

**Guide for Completion  
of the Annual Implementation Plan  
2015-2016  
and the  
Funding Applications  
for 2015 - 2016**

**under**

**Titles III-B, III-C-1, III-C-2, III-D, III-E and V  
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,  
Wellness in Nutrition,  
State Transportation Program,  
Caregiver Resource Center,  
Health Insurance Information Counseling and Assistance Program and  
Senior Medicare Patrol**

Andrew M. Cuomo, Governor

Corinda Crossdale, Director

## GUIDE FOR COMPLETION

### INTRODUCTION

These instructions are designed to assist Area Agency on Aging (AAA) staff in completing the Annual Implementation 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, CONTRACT ROSTER, and VOLUNTEERS USED AS MATCH SCHEDULE.**

The 2015-16 Annual Implementation Plan (AIP) constitutes the fourth year of the 2012-16 Four Year Plan. All budget pages and the Attachments should cover only the fourth year of this four year plan.

### OVERVIEW

#### 1. Technology

All forms are web-based and will be available on the NYSOFA Budgeting and Reporting System on or about October 1, 2014. AAAs must complete these forms on line and transmit them to NYSOFA through the same medium. This process is the same as that was utilized for the 2014-15 Annual Implementation Plan and subsequent budget modifications. The only document that needs to be downloaded and printed is the **PLAN REVIEW AND APPROVAL** page for submission.

#### 2. Submission

AAAs are required to submit a scanned copy of the signed **PLAN REVIEW AND APPROVAL** page in PDF format to the State Office for the Aging, Aging Network Operations. If the AAA submits the Plan Review and Approval page in PDF format, the AAA must retain the originally signed copy of the page for 7 years. If the AAA is unable due to technological or other logistical reasons to submit the signed Plan Review and Approval page in PDF format, the AAA may submit a hardcopy of the Plan Review and Approval page. If the AAA is submitting the Plan Review and Approval page in hardcopy, the Plan must bear an original signature in ink.

#### 3. Content

### OVERVIEW OF PLAN CHANGES

The content of the 2015-16 Plan is similar to that of the 2012-16 Four Year Plan and the subsequent 2014-15 AIP. However, there are some differences. The differences will be summarized in the Program Instruction (PI) issued with the Plan.

### 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 the Fiscal Team assigned to your AAA.

## ANNUAL IMPLEMENTATION PLAN

### TABLE OF CONTENTS

The **TABLE OF CONTENTS** provides a list of Plan sections/documents. Plan pages are no longer numbered (with the exception of some of the fiscal pages) but are contained in labeled sections.

### PLAN REVIEW AND APPROVAL

- Choose the appropriate page. AAA's will have the option of using the standard **PLAN REVIEW AND APPROVAL** page (Program Periods are already filled out) or the optional **PLAN REVIEW AND APPROVAL** page (AAA's will add their own Program Periods).
- 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.
- The AAA director must sign and date in ink on the line indicated.
- For those AAAs sponsored by an organization other than county, City of NY or Native American Organization, the Chief Officer of the Governing Body of the Sponsoring Organization must also sign and date on the line indicated.
- Unlike in past years, it is now preferred that the **PLAN REVIEW AND APPROVAL** be signed, scanned and submitted to NYSOFA in PDF format.
- If you cannot submit the **PLAN REVIEW AND APPROVAL** in PDF format, it is acceptable to submit a signed hard copy of the form to NYSOFA.
- Regardless of the manner in which the **PLAN REVIEW AND APPROVAL** is submitted to NYSOFA, the form should be signed in ink and the original or a duplicate original form should be retained by the AAA for seven (7) years.

### LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL

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 of the county, City of NY or Native American Organization.
- 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.
- Obtain the signature, in ink, of the individual listed on the first blank, and date.
- It is now preferred that the **LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL** be signed, scanned and submitted to NYSOFA in PDF format.
- If you cannot submit the Plan Review and Approval in PDF format, it is acceptable to submit a signed hard copy of the form to NYSOFA.
- Regardless of the manner in which the **LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL** is submitted to NYSOFA, the form should be signed in ink and the original or a duplicate original form should be retained by the AAA for seven (7) years.

## ANNUAL IMPLEMENTATION PLAN-COVER PAGE

Complete the following:

- Name, address and email address of the AAA.
- Name of AAA director.
- Name, address and email address of the Chief Executive Officer of the county, City of NY or Native American Organization; or if other than county, City of NY or Native American Organization the Chief Officer of the Governing Body of the Sponsoring Organization. This would be the person who should get copies of approval and award letters.
- Name, address and email address of the official authorized to receive payment on behalf of the AAA from NYSOFA.

## GOALS

Check (✓) each appropriate box(s). Provide the requested information if one or more objective(s) has been changed, added or deleted and list the change(s) made in the AAA's goals and objectives since the 2012-16 Four Year Plan and the subsequent 2014-15 AIP was submitted.

## DEMOGRAPHIC DATA AND TARGETING OBJECTIVES

- Column A, Lines 1 and 3 a-1, includes preprinted the most current census data for the number of persons residing in the Planning and Service Area (PSA) who are aged 60 and older. Lines 3 m – q provide percent's of persons for those categories based on the 2000 Census data. This information is no longer available from the census and is dependent on the American Community Survey. NYSOFA has found that information which is created using complex formulas to be inadequate for this purpose.
- Column B, Lines 1 and 3 a - 1, includes preprinted Client data for SFY ending March 31, 2014. Note this data is for registered (cluster 1 & 2) clients only. For line 3 m – q NYSOFA is providing percentages based on the client data reported for cluster 1 & 2 clients.
- Column C, Lines 2 and 3 a - q, enter the number of those persons projected to be served during the 2015-2016 Plan year by the AAA and its contractors. The total of lines 3 a-q, will not represent unduplicated count for projected client data because it is expected that individuals will often fall into more than one of the categories.

Program Instruction 12-PI-08, dated 7/17/12, on equal access to services and 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.*

12-PI-08 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. Describe the AAA's 2015-16 plan for outreach and service delivery to the specified targeted groups.

4. b. Discuss in detail 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.

5a. Discuss how the AAA will provide language assistance in outreach and delivery of services to persons with limited English proficiency (LEP). Each AAA must include the name and contact information for the telephonic interpretation service which it has established as required in NYSOFA's Equal Access to Services and Targeting Policy (see 12-PI-08). This policy requires that all AAAs must, at a minimum, establish a telephonic interpretation service contract or similar community arrangement with a language interpretation service provider of their choice by October 1, 2012 (also see 12-IM-03 regarding Telephonic Interpretation). In addition to this requirement, AAA should assess, as accurately as possible, the frequency with which they have or *should have* contact with LEP individuals from different language groups that may seek assistance. The greater the number or proportion of persons with LEP in the AAA's PSA (Planning and Service Area), the more likely expanded language services are needed, that may require additional steps beyond the telephonic interpretation services. The Federal Administration on Aging/ Administration for Community Living (AoA/ACL) *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 LEP persons. This Guidance also notes that even AAAs (as recipients of federal funds) that serve LEP persons on an unpredictable or infrequent basis should determine what to do if a LEP individual seeks services under the program in question. For those areas with smaller limited LEP populations, this plan need not be intricate and the required telephonic interpretation services may suffice. AAAs are encouraged to review the federal Guidance referenced above to review the four factor analysis recommended by AoA/ACL (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>

5b. Include the name and contact information for telephonic interpretation service that the AAA has established as required by 12-PI-08.

5c. Enter the amount the AAA estimates it may spend on language interpretation/translation services. If the AAA has an arrangement for free services, describe this in your response to question 5.a in this section and enter 0 on the "Projected Costs..." box. The amount entered under "Projected Costs..." must equal the total of the amounts entered on each of your individual program budgets, **SUPPORTING BUDGET SCHEDULE**, Line 6. 'Other Expense category', line F. 'Language Access Services' (see the corresponding **SUPPORTING BUDGET SCHEDULE** section for further information).

## 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.

## **PROJECTED RESOURCE INVENTORY**

List all resources (from outside entities) projected to be secured primarily through the efforts of the Area Agency to enhance community based services to older adults in the PSA.

Indicate the name of the Agency/Organization, the services provided which benefit the older adults in the PSA and an estimated dollar value of these services. Do not include services for which the AAA has a contract with the Agency/Organization to provide. The value of services which are not part of an existing contract with the AAA can be added. For example-the AAA has a contract with the Salvation Army to provide meals at a congregate site they operate. The AAA learns that the Salvation Army has an in-house staff person who is trained in providing classes for health promotion and home injury controls. After speaking with them they agree to provide lunchtime classes two days a week without charge. The value of the health promotion and the home injury controls would be added to the chart but the value of the meals would not.

## **SENIOR CENTERS/DESIGNATED FOCAL POINTS**

List the name, address, phone number and email address of all designated Multipurpose Senior Centers, Senior Centers and Focal Points- including NY Connects /Aging and Disability Resource Centers (ADRC). Note: also include centers operating in the community independently of the AAA.

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.

## **LEGAL ASSISTANCE PROGRAM-CASE PRIORITIES**

In the 2012-16 Four Year Plan the AAA, in consultation with the provider(s) of legal assistance identified the priority legal services based upon the program goal(s) and an assessment of the needs of the older adults residing in the PSA, especially individuals with greatest economic or social need. The case priorities are to fill gaps in the availability of legal services to older adults with the greatest needs avoiding duplication of services available to such individuals from other sources.

For the 2015-16 AIP, the AAA is to indicate whether there have been any changes to the legal assistance program case priorities identified in the AAA's 2012-16 Four Year Plan and subsequent AIPs. If there have been changes to the case priorities the AAA is to describe the changes and provide a brief explanation of the reason(s) for the change(s). Possible explanations include:

- There has been a change in the legal services provider;
- The AAA and the provider have identified an unmet need (trends such as consumer debt legal questions, foreclosures, employment related issues, etc.); or
- Reduction in funding or an increased hourly rate that results in a decrease in services that can be provided.

## **PUBLIC HEARINGS AND AREA AGENCY ON AGING ADVISORY COUNCIL**

In preparing the public hearing and presentation to the advisory council please refer to 11-PI-06. This 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.

1. a. List the location, date and number of individuals attending each of the public hearings which were conducted for the 2015-16 Plan.

b.-d. Provide requested information.

e. **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.

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 (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 lesbian, gay, bisexual, and transgender (LGBT).
3. Describe how the AAA notified older adults, service providers and the general public of its public hearing(s) in conjunction with the 2015-2016 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).
4. Self explanatory
5. Self explanatory
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.

## **DISASTER PREPAREDNESS AND RESPONSE**

When a disaster strikes, older persons and persons with disabilities may experience public health and human service needs that threaten their well-being. AAAs have found that in disasters, older adults have distinct needs that present challenges to community-wide disaster planning and response efforts. The involvement of AAAs in disaster preparedness and response activities in concert with community partners is crucial in order to keep older adults safe and connected in times of crisis.

The Older Americans Act requires each AAA to prepare and develop an area plan for its planning and service area that includes information detailing with how the AAA will coordinate activities, and develop long-range disaster preparedness plans, with local and State emergency response agencies, relief organizations, local and State governments, and any other entities that have responsibility for disaster relief service delivery.

1. This question provides NYSOFA with an understanding of the AAA's on-going efforts and activities to develop, maintain and implement disaster preparedness plans for assisting persons 60 years of age and older in the AAA's planning and service area in the event of a disaster.
2. NYSOFA would like to know the names of the AAA's disaster preparedness partners such as local emergency response agencies, relief organizations, local government entities, and any other institutions that have primary responsibility for disaster relief service delivery that the AAA will join in preparation for and during local and State disaster relief activities.

3. This question provides NYSOFA with information on vulnerable individuals 60 years of age and older in the AAA's planning and service area that would be contacted by emergency services in the event of a disaster.
4. This question provides NYSOFA with information concerning the AAAs procedures for ensuring older adults with special needs will be assisted during a disaster.

## **AREA AGENCY PROGRAM AND SERVICE INFORMATION**

Complete this form for services the AAA intends to administer during this plan period. Please refer to Program Instruction 14-PI-02, "Standard Definitions for Services and Units of Service".

### **NUTRITION SERVICES**

1. Nutrition Services funded under Title III-C including Title III-E, WIN, CSE, EISEP, Other:  
Note: **ATTACHMENT C** should be completed as necessary.

#### 1a. Changes to meal and food preparation sites:

This question applies to any anticipated changes being considered during the Plan Year. Examples of changes may include replacing one site with another; changing hours and/or days of operation; moving to a different location; moving a central kitchen; adding or dropping restaurants in a restaurant voucher program supported by a AAA.

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. This should include changes to restaurants used in a restaurant voucher program supported by the AAA. Complete **ATTACHMENT C** as well.

#### 1b. and 1c. 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.

1b. 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.

1c. 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.

1d. 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.

## HEALTH PROMOTION SERVICES

Health Promotion Services funded under Title III-B, Title III-D, Title III-E, CSE, CSI, EISEP, or other funding:

**Note: As April 1, 2015, Title III-D funding may only be expended on evidence-based health promotion programs/interventions meeting highest-level criteria as established by the Administration on Aging/Administration for Community Living (AoA/ACL) and considered to be an evidence-based program by any operating division of the U.S. Department of Health and Human Services (HHS).**

If an AAA is selecting and implementing an evidence-based program/intervention to comply with the highest-level requirement, the following information may be helpful in making a choice. NYSOFA urges the AAA to consider each program in light of the experience that your county has had with evidence-based disease prevention programs, budgetary constraints and the needs of your community's older adults.

### **Lists of highest-level evidence-based health promotion programs include, but are not limited to:**

- Center for Disability and Aging Policy (CDAP), Office of Performance and Evaluation, Aging and Disability Evidence-Based Programs and Practices (ADEPP) webpage: <http://www.acl.gov/Programs/CDAP/OPE/ADEPP.aspx>
- National Council on Aging listing of highest-level criteria programs: <http://www.ncoa.org/improve-health/center-for-healthy-aging/content-library/Title-IIID-Highest-Tier-Evidence-FINAL.pdf>
- CDC: Community Health Resources Database: <http://www.cdc.gov/nccdphp/dch/programs/healthycommunitiesprogram/tools/>
- CDC: Compendium of Effective Fall Interventions: What Works for Community-Dwelling Older Adults: <http://www.cdc.gov/homeandrecreationalafety/Falls/compendium.html>
- HealthyPeople.gov: Healthy People 2020 Evidence-Based Resources: [http://www.healthypeople.gov/2020/tools-resources/Evidence-Based-Resources?f%5b0%5d=field\\_topic\\_area%3A3493](http://www.healthypeople.gov/2020/tools-resources/Evidence-Based-Resources?f%5b0%5d=field_topic_area%3A3493)
- NCI: Research-tested Intervention Programs (RTIPs): <http://rtips.cancer.gov/rtips/index.do>
- NIH: Cancer Control P.L.A.N.E.T. portal: <http://ccplanet.cancer.gov/>
- SAMHSA: National Registry of Evidence-Based Programs and Practices: <http://www.nrepp.samhsa.gov/>

### **For information on health promotion and evidence-based programs:**

- AoA/ACL Title III-D evidence-based criteria and frequently asked questions: [http://www.aoa.acl.gov/AoA\\_Programs/HPW/Title\\_IIID/index.aspx](http://www.aoa.acl.gov/AoA_Programs/HPW/Title_IIID/index.aspx)
- National Council on Aging evidence-based program information: <http://www.ncoa.org/improve-health/center-for-healthy-aging/about-evidence-based-programs.html>
- OAA Sect 102(a)(14) defines "disease prevention and health promotion services": To see this definition go to: [http://www.aoa.gov/AoARoot/AoA\\_Programs/OAA/oa\\_full.asp#\\_Toc153957628](http://www.aoa.gov/AoARoot/AoA_Programs/OAA/oa_full.asp#_Toc153957628)

Instructions for Completion of Page:

1. Using the roster provided, indicate **all highest-level evidence-based** disease prevention and health promotion model programs that the AAA will fund or otherwise will implement during this planning cycle. Please select the model being used from the list, specify the name used for the program locally, list all funding sources for that program, the date the program originally began or is expected to be initiated, the partners with whom the AAA is collaborating, target population, and the estimated number of unduplicated participants for the Plan year. Include all highest-level evidence-based model programs/interventions regardless of the funding source.

**Note:** The model programs appearing in the list within the roster are some of the model programs which are approvable for Title III-D funding. Selecting “Other” from the model programs list is appropriate if 1) the unlisted program will not be supported with Title III-D funding, or 2) the AAA will be submitting documentation that the program is on another HHS operating division’s list of evidence-based health promotion programs. It is the responsibility of the AAAs wishing to seek approval to use III-D funds for a program which is not in the drop-down menu on the Health Promotion page of the AIP to produce documentation that the program is identified as an evidence-based health promotion program by an operating division of HHS. Documentation could be in the form of a link to the exact HHS operating division webpage which clearly identifies the program as evidence-based, or a print-out of such webpage. AAAs are to submit this documentation to their ASR for review at NYSOFA.

**Note:** It is not enough for a program to appear on a list of highest-level models, the program must also be delivered in a way which maintains fidelity to the evidence-based model program and meets all requirements of that model (i.e. training, licensing, data collection).

2. Check (√) the appropriate box(es) indicating which health promotion activities the AAA intends to provide with **Title III-B, Title III-E, CSE, EISEP, CSI or other (non Title III-D) funding**. If the “other” box is checked, provide a brief description of the health promotion activities that will be implemented. This question is the appropriate place to indicate the AAA’s health promotion activities that are not highest-level evidence-based programs (i.e. Health Information via a health fair or exercise classes). Any highest-level evidence-based programs should not be indicated in Question 2, they are to be listed in Question 1 instead.

## CAREGIVER SERVICES

### Title III-E: New York Elder Caregiver Support Program

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 the **Title III-E 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 Title 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.

Note: To the extent possible, the information in the ‘Title III-E’ column on the **SERVICE DELIVERY RESOURCE ALLOCATION PLAN-FEDERAL** (Fiscal Page 1) should be consistent with the information included in the Title III-E Chart on the caregiver program and completed using the chart below. For example, if an AAA noted in the Title III-E Chart 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 Fiscal Page 1 would be completed. However, there are instances where the specificity in this section is not available on Fiscal Page 1. For example, while social adult day and adult day health are listed in the Title III-E Chart, on the service on Fiscal Page 1 is adult day services; thus an AAA that noted that it plans to provide social adult day and/or adult day health on Fiscal Page 1 would complete Line 5 on Fiscal Page 1.

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 Fiscal Page 1. This is similar to where ‘public information’ that is planned to be provided under other sources would be included.

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

**Service as Listed in Title III-E Chart    Service as Listed in Title III-E Col. SERVICE DELIVERY & RESOURCE ALLOCATION PLAN (Fiscal Pg 1)**

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)
Consumer Directed	Consumer Directed (Line 2)
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 the OTHER SERVICES page.**

*General Rule:*

**Defined Services:** are those defined in the Standard Definitions 14-PI-02. These defined services are shown on **SERVICE DELIVERY & RESOURCE ALLOCATION PLAN –FEDERAL/ STATE** (Fiscal Pgs. 1 & 2) lines 1-19

**‘Other’ Services:** are those NOT defined in the Standard Definitions 14-PI-02. These ‘other’ services are NOT shown on Fiscal Pages 1 & 2, 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 place on the appropriate line in the Title III-E Column.

For Example:

- The AAA provides ‘Assisted Transportation’ as a supplemental service under Title III-E. As ‘Assisted Transportation’ is listed on Fiscal Page 1 on line 9, the Units & Funding should appear on line 9 in the Title III-E Column.
- The AAA provides “Grab Bars” as a supplemental service under Title III-E. “Grab Bars” are considered equipment. There is no corresponding line on Fiscal Page 1 for equipment. Therefore the Funding would appear on line 21 ‘Other’ in the Title III-E Column on Fiscal Page 1.

**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.

Entries require that a check (√) be placed for each special population listed and the specific services to be provided only if the AAA’s Title 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.

**Caregiver Resource Center (CRC) –State funded [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]**

Check boxes 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 2014-2015 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, State Respite Grants)**

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 check box.

## **EMPLOYMENT SERVICES -Senior Community Service Employment Program (SCSEP)-Title V**

SCSEP is funded by a grant from the U.S. Department of Labor and provides comprehensive training and support that helps eligible individuals to obtain new job knowledge; enhance their skills; gain a competitive edge in today's job market; and feel confident in their newfound abilities.

1. The Workforce Investment Act (WIA) and the 2006 OAA requires any grantee operating a SCSEP in a local area to negotiate a Memorandum of Understanding (MOU) with the Local Workforce Investment Board (WIA). The MOU must detail the SCSEP's involvement in the One-Stop delivery system. In particular, SCSEP must make arrangements to provide SCSEP eligible participants, as well as SCSEP ineligible participants with access to services available in the One-Stop centers. A MOU is required with the AAA even if the One Stop is the contractor.

If the AAA currently has a MOU with the One Stop delivery system, please indicate the date it was signed. If the AAA does not have an MOU with the local One Stop delivery system describe what impediments that the program may have encountered in obtaining one and describe the actions the AAA has taken to address these impediments.

2. Indicate the number of participants the AAA has on a waiting list. Enter 0 if there are none.
3. The AAA must detail the strategies used to recruit SCSEP targeted populations in the county. Specific recruiting strategies must be provided even if the representation of SCSEP targeted populations in the county is low.

SCSEP targeted populations are described as individuals who:

- have a severe disability;
- are frail;
- are age 75 or older;
- have severe limited employment prospects;
- have limited English proficiency;
- have low literacy skills;
- have a disability;
- are veterans; and,
- are homeless or at risk for homelessness.

4. At the beginning of each SCSEP year, a Program Instruction (PI) is sent to every SCSEP transmitting AAA performance measures for Community Service; Entered Employment; Employment Retention; Service Level; and, Service to the Most-in-Need. Please describe how the AAA will monitor SCSEP to ensure these measures will be achieved.

## **CERTIFICATIONS**

The AAA must check two certification boxes. The first certification box is to acknowledge that the AAA will pay Title V enrollees at the prevailing minimum wage and cannot exceed that rate. The second certification box indicates that the AAA will not exceed a maximum of \$500 per day for any consultants which may be engaged to work on the Title V program.

## **HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM (HIICAP)**

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.

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 the response.
2. Provide information as required.
3. Provide information as required.
4. List other non HIICAP functions that the HIICAP Coordinator provides-if applicable.
5. Provide the days and hours of operation that HIICAP is available to provide Medicare beneficiaries with one-on-one counseling.
6. NYSOFA would like to know how your office has managed the increased demand of HIICAP telephone assistance and how you provide access to those with limited English proficiency.
7. This question provides NYSOFA with information about the HIICAPs relationship with the Managed Care Consumer Assistance Program (MCCAP).
8. This question provides NYSOFA with information on the programs efforts to recruit volunteers. Be sure to include the names of any organizations that the AAA has partnered with to increase volunteer efforts.
9. Provide information as required.
10. Provide information as required.
11. In order to obtain a complete list of sites available within the HIICAP network, please list all sites (including AAA offices, contractors, partners and community agencies) that are utilized by the HIICAP trained staff for counseling, enrollment and other activities.

**NOTE:** HIICAP funds may not be used to pay for any food costs. This includes break service for trainings, volunteer recognition events and per diem travel costs for paid program personnel and volunteers, etc.

## **SENIOR MEDICARE PATROL (SMP)**

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 and SMP programs help older adults to be aware, protect vital information and report suspected wrong doing.

1. Provide information as required.
2. Individuals seeking to become an SMP Volunteer must be officially screened, accepted and enrolled as an SMP Volunteer prior to the performance of any task.
3. NYSOFA would like to know how the program manages SMP telephone assistance including how it provides access to those with limited English proficiency and the process to ensure that there is coordination between SMP, HIICAP and the NY Connects program.

## **GENERAL SERVICES**

For each service category (1-5), 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.

## **MANAGED LONG TERM CARE (MLTC) PLANS/MANAGED CARE ORGANIZATIONs (MCOs)**

Each AAA must indicate by checking the "Yes" or "No" line if they have or will enter into any contracts to provide services to a Medicaid Managed Long Term Care (MLTC), Health Homes or Fully Integrated Duals Advantage (FIDA) organization or any other managed care organization. Contracts for these services must ensure that the AAA is fully reimbursed for the cost of the services provided. AAA funds may not be used to supplement the costs of any services provided to a managed care organization.

If the AAA will not provide services to a managed care organization no further information is required. If the AAA will provide services to a managed care organization they must enter the name of each organization with which they will contract. For each organization/contract indicate the service(s) the AAA will provide, the total amount of the contract and if available, the unit rate received for the services provided.

The cost and units of service(s) provided to managed care organizations must also be included in the "All Other Programs" column of the Service Delivery and Resource Allocation Plan – State & All Other Programs page.

## **OTHER NYSOFA FUNDING and SERVICES**

Check (√) the appropriate box for each NYSOFA funded program the AAA administers and enter the amount of funding anticipated for SFY 2015-16 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.

NY Connects/ADRC funding associated with Long Term Care Councils should be included under 'Planning/Implementation/Admin.' on Fiscal Page 2 Line 22.

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

### **OTHER SERVICES**

Enter the information for additional services provided by the AAA which will be included on Line 21 of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** pages. These are services that are not listed in the preprinted service categories (Lines 1-20) of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** pages. For each entry follow the format provided. Be sure to include all required information including anticipated funding level, funding source(s) and the number of units of service expected to be provided. The online version of this section will allow an unlimited number of entries for this section. Examples of 'Other Services' might include: ID/discount cards/programs; medical equipment loan programs; public information/education; home modifications; residential repair and maintenance; overnight respite care; assistive devices/technology; laundry services; chore services; options counseling; crime and safety programs; energy assistance; group respite; and services purchased from the AAA by other entities (not listed in the preprinted service categories (Lines 1-20) of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** pages.) The total funding included for these services must equal the amount included on Line 21 'Grand Total Funding \$' column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** Federal Program page. An electronic error check has been added to compare the total amount on the **OTHER SERVICES** page to the total of Line 21 'Grand Total Funding \$' column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** Federal Program page.

### **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN**

**Note:** You may find it helpful to enter information on Fiscal Pages 1 & 2, off-line, before completing the web-based version of pages.

The Service Delivery and Resource Allocation information is divided into two pages. The first page (Fiscal Page 1) 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 (Fiscal Page 2) contains state program information for the EISEP, CSE, CSI, and WIN 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:** Fiscal Page 1 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 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 Fiscal Page 1, 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 a contract (Con). 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 Fiscal Page 1 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 14-PI-02, when completing these pages. The units of service and persons served are to reflect AAA administered (including contracted) services only. For example, do not include catered meals provided to non-participants.
- For all services on Fiscal Pages 1 & 2, 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
  - Line 21. Other Services
- 'All Other Programs' column (Fiscal Page 2) - 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. To assist in the completion of the 'All Other Programs', 'Funding Source' column, a legend has been added to the bottom of this page. AAAs must enter the number(s) from the legend which corresponds to the funding utilized on each service line. Cells 15 through 24 of the legend should be completed for AAA specific funding sources. **PLEASE NOTE: when completing the AIP online AAAs will only be required to complete the legend once. The same legend must be utilized for the State & All Other Programs – service Delivery and Resource Allocation page as well as all four of the rosters. For ease of reference the legend will appear in the view and print versions of each of the pages for which it is utilized.**

Be sure to include on the appropriate lines the other NYSOFA funded services listed in the **OTHER NYSOFA FUNDING AND SERVICES** section and the amount of funds for all 'Other Services', Line 21 from the **OTHER SERVICES** section not included in one of the program columns.

- For services provided by the AAA and sold to other entities, for example, meals sold to a Nursing Facility or a MLTC program -the AAA must first determine if the service meets the NYSOFA standard definition for that service. If it does, the additional services should be included on the appropriate service line in the 'All Other Programs' column, with the reimbursement source noted as the funding source. If the AAA is providing a service which does not meet one of the NYSOFA standard definitions, this service must be described in the **OTHER SERVICES** section and the funding included on Line 21, 'Other Services' of the 'All Other

Programs' column. The reimbursement source for these services is included with the description for this service in the **OTHER SERVICES** section.

**Notes:** Do not include the AAA's NSIP funds earned and expended in conjunction with NYSOFA funded programs (Title III-C, WIN, 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 Fiscal Team 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 Fiscal Page 2.

Totals and tie-ins:

On **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN-FEDERAL** (Fiscal Page 1), 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 WIN programs must equal the total amounts budgeted on the **APPLICATION FOR FUNDING, SUMMARY BUDGET FOR EISEP, CSE, CSI, WIN, CRC, & STATE TRANSPORTATION** (Fiscal Page 2A) , Line 9 - Total Budget.

On the **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN-STATE & ALL OTHER PROGRAMS** (Fiscal Page 2):

- The amount included in the 'All Other Programs' column for LTCOP services, Line 20, must be greater than or equal to the total funding indicated for Title VII and State LTCOP in the **OTHER NYSOFA FUNDING AND SERVICES** section.
- The amount included in the 'All Other Programs' column 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, CRC, Systems Integration and NY Connects/ADRC programs in the **OTHER NYSOFA FUNDING AND SERVICES** section. The amount included for CRC services, Line 19, must be greater than or equal to the Line 19 funding amount indicated for State funded CRC in the **OTHER NYSOFA FUNDING AND SERVICES** 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 Title 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 III-C-1--assisted transportation, transportation, information & assistance, outreach, shopping assistance, and senior center recreation & education
- Title III-C-2-- information & assistance, outreach, and shopping assistance

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 2015-16and 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 RESOURCE ALLOCATION PLAN**.
- Many AAAs fund home delivered and/or congregate meals with local funds reflected in the 'Other' column on the **SERVICE DELIVERY 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 Fiscal Team.

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

For the 'EISEP' column (Fiscal Page 2):

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 below, 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 below, please note the footnote at the bottom of the page that must be completed.

Line 21 enter only funding for the ancillary services included in the **OTHER SERVICES section** funded by EISEP. (Only those services that do not fit on Lines 1-20 should be included here.)

Allowable services, items/goods and other supports which may be provided under ancillary services are as follows:

- a) those that maintain or promote the individual's independence such as:
  - purchasing/renting of equipment or assistive devices;
  - purchasing/renting, maintaining and repair of appliances;
  - personal and household items;
  - social adult day services; and
  - transportation to needed medical appointments, community services and activities;
- b) those that maintain, repair or modify the individual's home so that it is a safe and adequate living environment, such as:
  - home maintenance and chores;
  - heavy house cleaning; and
  - removal of physical barriers;
- c) those that address everyday tasks, such as:
  - house cleaning;
  - laundry;
  - grocery shopping, shopping for other needed items and other essential errands;
  - bill paying and other essential activities;
  - providing meals; and
  - escort to appointments and other community activities.

The following items or services may not be provided as an ancillary service:

- a) food, except for meals provided under the nutrition program administered by an area agency or other meals that the area agency has determined meet the nutritional requirements of such program;
- b) housing expenses which include, but are not limited to, expenditures for rent, mortgage, property taxes, heating fuel, gas, electricity, water, sewage, garbage collection, cable television and telephone services; and
- c) items or services that can be obtained only with a prescription or doctor's order.

Please note the EISEP related footnotes (d) & (e) at the bottom of Fiscal Page 2. 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 Fiscal Page 2A. Please note that the sum of the adult day services funds allocated to non-intuitionnal 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.

**APPLICATIONS FOR FUNDING  
AREA AGENCY SUMMARY BUDGET and SUPPORTING BUDGET SCHEDULES**

The Applications for Funding consist of three **SUMMARY BUDGET** pages, one page for the federal programs: Title III-B, Title III-C-1, Title III-C-2, Title III-D and Title III-E (Fiscal Page 1A), one page for the state programs: EISEP, CSE, CSI, WIN, CRC, State Transportation (Fiscal Page 2A), and one page for HIICAP and Title V (Fiscal Page 3A) .

Specific Program Requirements:

1. 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 Fiscal Page 1A .
2. The Federal Funds budgeted for ‘Area Plan Administration’ at the bottom of Fiscal Page 1A will be automatically calculated on the web-based version.
3. The In-Home Services and Ancillary Services percentages for EISEP at the bottom of Fiscal Page 2A will be automatically calculated on the web-based version. (For information on how to manually calculate these percentages see EISEP Services Worksheet in 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 (Fiscal Pages 1B & 1C), state (Fiscal Pages 2B & 2C) and the HIICAP/Title V funded program (Fiscal Pages 3B & 3C), as well as the **PERSONELL ROSTER, EQUIPMENT SCHEDULE, RENT ALLOCATION SCHEDULE AND CONTRACT 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**

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 1/1/15-12/31/15.

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 contractors. 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 the **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	Systems Integration	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 must be allocated to the AAA 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 average 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**

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 1/1/15-12/31/15. 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 5D, ‘Equipment Costing Less than \$1,000’.

NOTES: Vehicle purchases may not be charged to the State Transportation Program.  
 State CRC funds may not be used to purchase any items of equipment.

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	Systems Integration	8	Retired & Senior Volunteer Program (RSVP)	13	County Funds	18	Other, Specify:
4	N/A (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. Note: The meal portion of any staff travel, even if it is included as part of a per diem reimbursement may not be charged to HIICAP.

**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 1/1/15-12/31/15.

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 WIN) 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 contractors. (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**

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	Systems Integration	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 applicants 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) Language Access Services-Note: The total allocated to all NYSOFA programs in the 'Other Expense' category must be reflected in question 5c. of the **DEMOGRAPHIC DATA AND TARGETING OBJECTIVES** section.
- g) 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 contract.

## 7. Contracts

The contract amounts for the Summary Budget pages are taken directly from the **CONTRACT ROSTER** and are not shown on the Supporting Budget Schedules.

## CONTRACT ROSTER

The **CONTRACT ROSTER** provides a listing of all the AAA's contractors 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 contractors and check (√) if the contractor will be active or inactive during the Plan period.
- If a new contractor is replacing an existing one or if a contractor 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 contractor's E-Mail address.
- Enter the number of active contracts with this contractor. (e.g., a contractor may have a separate contract for Title III-B, Title III-C-1 and CSE and be counted 3 times or have one contract using these funds and be counted once.)
- Complete the check box to indicate if the contractor will or will not subcontract, subgrant or enter into a MOU with any other organization to provide direct services to clients.
- 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 'Contract' amount on Line 7 of each **SUMMARY BUDGET** must equal the 'Grand Total' amount for that program from the **CONTRACT ROSTER**.  
**NOTE:** The web-based version of the Plan automatically calculates this field.
- For **new** contractors, complete all of the required contractor information:
  - Contractor name,
  - Contractor address,
  - Assign the contractor Code – this should be the next chronological number after the current highest contractor code,
  - Enter the Employer ID number (9 digits),
  - Enter the contractor's E-Mail address.
  - 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) and the amount of funding for each service.Title II-E only: For contractors providing services for Grandparents/Older Relative programs, indicate those contractors and the service(s) provided by checking (√) the box(es) provided on the 'Services' pop-up screen

Some of these fields are not shown on the hard copy of the **CONTRACT 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**.

*NYSOFA reports some of the information included in the CONTRACT ROSTER in an aggregate form to AoA/ACL in accordance with Standard Assurance 10.1 I. 1).*

**8. Food**

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 contractor prepared meals; they are incorporated within the contract.

**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, WIN, State Transportation Program, Title III-B, Title III-C, Title III-D, Title III-E, HIICAP, 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 16 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, general unrestricted donations to the AAA or miscellaneous grants that are not generated directly from approvable program activities must be appropriately considered as local matching funds or may be included in the ‘Other’ column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** page.

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.

**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 14-PI-02, 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 AND RESOURCE ALLOCATION PLAN** (Fiscal Pages 1& 2).

**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 WIN 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.)

**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:

Titles 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 Titles 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 12-PI-08, dated 7/17/12.) As indicated in 93-PI-48, dated 12/29/93, NYSOFA 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 Titles III-B and III-C cannot exceed 30% of the AAA's Title III-B or Title III-C FFY 2012 allocation. Transfer requests between Title III-C-1 and Title III-C-2 should not exceed 40% of the AAA's Title III-C-1 or Title III-C-2 FFY 2014 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.

WIN: 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 Title V 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.

Title V: Indicate the Base Allocation, Supplement (if any) and total funds requested.

**Note:** Until final allocation schedules are issued by NYSOFA, 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 18 & 22) 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 Title 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.**

**SUMMARY BUDGET**

When completing the **SUMMARY BUDGET** pages the totals for the following programs must be distributed between the following cost categories:

<b>Program</b>		<b>Cost Categories</b>	
Title III-B	Area Plan Administration	Services (Supportive & In-Home)	
Title III-C-1	Area Plan Administration	Services (Nutrition)	
Title III-C-2	Area Plan Administration	Services (Nutrition)	
Title III-E	Area Plan Administration	Services (Caregiver)	
EISEP	Implementation	Service Activities	
CSE	Planning & Implementation	State Services Project Activities	
CSI	Administration	Services	
WIN	Administration	Service Activities	
Title V	Administration	Enrollee Wages and Fringe Benefits	Program/Other Costs

**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 (WIN, CSI & Title V). 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 for Titles III-B, III-C-1, III-C-2, III-D and III-E allocations for Administration. However, all administration costs must be budgeted under Titles III-B, III-C-1, III-C-2 and/or III-E. While the Title III-D allocation is used to compute the maximum allowable Title III administrative funds, no administrative costs may be budgeted under Title III-D.
- Under WIN, 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.

- Under Title V, the maximum allowable amount budgeted and expended for administration is 9.45% of the total Federal 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 (Fiscal Page 2A). 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 Fiscal Team 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 2015-16. If approved Medicaid personal care rates for 2015 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 contractors, 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 contractors. (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 Fiscal Team 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.)

**EISEP SERVICES WORKSHEET**

	In-Home Services			Ancillary Services
	Personal Care Level I	Personal Care Level II	Consumer Directed	*Allowable Services
1. Estimated Number of Units of Service				
2. Service Cost				
A. Area Agency				
B. Contractors				
C. Total Cost	a	b	c	d
3. Average EISEP Cost Per Unit (divide Line 2 C. By Line 1)				
4. Approved Medicaid Rates				
Area agencies must ensure that the costs for in-home services provided under the EISEP and CSE programs do not exceed the approved Medicaid rate for similar services in their area (see Standard Assurances "Applicable to CSE and EISEP" on Maintenance of Effort Requirement, 91-PI-11, dated 3/1/91, and 09-PI-02 dated 2/6/09 for more information).				

Calculation of Required Percentages

(See Standard Assurances "Applicable to EISEP" for more information)

From **SUMMARY BUDGET** for EISEP:

Total EISEP Budget column, Line 9, Total Budget	\$	
Less: Total EISEP Budget column, Line 10, Anticipated Income	-	
<b>Subtotal</b>	<b>\$</b>	
Less: EISEP Implementation column, Line 11	-	
<b>Net Total</b>		
Total EISEP State & Local Services Costs	\$	

**In-Home Services Percentage (must be at least 33%)**  
 Total In-Home Services Cost [a + b + c] \$ \_\_\_\_\_  
 divided by Total State & Local Services Costs[e] \_\_\_\_\_ = \_\_\_\_\_%

**Ancillary Services Percentage (cannot exceed 33%)**  
 Total Ancillary Services Cost [d] \$ \_\_\_\_\_  
 divided by Total State & Local Services Costs[e] \_\_\_\_\_ = \_\_\_\_\_%

\*Allowable Services: Home Delivered Meals, Adult Day Services (that will not be provided as non-institutional respite), Congregate Meals, Nutrition Counseling, Assisted Transportation, Transportation, In-home Contact and Support (that will not be provided as non-institutional respite), Health Promotion, PERS and Other Services.

## ATTACHMENTS

### **ATTACHMENT A: Standard Assurances**

AAA directors must review the Standard Assurances, particularly as there have been several substantive revisions to the content that are described in detail in the Program Instruction for the 2015-6 Annual Implementation Plan. One of the changes is that there is no longer a specific certification for **ATTACHMENT A**. The general certification and approval for the Plan (**PLAN REVIEW AND APPROVAL** page) includes **ATTACHMENT A - Standard Assurances**.

AAAs may not modify the Standard Assurances.

### **ATTACHMENT B: Priority Services**

The October 1, 2013 - September 30, 2014 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 2014 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 WIN 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 WIN 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 WIN 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 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 (10/1/13 through 9/30/14). 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 WIN for Access) expenditures to the Title III-B amount spent for a priority service:

AAA's Title 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 WIN, 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 Title III-B amount (Column A Line 7) plus the adjusted CSE (or WIN) 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 WIN) 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 Title III-B program expenditures (\$50,000) plus the adjusted CSE amount of in-home expenditures (\$924).

**Note:** Since overmatch is not removed from the individual priority services lines, the sum of the priority services percentages may exceed 100% of Line 7, Title 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, 2013, [4] select ending period of September 30, 2014, and [5] click on "Expenditures Report".

Category & Minimum Required Percentage	(A)	(B)	(C)	(D)	(E)
	Title III-B Services Expenditures	Percent (A) ÷ [T]	CSE (& WIN 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**

**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.

The AAA must also indicate that it has submitted the program design modifications to its advisory council for review and comment as required under Title III, Part 45, Section 1321 (c) of the Older Americans Act Regulations.

## **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 2015-2016 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 change is a re-organization, consolidation, or an agency merger, the AAA must provide the proposed organizational chart. The chart is to include the structure of the AAA, including staff positions by title, and the

AAA's relationship to other county agencies, the chief elected official in the county and the AAA Advisory Council. Also include NY Connects within your organizational chart or provide a separate organizational chart if that format is more appropriate.

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 WIN clients, legal services reduced, etc.
- The AAA changes the method of delivering home delivered meals from hot to frozen.
- New implementation of consumer directed in-home services
- New implementation of consumer directed respite services
- 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. Planning for this to happen may or may not be in the 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 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 contracted 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.
- Continuation of consumer directed in-home services

**New Direct Service:** Refers to any service to be provided by the AAA directly (as opposed to being provided by a contractor) that has not been provided by the AAA and included in the AAA's NYSOFA approved Plan and all annual updates through the 4/1/2014 – 3/31/2015 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 Community Based Long Term Care (CBLTC) clients.
- Beginning in mid-April, the AAA will provide the fixed route transportation service directly and will continue to contract 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 contractors and have not been included in the NYSOFA approved Four Year Plan, including updates through the 4/1/2014 – 3/31/2015 Plan.

Examples of New Activities include:

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

**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 12-PI-08, dated 7/17/12, for further guidance).

Describe how excess carryover funds will be used for targeting (Reference –12-PI-08) 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.**

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:

2014 Award levels:

	Title III-C-1	Title III-C-2	Total
Carryover (from 2013)	\$ 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 2015:

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**

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 Plan to describe any major changes to these policies since the last submission.

Under the Fringe Benefit Policy section:

Enter the average 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 average 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 average 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 2015-2016 plan, AAAs will be able to review and explain average cost per unit (CPU) 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 2015-2016 submission against the data from SFY 2014-2015 Plan projection and your SFY 2015-2016 Plan to CAARS data from July 1, 2013 to June 30, 2014 expenditure report. Any average CPUs that vary by 10% or more in the respective areas will be highlighted upon entering your SFY 2015-2016 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 2014-2015 Plan. The second column represents the CPU projection from the proposed SFY 2015-2016 Plan. The third column will calculate the variance between SFY 2014-2015 and the SFY 2015-2016 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, 2013 to June 30, 2014, as calculated using actual CAARS and client data. The fifth column represents the variance between SFY 2015-2016 Plan and the CAARS expenditures information. Variances of 10% or more will be represented in color; the AAA will be asked to explain the reason for the variance.

**ATTACHMENT F: Volunteers Used as Match**

AAAs which need to include the value of Volunteers as Match in program budgets in order to meet their required minimum match in one or more programs must complete **ATTACHMENT F.** AAAs may not include the value of volunteer service as match if it will result in the AAA being overmatched in that program. AAAs may not use the value of volunteer services as match in a program which does not require any local match. AAAs may only use the value of volunteer services as match from individuals providing their time and energy to benefit AAA programs without charge to the AAA. AAAs may not utilize individuals who receive a stipend for their services. AAAs may not count as volunteers Advisory Council members or Board of Director members acting in their capacity as Council or Board members. AAAs may not utilize volunteers providing administrative functions as match. All volunteers used as match must be allocable to a services category. AAAs may include the value of the volunteer’s time who receives reimbursement for other costs associated with their volunteer services, such as mileage reimbursement for home delivered meal drivers.

Volunteer services should not be confused with in-kind services. The distinction lies in the fact that in-kind services are provided without a direct cost to the AAA, but are in fact paid for by a third party, unrelated to the AAA and its operations. Volunteer services are provided without cost to the AAA or any third party.

AAAs should refer to Program Instruction 12-PI-15, dated October 12, 2012, entitled “Volunteers Services As Match”, for further information regarding utilizing the value of volunteer services as match.

AAAs must enter the following for each type of volunteer service being used:

- Volunteer Title (e.g., Home Delivered Meal Drivers).
- Service(s) provided.
- Total estimated number of volunteers in this category.
- Total estimated number of hours of service to be provided during the year for all volunteers in this category.
- Rate per hour at which the service is being valued (see Program Instruction [12-PI-15] entitled “Volunteers As Match” for guidance on establishing appropriate rates).
- The total amount to be charged to NYSOFA programs will be calculated for you. Note: the totals will be truncated to a full dollar amount.
- The total amount, as calculated, must then be allocated by the AAA to the appropriate program(s) in whole dollar amounts. AAAs may allocate to individual programs the amount necessary to meet the minimum match required. The balance of the total volunteer services contributed, must be entered in the last column, ‘Volunteer Services Not Used as Match’.

Note: each entry or Volunteer Title represents a category of volunteer services, e.g., enter one line for Home Delivered Meal Drivers and include the total expected number of hours of service to be provided for all Home Delivered Meal Drivers. Do not make single line entries for each Home Delivered Meal Driver volunteer.

The total Volunteer Services as Match dollar amount from each program will be automatically carried forward to the corresponding **SUPPORTING BUDGET SCHEDULE**, Line 14. Matching funds, ‘Volunteers Used as Match’ line. The total Volunteer Services as Match dollar amount from each program will also be automatically carried forward to the corresponding program on the **PERSONNEL ROSTER**, ‘Volunteer Services Used as Match’ line. AAAs must save **ATTACHMENT F**, then go to the **PERSONNEL ROSTER**, select the ‘Volunteers as Match’ entry and save that entry, as well save each of the appropriate Supporting budget pages to ensure that all amounts are carried over appropriately and all error messages are cleared. Failure to save all the affected pages may result in incorrect error messages.

AAAs must ensure they document and account for the time contributed by each volunteer hour being counted as match, as well as the reasonable and proper valuation of the amount hourly rate claimed. AAAs will be required to complete a ‘Volunteers as Match’ section for each Claim for Payment to NYSOFA which requests to use the value of Volunteers Services as Match. On these forms the AAA will be required to list each individual's name and number of hours of service provided from the documentation you maintain.