide information as required.

Question 4: NYSOFA would like to know how your office has managed, or plans to direct, the increased demand of HIICAP telephone assistance. For example, does the HIICAP program have an answering machine? Do you utilize volunteers or NY Connects/ADRC staff to answer the HIICAP phone line?

Questions 5: Provide the days and hours of operation that HIICAP is available to provide Medicare beneficiaries with one-on-one counseling.

Question 6: This question provides NYSOFA with information on your efforts to recruit volunteers. Be sure to include the names of any organizations that the AAA has partnered with to increase volunteer efforts.

Question 7 and 8: Provide information as required.

Senior Medicare Patrol (SMP) Section F (Page 27)

SMP's objective is to protect, detect and report Medicare and Medicaid fraud and abuse. The Program empowers older adults to protect personal identifying information such as social security and Medicare numbers, review their Medicare Summary Notices for improper billing and report suspected fraud to the proper authorities. Collectively, the work of the HIICAP/SMP helps older adults to be aware, protect vital information and report suspected wrong doing.

Question #1: Briefly explain how the SMP program will include fraud and abuse strategies in one-to-one counseling sessions, outreach events and training programs.

Question 2: Briefly describe any new or innovative strategies used in the SMP program.

Weatherization Referral and Packaging Program (WRAP) Section G (Pages 27-29)

WRAP Packages resources by bringing together many different but complementary services to provide an individualized, comprehensive, long-term solution to the energy problems of the frail and low income older adults.

Question 1: (Program Administration) Please explain any answers where "NO" has been checked.

Question 2: (Staffing) AAAs is required to have a designated a WRAP Coordinator on a year round basis, even if this staff member has other responsibilities.

Question 3: (Outreach) This target population should include vulnerable older adults who have trouble paying their energy bills, who may have accumulated unpaid bills and who have required emergency HEAP payments

Question 4: (Leveraging) Leveraged funds include cash or in-kind services provided by family members, the client, other agencies, volunteers, utilities and local businesses. Please explain any answers where "NO" was checked.

Question 5: (Subcontracting) A copy of the subcontractor agreement must be forwarded to NYSOFA.

Question 6: (Last Resort Funding) Last Resort funding is the amount of funding each county can set aside from their WRAP allocation to be used for urgent energy related repairs when no other funding or resources are available in the community. Requests for the use of these funds for \$1000 or over must be submitted to NYSOFA for approval on Form No. 264. Allowable repairs are listed in 08-PI-01.

Question 7: (Internal Controls) Describe in detail your internal control process for WRAP clients who utilize Last Resorts funding.

General Services Section H (Page 30)

For each service category (1-4), check the type(s) of activity that is/are typically offered by the AAA during the plan period. Insert a brief description regarding any other activities not listed in that service category.

Other NYSOFA Funding and Services Section I (Page 31)

Check the appropriate box for each NYSOFA funded program the AAA administers and enter the amount of funding anticipated for SFY 2012-13 on the line provided. For NYS funded Grants-in-Aid (GIA) programs, the AAA must indicate on which line(s) number(s) these funds are included in the “All Other Programs” column of the Service Delivery and Resource Allocation page. For all programs except GIAs, the appropriate line number(s) on which to include the various program funds is indicated in the far right column.

Note: Include both MIPPA and MIPPA/ADRC program funds on the same line.

NY Connects/ADRC funding associated with Long Term Care Councils should be included under Planning/Implementation/Admin. on Line 22.

Note: These entries do not constitute a program commitment, but instead represent planning for possible activity during the year.

Other Services Section J (Pages 32 & 33)

Enter the information for additional services provided by the AAA which will be included on Line 21 of the Service Delivery and Resource Allocation Plan. These are services that are not listed in the preprinted service categories (Lines 1-20) of the Service Delivery and Resource Allocation Plan or in “Section I Other NYSOFA Funding and Services”. For each entry follow the format provided. Be sure to include all required information including anticipated funding level and funding source(s). The online version of this section will allow an unlimited number of entries for this section. Examples of “Other Services” might include: public information, senior ID/discount cards, medical equipment loan programs, laundry service, home modifications, home maintenance and TRIAD/SALT (Seniors And Law Enforcement Together) councils. **The total funding included for these services, plus the funding included in “Section I Other NYSOFA Funding and Services” for ‘Line 21’ services, must equal the total amount included on Line 21 “All Other Programs” column of the Service Delivery and Resource Allocation page.**

SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN (Pages 34 and 35)

Note: You may find it helpful to enter information on Pages 34 & 35, off-line, before completing the web-based version of Pages 34 & 35.

The Service Delivery and Resource Allocation information is divided into two pages. The first page (Page 34) contains federal program information for Titles III-B, III-C-1, III-C-2, III-D, and III-E, as well as “Grand Total” columns for all federal, state and “All Other Programs” column. The second page (Page 35) contains state program information for the EISEP, CSE, CSI, and SNAP programs as well as sections for “All Other Programs” administered by the AAA and a breakdown of “Other” funding sources budgeted and administered by the AAA.

Note: Page 34 contains a “Grand Total” column for units and a “Grand Total” column for funding and a column for “Number of Individuals to be Served”. Entries in these columns must be the grand total of all of the columns on BOTH Pages 34 and 35 combined. That is, the grand totals should include all federal, state and other sources combined.

For each service to be provided:

- In the columns provided on Page 34, indicate with a check mark whether each service will be directly provided (Dir) by the AAA using paid and/or volunteer staff or the service will be provided through subcontract (Sub).

If a service is to be provided by both methods, check both boxes for that service. AAAs must provide justification for any new directly provided services on Attachment C (except for EISEP-funded Case Management Services).

- In the column provided on Page 34 estimate and enter the number of unduplicated individuals to be served for each service to be provided by the AAA.
- Estimate the number of units of service to be provided **by each funding stream**. These projections should be as accurate as possible and, where applicable, be based on experience. These projections are used as benchmarks for the Consolidated Area Agency Reporting System (CAARS), electronic Client Data, and annual evaluations. Please refer to the Standard Definitions for Services and Units of Service, Program Instruction 11-PI-03, dated 4/5/11, when completing these pages. The units of service and persons served are to reflect AAA administered (including subcontracted) services only. For example, do not include catered meals provided to non-participants.
- For all services on Pages 34 and 35, estimate the total cost of providing each service under each funding stream. Planned expenditures must be allocated to each program under which the AAA expects to provide services. Allocation of costs should be reasonable and consistent with the AAA's methods for allocating costs when requesting reimbursement. To determine reasonableness of cost, divide the cost of the service allocated to each funding stream by the units projected to be served by that funding stream. Generally, the unit costs should be the same for all funding streams. Make adjustments to projected units or funds as appropriate.
- For the "EISEP" column - the units and funding \$ cells in the "EISEP" column are open for many services to accommodate the changes that were made in the regulations for ancillary services that allow an expanded array of services to be funded. The additional services that can be provided as an EISEP- funded ancillary service are as follows:
 - Line 4. Home Delivered Meals
 - Line 5. Adult Day Services
 - Line 7. Congregate Meals
 - Line 8. Nutrition Counseling
 - Line 9. Assisted Transportation
 - Line 10. Transportation
 - Line 17. Health Promotion
- "All Other Programs" column (Page 35) - include the planned number of units of service and related funding for all other AAA administered funding and the funding source for each NYSOFA service category, regardless of the source. Be sure to include on the appropriate lines the other NYSOFA funded services listed in Section I of the AAA Program and Services Information section and the total amount of funds for all "Other Services", Line 21 from Sections I & J of the AAA Program and Services Information section.

Notes: Do not include the AAA's NSIP funds earned and expended in conjunction with NYSOFA funded programs (III-C, SNAP, CSE, etc.) in the cells under the "All Other Programs" column, Lines 4 and 7, Home Delivered and Congregate Meals, as these funds are now included in the individual program budgets. If the AAA provides additional meals funded with local or other sources of funding, the NSIP funds earned in conjunction with those meal programs, as well as all planned expenditures for those meal programs should be included in the "All Other Programs" column on Lines 4 and/or 7 as appropriate. Please contact your ASR or GMBS 2/ Senior Accountant if additional explanation or guidance is needed in this area.

The units of service, related expenditures and income for meals sold to a Long Term Home Health Care Program (LTHHCP), or any other buy/sell arrangements for meals, may be included in the AAA's Plan in the "All Other Programs" column of the Service Delivery and Resource Allocation Plan page. Meals sold to a LTHHCP, or any other buy/sell arrangements, are not eligible for NSIP reimbursement. AAAs must include the number of LTHHCP (or other non-NSIP eligible buy/sell meals) on the line provided at the bottom of Page 35.

Totals and tie-ins:

On the Federal Programs form (Page 34), entries in the "Grand Total Units" and "Grand Total Funding" columns represent the total of the individual program units and funding for each service added across all of the programs (i.e., federal, state and all other funding).

The total funding for each of the Titles III-B, III-C-1, III-C-2, III-D, and III-E programs should be reasonably close to the total amounts budgeted on the Application for Funding. However, due to the different time periods covered by the Applications for Funding versus the Plan, the total amounts for these programs do not have to match exactly.

The total funding for each of the EISEP, CSE, CSI and SNAP programs must equal the total amounts budgeted on the Application for Funding, Summary Budget, Page 39, Line 9 - Total Budget.

On the State & All Other Programs form (Page 35):

- The total of Line 21 of the "All Other Programs" column must equal the total of the Line 21 services in Section I plus any non-NYSOFA funded services included in Section J of the AAA Program and Services Information section.
- The amount included for LTCOP services, Line 20, must be greater than or equal to the total funding indicated for Title VII and State LTCOP in Section I of the AAA Program and Services Information section.
- The amount included for Information and Assistance, Line 13, must be greater than or equal to the amount of funding indicated for the Line 13 portion(s) of the HIICAP and NY Connects/ADRC programs in Section I of the AAA Program and Services section.
- The amount included for CRC services, Line 19, must be greater than or equal to the total funding indicated for State funded CRC in Section I of the AAA Program and Services Information section.

Note #1. Use of Title III-C Income for Access & Supportive Services: If an AAA budgets expenditures for supportive and/or access services under Title III-C, the amount of those expenditures by each III-C provider must be limited to the amount of contributions generated by the provider. These expenditures may not be funded with federal funds or funds used to match federal funds.

By policy, NYSOFA allows AAAs to fund nutrition related access and supportive services with Title III-C contributions:

- Title C-1--assisted transportation, transportation, information & assistance, outreach, shopping assistance, and senior center recreation & education
- Title C-2-- information & assistance, outreach, and shopping assistance

More than half of the State's AAAs fund one or more supportive services in this fashion.

However, if the actual expenditures for access and supportive services within the AAA's nutrition program exceed total income collected, AAAs risk disallowances and recoupment of affected funds. Thus, NYSOFA will continue the practice of carefully monitoring expenditures for these services on a quarterly basis in budgets, vouchers and CAARS reports to make certain they do not exceed total income collected.

Due to the risk of disallowances for overcharges, NYSOFA strongly encourages AAAs to consider implementing alternative approaches for funding access and supportive services during SFY 2012-13 and beyond.

- One option would be for an AAA to fund access and supportive services, now funded with Title III-C income, under its Title III-B budget. The AAA can then utilize the transfer provisions in the Older Americans Act to transfer up to 30% of Title III-C-1 and/or III-C-2 funding to Title III-B to cover these costs and avoid any decrease in funding available for existing Title III-B contracts or directly provided services. (All of the access and supportive services associated with enhancing nutrition programs are allowable under Title III-B.)
- Another option would be to consider whether the supportive and access services now charged to Title III-C could be transferred to the AAA's Community Services for the Elderly (CSE) budget. CSE, like Title III-B, is a very flexible funding stream under which all access and supportive services may be charged.
- AAAs that overmatch nutrition programs can move equal amounts of overmatch and costs for access or supportive services to Title III-B or the "Other" column of their Plan Service Delivery and Resource Allocation Plan.
- Many AAAs fund home delivered and/or congregate meals with local funds reflected in the "Other" column on the Service Delivery and Resource Allocation Plan. The costs for these meals may be moved into Title III-C and the costs for the access and supportive services may be moved to the "Other" column, an even exchange.

For additional information or assistance about implementing the above options for funding of access and supportive services, AAAs should contact their assigned ASR or GMBS2/Senior Accountant.

Note #2. Error checks have been added to the web-based version for Title III-B, III-C1, III-C-2, III-D, III-E, EISEP, CSE, CSI and SNAP.

Please note the EISEP related footnotes noted at the bottom of Page 35 as (d) and (e). Because adult day services can be provided as a non-institutional respite service or an ancillary service, and some services included under in-home contact and support can be provided as non-institutional respite and some as ancillary services, each AAA that includes adult day services and/or in-home contact and support in their Plan **must complete the footnotes** and indicate the amount of planned funds for each of these services that will be provided as non-institutional respite and the amount that will be provided as ancillary service. This is necessary for the automatic calculation check of the percentage of planned expenditures for ancillary services on Page 39. Please note that the sum of the adult day services funds allocated to non-intuitional respite and ancillary services must equal the amount on Line 5 in the "EISEP" column, and the sum of in-home contact and support allocated to non-institutional respite and ancillary services must equal the amount on Line 15 in the "EISEP" column.

For the "EISEP" column:

Line 5 enter the units of, and funding for, adult day services provided to EISEP clients as non-institutional respite and/or as an EISEP funded ancillary service. As described earlier, please note the footnote at the bottom of the page that must be completed.

Line 15 enter the units of, and funding for, in-home contact and support activities provided to EISEP clients as non-institutional respite (i.e., supervision) and/or ancillary services (e.g., shopping assistance). As described earlier, please note the footnote at the bottom of the page that must be completed.

Line 21 enter only funding for the ancillary services as included in Section I "Other NYSOFA Funding and Services" of the AAA Program & Services Information section. These "Other" ancillary services should be entered in the "EISEP" column, not in the "All Other Programs" column. (Only those services that do not fit on Lines 1-20 should be included here.)

**APPLICATIONS FOR FUNDING
AREA AGENCY SUMMARY BUDGET and SUPPORTING BUDGET SCHEDULES
(Pages 36-44)**

The Applications for Funding consist of three Summary Budget pages, one page for the federal programs: Titles III-B, III-C-1, III-C-2, III-D and III-E (Page 36), one page for the state programs: EISEP, CSE, CSI, SNAP, CRC, State Transportation (Page 39) and one page for the HIICAP and WRAP programs (Page 42).

Specific Program Requirements:

1. Enter the amount of budgeted expenditures for Title III-D for Medication Management at the bottom of Page 36. This amount is specified on the allocation schedules provided by NYSOFA.
2. Enter the amount budgeted for Title III-E Grandparents Caring for Children (do not include expenditures for grandparents and other older relatives caring for individuals with disabilities between ages 19-59) and Title III-E Supplemental Services at the bottom of Page 36.
3. The Federal Funds budgeted for Area Plan Administration at the bottom of Page 36 will be automatically calculated on the web-based version.
4. The In-Home Services and Ancillary Services percentages for EISEP at the bottom of Page 39 will be automatically calculated on the web-based version. (For information on how to manually calculate these percentages see EISEP Services Worksheet on Pages 33 & 34 of this *Guide*.)

Each page contains a space entitled “Date Revised” on the upper right corner which must be completed when preparing budget modifications.

The summary budget information is obtained from additional supporting budget pages, two each for federal (Pages 37-38), state (Pages 40-41) and the HIICAP and WRAP funded programs (Pages 43-44), as well as the Personnel Roster, Equipment Schedule, Rental Allocation Schedule and Subcontract Roster.

Enter the budgeted amounts for each program from the following categories on the Summary Budget.

1. Personnel

The personnel amounts for the applications for funding are taken directly from the Personnel Roster and are not shown on the supporting budget schedules.

Personnel Roster (Page 45)

The roster must reflect all AAA and sponsor positions funded either totally or in part through grants administered by NYSOFA. In-kind positions should be included on the roster. (Use an asterisk to identify in-kind personnel.) Title V (SCSEP) administrative staff should also be included; however, Title V enrollees should not be included. The roster reflects salary only; do not include fringe benefits. The roster period is the same as the fiscal year of the AAA. For example, if the AAA is sponsored by a county government which uses the calendar year as its fiscal year, then the roster period would be 1/1/12-12/31/12.

When completing the distribution of personal services costs to the various funding streams and cost categories, (i.e., between administration and services), the AAA must utilize the results of their monthly personal services time

studies as a basis for the distributions. AAAs should be careful to charge only appropriate personal services to the various categories regardless of any funding limitations for the various programs. If the results of time studies indicate that an AAA is over the allocation level (services, administration, or total) of a particular program, you may consider charging those additional costs to local funds or the more general Title III-B and CSE programs, if appropriate. If the results of time studies indicate that an AAA has more than allowable administrative costs under a particular program, you will need to absorb these costs at the local level or re-examine the number of positions or amount of effort spent on administrative activities.

In-kind positions at the AAA level should be included on the roster. In order to be considered in-kind, the service must be contributed by a third party (a party not receiving funds through NYSOFA grants) without charge to the AAA or its subcontractors. There must be a formal agreement with the party to make personnel available for a specified number of hours or percentage of time at no direct cost to the AAA.

The formal agreement must specify the personnel involved, including name, title, total annual salary, total fringe benefits, and the time allocated to the program (percentage of time and dollar amounts). There must be a traceable cash expenditure for personal services made by the contributing organization employing such personnel. The salaries must be paid from funds which are otherwise allowable as local matching funds in accordance with the applicable regulations. Individual time records must be maintained by the project. A copy of the formal agreement must be submitted to NYSOFA with appropriate application(s) for funding or within thirty (30) days of executing the agreement.

Instructions for Completion of Personnel Roster

For each employee, list his or her name, title, and annual salary. Please note: titles must be entered using the drop down box provided. (While we recognize that these titles may not exactly match the title within the AAA, please select a title that most closely reflects the individual’s position.) If a position is vacant, list the title and annual salary. The annual salary is the salary in effect at the beginning of the roster period. Pay raises scheduled to occur during the roster period will be reflected in the summary budgets under "Adjustments to Personnel Roster." Indicate with *** AAA staff designated or responsible for nutrition program oversight and/or operations.

The annual salary is allocated equitably among the various funding sources by both percentage and dollar amount. The dollar amount allocated to a column includes federal and/or state funds, income and matching funds. There are columns with preprinted headings for the major NYSOFA funded programs. The last column is labeled "Other Funding" and should reflect any portion of an individual's salary funded through another NYSOFA grant or any other funding source. The following codes should be used to identify other sources of funding:

1	Title VII	6	State Caregivers (CRC)	11	NY Connects/ADRC	16	Other, Specify:
2	Title V	7	State LTCOP	12	State Transportation	17	Other, Specify:
3	WRAP	8	Retired & Senior Volunteer Program (RSVP)	13	County Funds	18	Other, Specify:
4	Title III-D	9	State Respite Program	14	MIPPA	19	Other, Specify:
5	CSI	10	HIICAP	15	Other, Specify:	20	Other, Specify:

When entering an amount under the “Other Funding” column, please use one or more of the codes to identify the funding sources. The percentages shown for each position must add up to 100%. Also, the sum of the dollar amounts allocated to the various funding sources must equal the annual salary for that position. Salaries should be allocated in whole dollar amounts.

At the bottom of each roster page, insert the subtotal for each column on that page. On the first page only, complete the “Grand Total” line (equals the sum of the Subtotals). **NOTE:** The web-based version of the Plan automatically calculates this field.

Tie-in to Applications for Funding

When the roster is completed, the information is then used in the preparation of the Applications for Funding as follows:

- The “Grand Total” from the Personnel Roster for each program is carried forward to Line 1, Personnel, of the Summary Budget. In the case of Area Plan Administration, the grand total is allocated to Title III-B, Title III-C-1, Title III-C-2 and/or Title III-E on the Application for Funding.
- On the second line of the Summary Budget enter the anticipated adjustments (if any) to the personnel amounts from the Personnel Roster. Any adjustment(s) to the Personnel Roster must be explained on Attachment E. Two common situations requiring adjustments are pay raises scheduled during the budget period and vacant positions. If a pay raise is scheduled six months into the budget period, calculate the cost of the raise for the last six months and add that amount to the roster total. Likewise, if a position will be vacant for two months, determine the salary savings that will be realized during this period and subtract this amount from the roster total.
- On the third line of the Summary Budget enter the "Adjusted Personnel" amount which is the net amount of personnel costs to be charged to the program. **NOTE:** The web-based version of the Plan automatically calculates this field.

In summary, the roster reflects the personnel costs if salaries remain constant throughout the roster period and all positions are filled. Generally, AAAs will complete the roster only one time; the adjustments are used to determine the actual dollars needed for personnel costs during the budget period.

2. Fringe Benefits

The applications do not require a breakdown for each fringe benefit cost. Rather, the total cost of fringe benefits and the composite percentage is required for each program on the Summary Budget pages. Do not include the cost of vacation, sick leave, or other leaves in the fringe benefit category. The composite percentages listed on the Summary Budget should be computed by dividing the total fringe benefit cost by the total annual salary cost for each program. If the composite fringe benefit percentage for an individual program exceeds the maximum fringe benefit percentage included on Attachment E – Fringe Benefit Percentage by more than 15%, the reason for the deviation(s) **must** be explained on Attachment E.

3. Equipment

The equipment amounts for the Applications for Funding are taken directly from the Equipment Schedule and are not shown on the supporting budget schedules.

Equipment Schedule (Page 46)

This schedule must reflect all AAA equipment funded either totally or in part through grants administered by NYSOFA. (The equipment roster should not include items purchased for clients as ancillary services under EISEP.) The schedule period is the same as the fiscal year of the AAA. For example, if the AAA is sponsored by a County government that uses the calendar year as its fiscal year, then the schedule period would be 1/1/12-12/31/12. Funds may be used to purchase or lease equipment essential to the operation of the project. To be classified as equipment, an item must have a useful life of more than one year and a unit cost of \$1,000 or more. Transportation and delivery charges are a proper part of equipment costs. In the case of leased equipment include only those items for which the annual rental cost equals or exceeds \$1,000.

The budgeted cost for purchases of equipment items with a unit cost of less than \$1,000 must be aggregated and entered on the Maintenance and Operation section of the appropriate Supporting Budget Schedule, Line 5. Equipment Costing Less than \$1,000.

NOTE: Vehicle purchases may not be charged to the State Transportation Program.

Instructions for Completion of Equipment Schedule

For each piece of equipment with a unit cost or annual rental of \$1,000 or more, briefly describe the equipment item and list the quantity, unit price and total cost. The dollar amount allocated to a column includes federal and/or state funds, income and matching funds. There are columns with preprinted headings for each of the major NYSOFA funded programs. The last column is labeled "Other Funding" and should reflect any portion of an equipment item funded through another grant or any other funding source. The following codes should be used to identify other sources of funding:

1	Title VII	6	State Caregivers (CRC)	11	NY Connects/ADRC	16	Other, Specify:
2	Title V	7	State LTCOP	12	State Transportation	17	Other, Specify:
3	WRAP	8	Retired & Senior Volunteer Program (RSVP)	13	County Funds	18	Other, Specify:
4	Title III-D	9	State Respite Program	14	MIPPA	19	Other, Specify:
5	CSI	10	HIICAP	15	Other, Specify:	20	Other, Specify:

When entering an amount under the "Other Funding" column, please use one or more of the codes to identify the funding sources. The sum of the dollar amounts allocated to the various funding sources, columns 4 through 12, must equal the "Total Cost", column 3. The costs should be allocated in whole dollars.

Tie-in to Applications for Funding

When the Equipment Schedule is completed, the information is then used in the preparation of the applications for funding. The totals from the Equipment Schedule are carried forward to Line 3, Equipment on the Summary Budget for each program.

4. Travel

The travel category is not included on the Supporting Budget Schedules for any of the programs. Enter the total amount budgeted for travel costs including mileage, lodging, meals, public transportation, gas and oil and other travel costs under each program on the Summary Budget pages. The AAA's written policies governing travel reimbursement for employees, volunteers and advisory committee members must be submitted to the State Office for the Aging with the Plan. Attachment E must be completed to explain changes to the AAA's travel reimbursement policy during any of the annual updates.

5. Maintenance and Operations (M & O)

Before listing an amount for M&O on the Summary Budget, the Supporting Budget Schedule must be completed to identify the costs to be charged under M&O. This schedule includes a number of the most common charges incurred in this category. AAAs must list the budgeted amount for each item they expect to incur including:

- Rental costs from the Rent Allocation Schedule must be included on Line 5A
- Any adjustments to rent costs such as expected rent increases, vacancy or increases in maintenance charges must be included on Line 5B

- The aggregate cost of all equipment costing less than \$1,000 must be included on Line 5D
- Additional anticipated expenses not pre-printed on Lines 5A - 5J must be included on Lines 5K, 5L or 5M and must be specified as to the type of cost

Rental Costs (Lines 5A and 5B)

Two separate lines are included in the rent category to represent the total rental costs applicable to each program. Line "A. Rental Costs from the Rent Allocation Schedule" reflects the "Grand Total" amount taken from the Rent Allocation Schedule for each program. Line "B. Adjustments to Rental Costs" reflects any adjustments to the total rental costs, such as anticipated rental increase, anticipated increase in utility costs, etc.

The Rent Allocation Schedule must reflect all AAA rentals and related costs, i.e., rent, maintenance-in-lieu of rent (including utilities /janitorial services), funded either totally or in part through grants administered by the NYSOFA. The schedule period is the same as the fiscal year of the AAA. For example, if the AAA is sponsored by a county government which uses the calendar year as its fiscal year, then the schedule period would be 1/1/12-12/31/12.

Actual cash expenditures by grantees for space rental, maintenance, janitorial services and utilities are allowable. The rental cost of space in a privately owned building is allowable. For AAAs that are part of local government, rent for a publicly owned building can be charged only if a "rental rate" system that adequately reflects actual costs is employed. Any type of actual cost (e.g., maintenance or interest paid) included in rental charges may not also be charged elsewhere. In the case of sponsor (government or non-profit organization) owned property, maintenance-in-lieu of rent can be charged back to the appropriate program. There is a separate line to complete on the Rent Allocation Schedule if maintenance-in-lieu of rent will be charged. The allocation basis for maintenance-in-lieu of rent charges must be on file at the AAA for review.

Costs for building purchases or construction originally financed by the federal government (state government for CSE, EISEP, CSI and SNAP) are not to be included. When donated premises are used as part of the local matching funds, there must be a formal agreement between the sponsor and the organization furnishing the premises. The formal agreement must specify the amount of square footage involved, the utilities, janitorial services and other maintenance furnished, and the cost basis used in determining costs.

In-kind rentals. In order for donated premises to be considered as in-kind, the usage must be contributed by a third party (a party outside the aging network) without charge to the AAA or its subcontractors. (For example, space in a county-owned building that is used by the county office for the aging cannot be in-kind.) Under the following conditions, rent or maintenance-in-lieu of rent for donated premises may be considered as part of the in-kind local match:

- a) There must be a formal agreement between the applicant and the organization. (This must be submitted with the application.)
- b) There must be a traceable cash expenditure or documented valuation for such rental or maintenance claims made by the contributing organization.
- c) The funds used to pay these costs must be otherwise allowable as local matching funds in accordance with the applicable program regulations.

NYSOFA does not require submission of rental agreements; however, they must be on file at the AAA for review.

Instructions for Completion of Rent Allocation Schedule (Page 47)

For each location, list the address and owner of the facility. The annual total is the rent in effect at the beginning of the schedule period. Any adjustments that occur during the schedule period will be reflected in the supporting budget schedules under "Maintenance & Operations 5B. Adjustments to Rental Costs." Examples of adjustments are a scheduled increase in rent during the year or an anticipated increase in utility cost.

The total of the annual rent, utility, janitorial services and/or maintenance-in-lieu of rent is allocated among the various funding sources by both percentage and dollar amount. Space rental charges must be allocated to the programs benefitting from the space costs, based on the square footage utilized for each program. The dollar amount allocated to a column includes federal and/or state funds, income and matching funds. There are columns with preprinted headings for the major NYSOFA funded programs. There is a column that can be used to identify other NYSOFA administered funding sources. The following codes should be used to identify these programs:

1	Title VII	6	State Caregivers (CRC)	11	NY Connects/ADRC	16	Other, Specify:
2	Title V	7	State LTCOP	12	State Transportation	17	Other, Specify:
3	WRAP	8	Retired & Senior Volunteer Program (RSVP)	13	County Funds	18	Other, Specify:
4	Title III-D	9	State Respite Program	14	MIPPA	19	Other, Specify:
5	CSI	10	HIICAP	15	Other, Specify:	20	Other, Specify:

When entering an amount under the "Other Funding" column, please use one or more of the codes to identify the funding sources. The percentages shown for each rental cost must equal 100%. Also, the sum of the dollar amounts allocated to the various funding sources, columns 2 through 9, must equal the annual total amount, column 1. The costs should be allocated in whole dollars.

Tie-in to Applications for Funding

When the Rent Allocation Schedule is completed, the grand totals are carried forward to Line 5A, of the "Maintenance and Operations" category in the supporting budget schedules. **Note:** The M&O Supporting Budget Schedule includes estimates of individual items of cost expected to be incurred in this category. Budgets will be monitored and budget modifications required based on the total M&O category for each program, not the individual budget items.

The total "Maintenance & Operations" line from the Supporting Budget Schedule for each program must be entered in the "M&O" line of the Summary Budget for each program.

6. Other Expenses

Before listing an amount for "Other Expenses" on the Summary Budget, the Supporting Budget Schedule must be completed to identify the costs to be charged under 'Other Expenses'. This schedule includes a number of the most common charges incurred.

This category includes only those expenditures that do not properly fit under other cost categories such as M&O. These are generally annual or one-time types of costs.

Examples are:

- a) Audits
- b) Bonding

- c) Conference, meeting, seminar and training sessions conducted or attended by the applicant which are directly related to assisting the applicant in carrying out AAA responsibilities. (Note: Mileage and per diem reimbursements for these activities should be budgeted under the Travel category).
- d) Membership dues in organizations directly related to AAA activities and subscriptions. (Note: Membership and subscriptions must be for the applicant agency and not for individuals.)
- e) Minor alterations or renovations.
- f) Other anticipated costs - list the type of cost in the space provided. In the "EISEP Services" column, include Ancillary Services (equipment, assistive devices, PERS and/or Other) not provided under a subcontract.

7. Subcontracts

The subcontract amounts for the Summary Budget pages are taken directly from the Subcontractor Roster and are not shown on the Supporting Budget Schedules.

Subcontractor Roster (Page 48)

The Subcontractor Roster provides a listing of all the AAA's subcontractors currently in NYSOFA's database. For all major NYSOFA programs, space is provided to enter the total amounts of funds to be awarded to each contractor.

- Review the list of subcontractors and check if the contractor will be active or inactive during the Plan period.
- If a new subcontractor is replacing an existing one or if a subcontractor changes its name, use the same line and replace the name. (Do not block out the name so that it is unreadable.)
- Complete the 9-digit Employer ID number if not already listed. In the case of individuals **do not** use their social security number, **fill in this field with an alternative 9 digit number, e.g. use zeros**. For businesses and other organizations, this should be their tax identification number.
- Enter the number of active contracts with this contractor. (e.g., a contractor may have a separate contract for III-B, III-C-1 and CSE and be counted 3 times or have one contract using these funds and be counted once.)
- Enter the dollar amount of the contract (include all sources of funds, i.e., federal, state, local and income) allocated to each funding stream.
- Enter the total dollar amount for each contractor in the cell labeled "Total". Determine the "Grand Total" for each funding stream and carry it forward to the summary budget. The total "Subcontract" amount on Line 7 of each Summary Budget must equal the "Grand Total" amount for that program from the Subcontractor Roster.
NOTE: The web-based version of the Plan automatically calculates this field.
- For New subcontractors, complete all of the required Subcontractor Information:
 - Contractor name,
 - Contractor address,
 - Assign the contractor Code – this should be the next chronological number after your current highest

contractor code,
Enter the Employer ID number (9 digits),
Enter the number of contracts with this contractor,
Indicate the contractor type,
Indicate Active and New,
Indicate if Minority or Rural contractor,
Enter the appropriate amount of funding under each funding stream used to reimburse the contractor, and
Enter the service(s)

Some of these fields are not shown on the hard copy of the Subcontractor Roster, however all of this information is required on the web-based version.

- Where the contractor is not yet known, indicate as "To Be Determined" (TBD). Where multiple contractors will be providing the same service but are not known, a single line marked TBD may be used.
- List all services to be provided. Services should be listed using the standard definitions and should relate to the Service Delivery and Resource Allocation Plan (Pages 34 and 35).

NYSOFA reports some of the information included in the Subcontractor Roster in an aggregate form to AoA in accordance with Standard Assurance 10.1 I. 1).

8. Food/WRAP(Last Resort)

Enter the anticipated costs of raw food purchases only for directly provided nutrition program meals.

Do not include in Line 8 the raw food cost for subcontractor prepared meals; they are incorporated under subcontractors.

Enter the anticipated Last Resort expenditures (WRAP program only).

While NYSOFA recognizes that many AAAs subcontract for the provision of Last Resort services, AAAs must include all Last Resort expenditures on Line 8 of the WRAP Summary Budget. In cases where the subcontractor receives all the Last Resort funds the subcontractor Line 7 should be blank. The subcontractor amount must be inserted in the subcontractor roster (Page 48) under the "other funding" source code for WRAP for non Last Resort funding or WRAP-Last Resort so that the Last Resort funds can be more identifiable.

9. Total Budget

Line 9 of the Summary Budget is the total budgeted costs for each program.

10. Anticipated Income

Before listing an amount for Anticipated Income on the Summary Budget, the Supporting Budget Schedule must be completed to estimate anticipated program income by source. In accordance with program regulations, older adults participating in the CSI, SNAP, State Transportation Program, Title III-B, Title III-C, Title III-D, III-E, HIICAP, WRAP and non-cost sharing clients in the EISEP and CSE programs must be afforded an opportunity to contribute to part or all of the cost of the service received. Anticipated contributions and/or cost share must be included for each program. AAAs that do not include contributions in one or more program budgets must explain this omission. NYSOFA regulations allow for two acceptable methods of using contributions: AAAs may use contributions to provide additional services under the program that generated the contributions or, under State funded programs only, the AAAs may use the contributions to meet matching requirements for the program that generated the contributions. For State funded programs, if any of the contributions are to be used as local match,

that amount is entered on the line provided and subtracted from the total income. Contributions may only be used as match when necessary for the AAA to meet the minimum match requirements of a particular program and must be approved by NYSOFA via the application process. AAAs may not use contributions to meet matching requirements under Federal OAA funded programs.

Contributions generated by a nutrition service provider under Titles III-C-1 or III-C-2 may be used by the provider for supportive and/or access services under those programs. For further information, see 03-PI-05, NYSOFA Policy on Program Income, dated 4/22/03. See also Note #1 Use of Title III-C Income for Access & Supportive Services on Page 19 of this *Guide*.

Included in the Anticipated Income section of the EISEP and CSE applications are questions related to cost-sharing revenue that are to be completed. Cost share must be collected under CSE if the AAA is providing CSE-funded EISEP-like in-home and/or non-institutional respite service to clients who started receiving the CSE EISEP-like service after EISEP was implemented in the PSA.

Cost-sharing revenues can be transferred from EISEP to CSE but cannot be transferred from CSE to EISEP. A separate line within the CSE income section is provided to show the amount transferred from EISEP. Cost-sharing revenues cannot be used as matching funds for either EISEP or CSE.

The Supporting Budget Schedule includes a place for "Other Income," that is income other than participant contributions and cost share. Examples of appropriate income to be included on this line are as follows: proceeds from the sale of equipment and supplies, interest earned on advances of grant funds, royalties and other income earned from a copyrighted work and royalties or equivalent income earned from patents or inventions. Other income must be used to offset program expenditures. Proceeds from fund raising activities or miscellaneous grants that are not generated from approvable program activities are more appropriately considered as local matching funds.

Enter the "Total Income" amounts from Line 10 of the Supporting Budget Schedule on the corresponding line of the Summary Budget pages for each program. **NOTE:** The web-based version of the Plan automatically calculates this field.

12. Net Total

Total Budget less anticipated income.

13. Federal/State Funds Requested

Before listing an amount for federal resources on the Summary Budget, complete the Supporting Budget Schedules as follows:

Title III-B, III-C-1, III-C-2: Indicate the amount of carryover funds (Line 12A) from the previous year, the base allocation (Line 12B) for the year the application is being written, any transfer funds (Lines 12C-E), and any supplemental funds (Line 12F). The AAA may request approval for the transfer of funds between the Title III-B and Title III-C programs and between the III-C-1 and III-C-2 programs. Note only current year funds may be transferred.

Note for Titles III-B and III-C: A brief programmatic justification must be submitted on Attachment D for any Title III transfers and for Title III carryovers that exceed 7.5% of the previous year's total Federal award. See Program Instruction 88-PI-17 (3/24/88) regarding Title III carryover. As indicated in 88-PI-17 (3/24/88) the 7.5% applies to the combined carryover for Title III-C-1 and Title III-C-2. For carryovers that exceed 7.5%, the justification should include the reasons why the carryover occurred and the manner in which the carryover is to be utilized such

that the annualized level of program operations is kept to a level that can be reasonably sustained in future program years. The description must identify how these funds will be targeted to the priority populations (see 92-PI-30, dated 7/21/92.) As indicated in 93-PI-48, dated 12/29/93, our Office may recoup funds from an AAA's current allocation in instances where excess carryover exists this year and is determined to be a continuing issue. For transfers, describe the purpose for the transfer. Transfer requests between III-B and III-C cannot exceed 30% of the AAA's III-B or III-C FFY 2012 allocation. Transfer requests between Title III-C-1 and III-C-2 should not exceed 40% of the AAA's III-C-1 or III-C-2 FFY 2004 allocation.

Title III-D: Indicate the amount of carryover funds (Line 12A) from the previous year, the base allocation (Line 12B) for the year the application is being written and any supplemental funds. Justification must be provided in Attachment "D" for Title III-D carryover amounts in excess of 25% of the prior year's Federal allocation.

Title III-E: Indicate the amount of carryover funds (Line 12A) from the previous year, the base allocation (Line 12B) for the year the application is being written and any supplemental funds. Justification must be provided in Attachment "D" for Title III-E carryover amounts in excess of 7.5% of the prior year's Federal allocation.

For state funded programs list the following on the State Funds Requested, Line 12 of the Summary Budget:

EISEP: Indicate the State Funds Requested for Implementation and Service activities.

CSE: Indicate the State Funds Requested for Planning & Implementation and Community Services Projects.

CSI: Indicate the State Funds Requested for Administration and Services.

SNAP: Indicate the State Funds Requested for Administration and Services.

CRC (if applicable): Indicate the State Funds Requested for services.

State Transportation Program: Indicate the State Funds Requested for services.

For the HIICAP and WRAP programs, before listing an amount for funding on the Summary Budget, complete the Supporting Budget Schedule as follows:

HIICAP: Indicate the Base Allocation (including Federal, State and SMP funds), Supplement (if any) and total funds requested.

WRAP: Indicate the amount of carryover funds from the previous year, Base Allocation, Supplement (if any) and total Federal funds requested.

Note: Until final allocation schedules are issued by the State Office, AAAs should use the tentative allocations provided by the Office in completing their Applications for Funding.

14. Local Matching Funds

Before listing an amount on the Summary Budget, indicate each source and amount of local matching funds on the Supporting Budget Schedules. For the State funded CSE, EISEP and CSI programs contributions may be used as local match in certain circumstances and must be indicated on the appropriate line. When contributions are used as local match, the total local match shown, including match from other sources, should meet the minimum match requirement only. In accordance with NYSOFA policy, when submitting reimbursement claims, all other sources of matching funds must be utilized before contributions are used as match. As noted above, contributions may not be used as local match for any of the federally funded OAA programs. Be sure to identify all in-kind matching

funds (see Pages 22 & 25 of this *Guide* for information regarding allowable in-kind funds) in the space provided. For Titles III-B, III-C-1, III-C-2, III-D and III-E note that Federal funds may not be used to earn Federal funds; State funds may not be used to earn State funds; nor can the same local funds be used as local match under more than one program. Refer to the appropriate regulations for more information on what comprises allowable local match.

The minimum match required is listed on each allocation schedule for CSE, CSI and EISEP. The following formula and example is designed to assist in your determination of the MINIMUM amount required for Matching Funds under Titles III-B, III-C-1, III-C-2, III-D and III-E. *Please note for III-D, Area Plan Administration is not allowable.* The following example assumes \$100,000 in Title III-B federal funds available for the program year.

Total Federal Award (includes carryover)	\$ 100,000
Minus amount intended for Area Plan Administration	- <u>19,000</u>
Funds to be used for services	\$ 81,000 [A]
Divide by 90% (.90)=	
Amount in budget for services (Federal & Local)	\$ 90,000 [B]
(Divide by 75% (.75) for Title III-E services)	
Area Plan Administration (APA)	\$ 19,000 [C]
Divide by 75% (.75)=	
Amount in budget for APA (Federal & Local)	\$ 25,334 [D]
*Required Minimum Match is: (B+D)	\$ 115,334
minus (A+C)	- <u>100,000</u>
	* \$ 15,334

Although a number of NYSOFA grant programs do not require local match, it has been our experience that some AAAs desire to reflect the total cost of the program, including additional local funding expended on the program, within the program budgets. Therefore, the budget forms allow for AAAs to include local funds even under programs where local match is not required.

AAAs must keep in mind that any and all local funds included in program budgets, whether required or not, are subject to all laws, regulations and program policies which govern that program.

11. Nutrition Services Incentive Program (NSIP)

Indicate the dollar amount of NSIP funds projected to be earned based on the number of meals expected to be served during the program year. Include Adult Day Services meals, but not LTHHCP meals (see 11-PI-03, dated 4/5/11, Standard Definitions.) LTHHCP Meals and related expenditures may only be included in the “Other” column of the Service Delivery Resource Allocation Plan, not within NYSOFA program budgets.

On Line 11, do not include costs associated with ineligible meals for NSIP reimbursement. Ineligible meals are meals served to paid staff and guests under 60. Enter the number of ineligible meals on the Service Delivery/Resource Allocation Plan (Pages 34 and 35).

Note: AAAs that receive reimbursement for meals from the Child and Adult Care Food Program (CACFP) should not include these funds as income in the SNAP funding application. AAAs that choose to reflect these funds on the application should enter the amount on the “NSIP/Commodity Food” line with a footnote (see 93-TAM-01, dated 1/4/93.)

Summary Budget

When completing the Summary Budget pages the totals for the following programs must be distributed between the following cost categories:

<u>Program</u>		<u>Cost Categories</u>
III-B	Area Plan Administration	Services (Supportive & In-Home)
III-C-1	Area Plan Administration	Services (Nutrition)
III-C-2	Area Plan Administration	Services (Nutrition)
III-E	Area Plan Administration	Services (Caregiver)
EISEP	Implementation	Service Activities
CSE	Planning & Implementation	State Services Project Activities
CSI	Administration	Services
SNAP	Administration	Service Activities

Area Plan Administration/Planning & Implementation Costs

AAA expenditures which cannot be directly associated with the provision of services, but which relate primarily to the administration of the AAA must be charged to Area Plan Administration (Title III), Implementation (EISEP), Planning & Implementation (CSE) or Administration (SNAP & CSI). These expenditures include accounting, budgeting, advertising (e.g. employment ads), data processing, insurance, bonding, general office space, equipment, supplies, communications, consultant and management studies, record-keeping, reporting, auditing, printing, utilities, property maintenance, legal expenses and the conducting of public hearings on the Area Plan. Also included are staff salaries and fringe benefits connected with these activities.

For each program be sure that the amounts budgeted for Planning and Implementation or Administration do not exceed the maximum allowable levels for these categories:

- Under the Title III programs, an AAA may budget up to 10% of their total Title III-B, III-C-1, III-C-2, III-D and III-E allocations for Administration. However, all administration costs must be budgeted under III-B, III-C-1, III-C-2 and/or III-E. While the III-D allocation is used to compute the maximum allowable Title III administrative funds, no administrative costs may be budgeted under III-D.
- Under SNAP, the maximum allowable amount budgeted and expended for administration is 5% of the total State funds available.
- Under CSE Planning and Implementation and EISEP Implementation, funds are limited to the specific allocation amount included on the respective tentative allocation schedules. Refer to the tentative allocation schedules for your AAA's allocations.

- Under CSI, the maximum allowable amount budgeted and expended for administration is 5% of the total State funds requested.

EISEP Summary Budget: The web-based version of the Plan automatically calculates the required EISEP In-home Services and Ancillary Services percentages at the bottom of the Summary Budget for EISEP, CSE, CSI, CRC and State Transportation Program (Page 39). A worksheet to assist AAAs in calculating these percentages is included on the next page. Completion of this worksheet is optional and the worksheet is not required to be submitted with the plan package. Contact your ASR or GMBS 2/Senior Accountant if you have questions about the completion of the EISEP Services Worksheet. See section below for instructions for completing the worksheet.

EISEP Services Worksheet Instructions

On Line 1 enter the number of units of each in-home service expected to be provided using EISEP funds (i.e., state aid, local match and anticipated income from cost sharing and contributions) during the year. In estimating the number of units, use the most up-to-date Medicaid rate information available when projecting the number of units to be provided during SFY 2012-13. If approved Medicaid personal care rates for 2012 are not available at the time this plan is being completed, NYSOFA suggests that AAAs use the rate(s) they currently use to reimburse their home care providers. This is for planning purposes only, and the actual approved Medicaid rates for personal care services may be higher or lower than this amount. The in-home service costs must take into account variations, if any, between rates expected to be charged by different subcontractors, any rates other than the basic rates the AAA anticipates paying for in-home services and the costs of supervision of the aides. The service costs must include direct costs, if any, to the AAA, as well as the amounts paid to subcontractors. (NYSOFA does not anticipate that many AAAs will have direct costs for in-home services, except that there may be a few AAAs directly providing in-home services or providing supervision of aides. Contact your ASR or GMBS II/Sr. Acct. for instructions on documenting the supervision cost if the AAA pays the provider for supervision by adding a surcharge to the cost of each unit.)

ATTACHMENTS

Attachment A: Standard Assurances (Pages 50-78)

AAA directors must review the Standard Assurances, sign the certification on the first page and submit only one signed copy of the certification page to NYSOFA with their Plan Review and Approval signature page. AAAs may not modify the Standard Assurances.

Please note that there have been numerous changes to the content and order of the assurances. NYSOFA sought to remove duplication. For example, the assurances that pertain to the relationship between the AAA and its contractors have been centralized into Standard Assurance 10. In the previous versions contract related assurances were included in the program specific assurances resulting in duplication. Standard Assurance 10.2 and 10.3 provide provisions to be included in the AAA subcontracts to facilitate compliance with the requirements of the Older Americans Act.

Standard Assurance 23, Terminations, has been revised substantially; however, the revisions are designed to clarify the rights and responsibilities of the AAA and NYSOFA. A standard assurance has been added for the Legal Assistance Program (see Standard Assurance 27.B).

Attachment B: Priority Services (Page 79)

The October 1, 2010 - September 30, 2011 Priority Services Expenditure Report must be submitted with, and made part, of the Plan. The minimum percentages for the three priority services are as follows:

Access	20%
In-Home	2.5%
Legal	7%

These minimum percentages are applicable to the total of each AAA's Title III-B FFY 2011 federal services expenditures, the local match required for those expenditures and program income. Note that Area Plan Administration costs are not included for the purposes of these calculations and that allowable CSE and SNAP expenditures may be used to meet the percentage requirements. For the purposes of completing this Attachment, expenditures from these two programs should only be included where necessary to meet the minimum percentages. For additional Access costs you may use SNAP expenditures for transportation, outreach, information & assistance, or case management; for additional In-home costs you may use expenditures for CSE home health aide, in-home contact & support or caregiver services. To the extent that CSE and SNAP expenditures are included under priority services, as defined in the OAA Amendments and also meet Title III-B statutory requirements, (i.e., no means test and must allow voluntary contributions) these expenditures can be used to meet the priority service minimum percentages on this page.

In accordance with federal statutory requirements, priority services for the period 10/1/10 through 9/30/11 are defined as follows:

- Access - Transportation, Outreach, Information & Assistance and Case Management
- In-Home - Personal Care Levels I and II, Home Health Aide, Consumer Directed In-home services, In-Home Contact and Support and Caregiver Services
- Legal - Legal advice and representation by an attorney (including, to the extent feasible, counseling or other appropriate assistance by a paralegal or law student under the

supervision of an attorney), and includes counseling or representation by a non-lawyer where permitted by law, to older adults with economic or social needs.

Note that this report asks for actual expenditures for the latest completed federal fiscal year (10/1/10 through 9/30/11). The following will help in the completion of the form.

To determine Line 6 Over Match:

First calculate the required 10% match by taking the Federal dollars expended on services and divide it by 0.90, then multiply that amount by 0.10. The total minimum match for services will be this figure. Then subtract this figure from the non-federal match amount reported on claims submitted to and paid by NYSOFA for the October through September period. Enter this amount on your worksheet in Column A, Line 6.

Below is an example of how to recalculate a percentage when adding CSE (or SNAP for Access) expenditures to the III-B amount spent for a priority service:

AAA's III-B service total equals \$50,000. To calculate the required in-home percentage multiply \$50,000 by 0.025, this equals \$1,250. If Column A Line 2 reflects only \$350 of in-home expenditures, which is only 0.7%, the AAA will need to rely on appropriate expenditures for similar services in CSE (or SNAP, in the case of Access).

The difference between \$1,250 and \$350 equals \$900. The \$900 figure must be adjusted to ensure the minimum percentage is still met when recalculated. Any amount included in Column C increases the denominator for the new calculation of that priority service's percentage. The new denominator will equal the III-B amount (Column A Line 7) plus the adjusted CSE (or SNAP) amount for the individual priority service. The adjustment is done as follows: for Access divide the figure by 0.80; for in-home divide by 0.975; for Legal divide by 0.93.

For this in-home example, we divide \$900 by 0.975 to arrive at \$924. If there are appropriate expenditures for similar services, the adjusted amount of CSE (or SNAP) is entered in Column C Line 2. Add Column/Lines A-2 & C-2, then insert the total in Column D Line 2 (\$1,274). The new percentage meets the minimum required, as \$1,274 divided by \$50,924 equals 2.5%. The \$50,924 in the denominator is the sum of III-B program expenditures (\$50,000) plus the adjusted CSE amount of in-home expenditures (\$924).

Note that since overmatch is not removed from the individual priority services lines, the sum of the priority services percentages may exceed 100% of Line 7, III-B services dollars.

The on-line expenditure report can be obtained via the reporting system following these steps: [1] choose CAARS Quarterly and select any period, [2] under "Tools", click on "Go To Reports", [3] select beginning period, October 01, 2010, [4] select ending period of September 30, 2011, and [5] click on "Expenditures Report".

Category & Minimum	(A)	(B)	(C)	(D)	(E)
	III-B Services Expenditures	Percent (A)[T]	CSE (& SNAP for Access)	Services Combined Total (A)+(C)	Percent (D) {[T]+(C)}
1. Access 20.0%	\$10,000	20.0 %	\$ [S]	\$	%
2. In-Home 2.5%	350	0.7 %	\$ 924 [H]	\$ 1,274	2.5 %
3. Legal 7.0%	2,500	5.0 %	\$ 1,076	\$ 3,576	7.0 %
4. All Other Svc	37,150				
5. Subtotal	50,000				
6. Over Match	-0				
7. Total	\$ 50,000 [T]				

Attachment C: Program Design Modifications (Pages 80-83)

This attachment must be completed by all AAAs even if no changes are contemplated at this time.

Attachment C is the vehicle to capture planned and proposed major changes, new direct services, new activities and plans for multipurpose senior centers.

This form must be completed for major changes to any Four Year Plan and/or Annual Implementation Plan that have been approved by NYSOFA. Additionally, Attachment C must be submitted and approved by NYSOFA for planned and proposed major changes during a plan period.

Pursuant to section 1321.57(c) of the Older Americans Act regulations, AAAs must submit their Plan and amendments for review and comment to the advisory council before they are transmitted to NYSOFA for approval. Accordingly, any proposed Program Design Modifications should be provided to the AAA’s Advisory Council for review and comment.

The AAA should alert the ASR of planned Program Design Modification as soon as possible to allow the state agency to help guide the AAA through this process in a manner that can help the county understand the laws and regulations governing the organization of the AAA. This will prevent delay in the plan approval and funding of programs.

The AAA Director must complete one of the certification sections of Attachment C. If there are no changes anticipated, the second section must be checked. Any Program Design Modifications proposed by the AAA must be approved by NYSOFA before any expenditures can be obligated for such plans.

DEFINITIONS

Program Design Modification: Refers to a Major Change, New Direct Service, New Activity in addition to plans affecting one or more Multi-purpose Senior Centers.

Major Change: Refers to a proposed change(s) in program design for SFY 2012-2013 from what NYSOFA has approved in previous program periods that will significantly impact older adults. It also refers to any planned

change(s) for periods covered by future AIPs that will have a significant impact on service delivery to older adults. A significant impact is characterized by the discontinuance of any service, or major changes in:

- service location;
- service providers;
- access to services;
- types of services being offered;
- the manner in which services are provided;
- service levels (increases or decreases of more than 20% in units or expenditures);or,
- changes in administrative operations such as a large scale restructuring of one or more programs, a re-organization, a consolidation, or an agency merger.

If the AAA has questions after reviewing the examples provided below, please contact the ASR to determine whether the type of change the AAA is making is considered a major change, warranting a submission of an Attachment C or an amended Attachment C if the proposed changes would come during the program year.

Examples of Major Changes include the following:

- The reduction of services under the area plan due to county government ordered across-the-board cuts.
- A senior center, adult day service program closes or moves, thereby reducing access to needed services which may have a negative impact on targeted populations including low-income, cultural or ethnic minorities.
- An AAA whose plan focuses more on low-income population, less on 75 or 85 plus, less on ethnic and cultural minorities, decides that all CSE funding should be allocated for transportation - reduces EISEP and SNAP clients, legal services reduced, etc.
- The AAA changes the method of delivering home delivered meals from hot to frozen.
- The AAA is planning to expand their personal emergency response program thanks to a local grant, which will provide many more units to eligible older adults, increasing units of service more than 20%.
- The AAA is notified by the county that it plans to combine the AAA with the local department for youth. This may or may not be planned to happen in this immediate plan period.

Examples of actions that would NOT constitute a Major Change:

- A decrease in transportation units due to an unexpected increase in the price of fuel.
- The Nutrition Program for the Elderly sub-contractor moves their administrative headquarters to a new location. No food preparation takes place at this location.
- The AAA's only provider of home delivered meals is changing from Home Cooking Inc. to Best Cooking Inc and no program design modifications will occur as a result of this change.
- One of the AAA's 5 subcontracted home care providers will no longer be providing services because they have gone out of business and access to services will not be significantly impacted.

New Direct Service: Refers to any service to be provided by the AAA directly (as opposed to being provided by a subcontractor) that has not been provided by the AAA and included in the AAA's NYSOFA approved Plan and all annual updates through the 4/1/2011 – 3/31/2012 Plan and all subsequent updates.

Example of New Direct Service includes the following:

- The AAA elects to discontinue their subcontract with the home care agency and plans to directly provide PCA Level I services for their CBLTC clients.
- Beginning in mid-April, the AAA will provide the fixed route transportation service directly and will continue to subcontract for door-to-door service.

New Activity: Refers to any new service or program and changes, including but not limited to, new non-direct services, large scale program restructuring or agency merger or consolidation. These new activities have not been offered or conducted by the AAA or its subcontractors and have not been included in the NYSOFA approved Four Year Plan, including updates through the 4/1/2011 – 3/31/2012 Plan.

Examples of New Activities include:

- The AAA plans to contract with the local Health Department (CHHA) to establish a Respite program using CSE and III-E funds.
- The AAA plans to provide transportation to dialysis patients via an expansion of the subcontract with the transportation provider.

Multipurpose Senior Centers: Refers to facilities which offer, in one place, a variety of services to older adults, including, but not limited to, meal programs, recreation programs, health/wellness services, legal services, transportation services, etc. If Title III-B funds are involved in the acquisition/construction of such center(s) in your PSA, provide a description of the center(s), including a description of the facility, its operators, its location, anticipated clientele, and nature of programs and services to be offered.

INSTRUCTIONS

For each proposed program design modification, select the relevant choice(s) from the drop-down menus on Attachment C. Please also complete the Certification and Multipurpose Senior Centers sections. Attachment C must be completed in its entirety.

Attachment D: Justification for Title III Carryovers and Title III Transfers (Page 84)

Transfers: AAAs are allowed to transfer funds between Titles III-B and III-C-1 or III-C-2 in an amount up to 30% of the allocation from which the funds are being transferred. AAAs may also transfer funds between Titles III-C-1 and III-C-2 generally in an amount up to 40% of the allocation from which the funds are being transferred.

Provide a justification, describing the purpose of the transfer, for all Title III transfer requests on Attachment D.

Carryover: AAAs must provide justification for Title III-B, Title III-C and Title III-E carryovers in excess of 7.5% and for Title III-D carryover in excess of 25%, in the spaces provided. See Program Instruction 88-PI-17, dated 3/24/88, regarding Title III carryover. As indicated in 88-PI-17 the 7.5% applies to the combined carryover for Title III-C-1 and Title III-C-2. For carryovers that exceed the allowable percentage, the justification should include the reasons why the carryover occurred and the manner in which the carryover is to be utilized such that

the annualized level of program operations is not built up to a level that cannot be reasonably sustained in future program years. The description must identify how the carryover funds will be targeted to the priority populations (see 92-PI-30, dated 7/21/92, for further guidance).

As indicated in 93-PI-48, dated 12/29/93, NYSOFA may recoup funds from the AAA’s current allocation in instances where excess carryover exists this year and is determined to be a continuing issue. Below is an example of how to calculate carryover percentages:

2011 Award levels:

	Title III-C-1	Title III-C-2	Total
Carryover (from 2010)	\$ 5,000	\$ 1,500	\$ 6,500
Base Allocation	70,000	15,000	85,000
Transfer(s)	(2,000)	2,000	-0-
Supplement	-0-	500	500
Total Funding	\$73,000	\$19,000	\$92,000

Projected carryover into 2012:

Title III-C-1	\$4,000
Title III-C-2	\$2,000
Total	\$6,000

$$\text{Percent of carryover: } \frac{\$ 6,000}{\$92,000} = 6.52\%$$

Attachment E: Fringe Benefit and Travel Reimbursement Policies (Page 85)

Complete copies of the AAA's Fringe Benefit and Travel Reimbursement Policies are required to be submitted to NYSOFA with each Four Year Plan. Attachment E must be submitted with this Annual Implementation Plan to describe any major changes to these policies since the last submission.

Under the Fringe Benefit Policy section:

Enter the composite fringe benefit rate to be charged to grant programs for the current year. The fringe benefit rate should include all benefits provided to employees. The rate listed here will reflect the maximum allowable reimbursement assuming that each grant budget can support reimbursement of the same. Fringe benefit rates budgeted and charged to individual grant programs may be less than the full amount allowed, depending on available funding. If the composite fringe benefit percentage for an individual program exceeds the maximum fringe benefit percentage included on Attachment E – Fringe Benefit Percentage by more than 15%, the reason for this deviation **must be explained on Attachment E**.

Under both sections:

Include a brief description of any changes to the AAA’s previous Fringe Benefit or Travel Reimbursement policies.

Personnel Roster and Rent Allocation Schedule Adjustments

Include a complete description of any adjustments made to the personnel or rental costs included on the Personnel Roster and /or Rent Allocation Schedule.

Cost Per Unit

In the SFY 2012-2013 plan, AAAs will be able to review and explain average cost per unit information for each of seven major services: transportation, personal care levels I and II, congregate meals, home delivered meals, case management and adult day services prior to submission of the plan to NYSOFA.

During the initial review of the Plan, NYSOFA fiscal and program staff will examine the proposed CPUs contained in the AAA's SFY 2012-2013 submission against the data from SFY 2011-2012 Plan projection and your SFY 2012-2013 Plan to CAARS data from July 1, 2010 to June 30, 2011 expenditure report. Any average CPUs that vary by 10% or more in the respective areas will be highlighted upon entering your SFY 2012-2013 entries and NYSOFA staff will be reviewing your explanation(s) for the variance(s).

Interpreting the form

The first column is the AAA's CPU projection from the SFY 2011-2012 Plan. The second column represents the CPU projection from the proposed SFY 2012-2013 Plan. The third column will calculate the variance between SFY 2011-2012 and the SFY 2012-2013 Plan. Variances of 10% or more will be represented in color; the AAA will be asked to explain the reason for the variance. The fourth column represents the CPU for each service for the period July 1, 2010 to June 30, 2011, as calculated using actual CAARS and client data. The fifth column represents the variance between SFY 2012-2013 Plan and the expenditures information. Variances of 10% or more will be represented in color; the AAA will be asked to explain the reason for the variance.