

**Guide for Completion
of the Four Year Plan
2016-2020
and the
Funding Applications
for 2016 - 2017**

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 and
Health Insurance Information Counseling and Assistance Program**

Andrew M. Cuomo, Governor

Corinda Crossdale, Director

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GUIDE FOR COMPLETION

INTRODUCTION

These instructions are designed to assist Area Agency on Aging (AAA) staff in completing the Four Year Plan (which includes the annual applications for funding), hereafter referred to as the Plan. Also included in this *Guide for Completion*, hereafter referred to as the *Guide*, are instructions for the **PERSONNEL ROSTER, EQUIPMENT SCHEDULE, RENT ALLOCATION SCHEDULE, CONTRACT ROSTER, and VOLUNTEERS USED AS MATCH SCHEDULE.**

The Four Year Plan consists of the “Goals” section through the “Managed Long Term Care Plans and Managed Care Organizations” section; the information in these sections should be completed to cover the entire four year period of this Plan. All budget pages (annual applications for funding) and Attachments cover the first 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, 2015. AAAs must complete these forms on line and transmit them to NYSOFA through the same medium. The only document that needs to be downloaded and printed is the **PLAN REVIEW AND APPROVAL** page for signature.

2. Submission

AAAs are required to submit a scanned copy of the signed **PLAN REVIEW AND APPROVAL** page in PDF format to their NYSOFA Aging Services Representative (ASR) and/or Fiscal Team via email. 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 document must bear an original signature in ink.

3. Content

OVERVIEW OF PLAN CHANGES

The content of the 2016-20 Four Year Plan is similar to that of the 2012-16 Four Year Plan and the 2015-16 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 ASR or the Fiscal Team assigned to your AAA.

FOUR YEAR PLAN

TABLE OF CONTENTS

The **TABLE OF CONTENTS** provides a list of Plan sections/documents.

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 enter their Program Periods for Title III-B, III-C (NYC DFTA only) and III-E).

- 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.
- It is preferred that the **PLAN REVIEW AND APPROVAL** be signed, scanned and submitted to NYSOFA in PDF format. Submission is via email to the NYSOFA Senior Accountant/Grants Administrator 1 and Aging Services Representative assigned to the AAA.
- 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 preferred that the **LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL** be signed, scanned and submitted to NYSOFA in PDF format. Submission is via email to the NYSOFA Senior Accountant/Grants Administrator 1 and Aging Services Representative assigned to the AAA.
- 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.

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

Note: Complete this section for the 16-20 Four Year Plan Period

The goals listed are based on those in the 2015-2019 New York State Plan on Aging. AAAs also have an option of adding additional goals based on unique local priorities. If an additional goal is added use the appropriate section of the plan to enter this information. AAAs should identify key activities that will be undertaken in their county to achieve each goal and the rationale for this approach.

DEMOGRAPHIC DATA AND TARGETING OBJECTIVES

Note: Complete this section for the 16-20 Four Year Plan Period

- Column A, Lines 1 and 3 a-q, includes preprinted the most current census data for the number of persons residing in the Planning and Service Area (PSA) who are 60 years and older. Data is from the American Community Survey: 2008-2012 Five Year Estimates, Special Tabulation on Aging.
- Column B, Lines 1 and 3 a - q, includes preprinted Client data for SFY ending March 31, 2015. Note this data is for registered (cluster 1 & 2) clients only.

Column C, displays calculations of minimum numbers of registered clients to be served. This information is for AAA reference in completing Column D.

- Column D, Lines 2 and 3 a - q, enter the number of persons projected to be served annually during the Four Year Plan period 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."

4a. Describe the AAA's plan for outreach and service delivery to the specified targeted groups. The AAA might include existing collaborations with entities dedicated to serving targeted populations, efforts to develop new collaborations with such entities as well as planned outreach activities designed to reach target populations. For example, to reach the Asian demographic, the AAA might consider faith based outreach opportunities that include Islamic, Hindu, Buddhist and Sikh houses of worship. The AAA may also consider representation at local events such as health fairs and community celebrations –i.e. Hispanic Heritage events, Martin Luther King Day celebrations, etc.)

4b. 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. For this section, the outreach ideas must include new or modified strategies designed to engage underserved populations for which the AAA did not meet the minimum number of individuals to be served and to increase their access to services. For example, the AAA might include efforts to collaborate with gatekeepers of a community they did not reach, such as Catholic Charities, Food Pantries or United Way if the target population of low income minorities was not reached.

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, 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. (If arrangement for telephonic interpretation is accessed through a county wide resource, please clearly describe the arrangement and explain how it works.)

5c. Enter the amount the AAA estimates it may spend annually on language interpretation/translation services during the Four Year Plan period. If the AAA has an arrangement for free services, describe this in your response to question 5a 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).

5d. The ADA requires individuals with disabilities to have equal opportunity to participate in all programs and services. Please describe the AAA’s efforts to ensure services are fully accessible to all individuals including individuals with disabilities. Some examples of ensuring accessibility might include provision of American Sign Language interpretation during an assessment with an individual who is deaf, provision of a braille menu at a congregate meal site, and provision of documents such as “New Participant Orientation Packets” in electronic format for individuals who are blind and use screen reading software. These are only some examples and not wholly inclusive of AAA’s responsibilities. For questions and clarification please speak with NYSOFA’s Advocacy Specialist.

DEFINITIONS FOR RURAL, LIMITED ENGLISH PROFICIENCY and FRAIL AND/OR INDIVIDUALS WITH DISABILITIES

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.

Frail and/or Individuals with Disabilities –

Frail – A person with one or more functional deficits in the following areas:

- Physical functions
- Mental functions
- Activities of Daily Living [ADL] (eating, bed/chair transfer, dressing, bathing, toileting and continence).
- Instrumental Activities of Daily Living [IADL] (meal preparation, housekeeping, shopping, medications, telephone, travel and money management).

And/or

Individuals with Disabilities – Any person who has a physical or mental impairment which substantially limits one or more major life activities, has a record of such impairment, or is regarded as having such impairment. This includes alcoholism and drug addiction. Note, all EISEP clients are considered to be frail/disabled.

NEEDS ASSESSMENT

Note: Complete this section for the 16-20 Four Year Plan Period

As part of the preparation and development of its Area Plan, Section 306(a)(1) of the Older Americans Act requires that each AAA determine "the extent of need for supportive services, nutrition services, and multipurpose senior centers" in its PSA.

Section 6653.4 of Title 9 of the New York Code of Rules and Regulations reinforces the Federal requirements by specifying that a needs assessment and resource inventory be completed as part of the process through which AAA determine priorities, targeting efforts and funding in the next Four Year planning cycle. Section 6653.4 requires that the Area Plan include a needs assessment "based on surveys or interviews conducted by the area agency, records of the area agency, current secondary data from other agencies, public comments at advisory committee meetings and public hearings, analysis of demographic and census data, or other sources approved by the Office."

The Regulations further specify that the needs assessment be "of conditions of elderly people in the area which limit their ability to remain in or return to their homes and to participate in family and community life, quantifying to the extent practicable the range of current service needs of elderly people in various parts of the area and the extent and magnitude of specific needs, reflecting the unique needs of groups with common ethnic, age, geographic (including, for New York City, specific consideration of each borough), health, or economic characteristics."

In completing the needs assessment section of the Plan, AAA staff may find it helpful to review Technical Assistance Memorandum 14-TAM-02, "Service Needs Assessment, 2016-2020 Four Year Area Plan on Aging," dated June 16, 2014.

Question 1:

1a. Indicate the methods and processes the AAA used to gather and analyze data about the needs of older adults and the resources available to meet these needs.

1b. One of the key challenges for AAAs in planning and conducting a needs assessment is how to draw into the process the individuals who are usually the hardest to reach and those groups who are unserved or underserved by the AAA. Identifying and obtaining input from these individuals requires a high level of effort and commitment, and special consideration should be given to the need for bi-lingual staff and volunteers as appropriate. Careful planning is an essential element of this effort and should involve identification of the areas and particular populations/individuals most likely to be under-represented in the AAAs information gathering process. Once identified, AAA staff and Advisory Council members can then plan ways of ensuring the participation of the under-represented or special needs populations.

A strategy used in outreach ventures that may be applicable to needs assessment undertakings is that of identifying individuals and organizations within the community who are positioned to link the AAA with older adults and their caregivers who have special needs and who are unlikely to participate in hearings and other group needs assessment activities. Examples of such individuals, organizations and establishments would include the following: banks, beauty salons/barber shops, benefits counselors, businesses, civic & fraternal organizations, clergy/ religious leaders, county based government agencies, disability advocacy and service organizations, discharge planners, doctors/dentists, elected officials ethnic specialty stores, supermarkets, fuel deliverers, geriatric education centers, gerontology centers, health/medical clinics, home care agencies, hospitals, housing officials, libraries, mail carriers, managed care organizations, neighborhood associations, neighborhood/community leaders, nonprofit agencies serving diverse groups and/or immigrant populations, pharmacies, religious organizations,

schools/colleges/universities, supermarkets/ local retailers, transportation providers utility workers, veterans groups.

These individuals and groups may be able to display or provide information to older adults and/or caregivers about the needs assessment efforts. They may also be in a position to encourage older persons and their caregivers to complete surveys or participate in face to-face interviews and other activities the AAA may be conducting. Further, it may be possible to enlist their support in conducting door-to-door work.

Be sure to indicate how the particular method(s) were selected and were a successful strategy for reaching unserved and underserved older adults in greatest social or economic need, including but not limited to those older adults who are:

- Low income (OAA)
- Low income minorities (OAA)
- Individuals with limited English proficiency (OAA)
- Rural Residents (OAA)
- Native Americans (OAA)
- Institutionalized/at risk for institutionalization (OAA)
- Individuals with Alzheimer's and related disorders (OAA)
- Individuals with disabilities (OAA)
- Caregivers of individuals with Alzheimer's/related disorders and individuals with disabilities (OAA)
- Minorities (9NYCRR 6651.2(i))
- Frail (9NYCRR 6651.2(i))
- Vulnerable (9NYCRR 6651.2(i))
- LGBT (NYS Human Rights Law)
- Homebound (NYSOFA standard definition)

(as well as other locally identified populations in greatest social or economic need)

(Example- To reach and engage low income older adults, the AAA hosted a table at LDSS, food pantries and low-income housing, and coordinated with Farmer's Market Coupon distribution. In addition, staff surveyed older adults and their caregivers regarding needs. The AAA also held key informant interviews with staff of organizations that serve lower income adults.)

Question 2: AAA should provide details of efforts to engage LEP populations in needs assessment process and methods used for providing translation and interpretation services. Specific examples of efforts to engage LEP populations within the service area should be documented. (example: Notification that free language access services are available was posted, AAA contracts with XXX Telephonic Interpreter Services, AAA partnered with the following organizations XXXXXX, AAA used bi-lingual staff to interview LEP population)

Question 3: AAA to provide detail on how the needs assessment process was accessible to persons with disabilities. Methods for soliciting feedback from the following populations must be noted: persons with disabilities including, but not limited to, those with mobility, hearing, speech and visual impairments. *(Example: The AAA conducted focus groups at XXXX and YYYYYY Community Organizations to solicit input from persons with visual, speech and hearing impairments, notices and announcements were made that accommodations were available during the needs assessment process, methods included person's preferred method of communication, volunteers were readily available to read through the questions, needs assessment tool was made available in screen reader format, ASL interpreter was utilized)*

Question 4: Indicate how many AAA clients participated in the needs assessment process and provided information back to the AAA Assessment team?

Question 5: Briefly summarize what the AAA's analysis of all the data collected revealed. Total number of individuals that contributed to the needs assessment process should be included from all methods. Recurrent needs highlighted, identified needs in targeted populations.

Question 6: Provide a list of services that were identified as being most important for older adults to remain at home or return to their homes to participate in family and community life. *(For example, the needs assessment process may have shown that older adults and their caregivers rank home delivered meals as a very important service that enables them to remain in their homes.)*

Question 7:

7a. Provide a list of existing AAA services where an unmet need/gap has been identified, a best estimate of how many people you are unable to serve for each need/gap, the method used to quantify the unmet service need/gap, and the reason you are unable to provide the service. Codes are furnished on the form to identify the methods and reasons. If the AAA indicates a (g) "other" code in the methods column or a (d) "other" choice in the reasons column, use the "Other" column to identify the method or reason that is applicable.

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

Using this scenario, the AAA might complete question 8 as follows:

Unmet Service Need/Gap: Transportation

Reasonable estimate of people unable to serve: 20

Method: Code (a) – survey.

Reason: Code (b) – lack of service providers.

Other:

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

7b. Describe how the AAA plans to utilize CSE funding to address identified unmet needs and to improve coordination of existing community services for older adults in the Four Year Plan period. *(Example: The AAA will be providing transportation through a van service to rural and isolated older adults so that they may attend a congregated meal in XXX City, the closest meal site in the area. It is expected that 15 individuals will be served, providing this service once a week.)*

Question 8: Provide a list of any major local issues or themes identified through the needs assessment process.

Question 9: The AAA's Advisory Council has a number of important roles to play in the needs assessment process. The Advisory Councils help infuse community input and ideas into the AAA planning process. Council members represent a variety of constituencies, interests and geographic

areas, and their suggestions will provide helpful information to the AAA in reaching the goal of identifying the needs of older adults and their caregivers in the PSA. The Council members' ongoing involvement is required by Federal law and regulations and therefore the process should include their consultation and recommendations. (Section 306(a)(6)(d) of the Older Americans Act; and 45 CFR1321.57). Additionally, Council members can be used as a resource to help each AAA carry out planned data gathering activities. Lastly, the Advisory Council should play a key role in the establishment of AAA priorities, future directions and program planning that are made as a result of the identified needs. Describe the AAA Advisory Council's role in the needs assessment process.

SYSTEM DEVELOPMENT AND COORDINATION

Note: Complete this section for the 16-20 Four Year Plan Period

This section contains three questions on system and coordination objectives and internal AAA functions. System-wide advocacy efforts should be included as well as activities such as:

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

SERVICE/PROGRAM EVALUATION

Note: Complete this section for the 16-20 Four Year Plan Period

Check all methods used to determine program results. AAAs should also consult Program Instruction 99-PI-20, Program/Fiscal Monitoring, dated August 5, 1999, for references to program evaluation for contractors and directly provided service activities. Additionally, the Reporting Guide CAARS and Client Data Systems can be found on: <http://www.aarin.ofa.state.ny.us/Reporting/CAARS/CAARS.cfm>.

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

During this Four Year Plan period, NYSOFA will continue to work with AAAs to build capacity in outcome and performance measurement.

CONTRIBUTIONS AND COST SHARING

Note: Complete this section for the 16-20 Four Year Plan Period

Specify AAA and subcontractor contribution policies and practices as they apply to OAA, CSE, EISEP, WIN and CSI funded programs. Outline methods used to insure the voluntary nature, the confidentiality, and the security of these contributions. Please note, as well, that the 2006 reauthorization of the OAA specifies that voluntary donations, at contribution levels based on actual service costs, shall be encouraged from individuals whose self-declared income is at or above 185% of the federal poverty line.

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

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

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

PROJECTED RESOURCE INVENTORY

Note: Complete this section for the 16-20 Four Year Plan Period

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 during the Four Year Plan period.

Indicate the name of the Agency/Organization, contact information, the services provided which benefit the older adults in the PSA and an estimated annual 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.

Examples:

- 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.
- The AAA presents a proposal to the local transit authority that “Thursdays Seniors Ride Free”. Their planning department estimates that 40 older adults will take advantage of this at as annual

value of \$4,000. The transit board adopts this and service begins. The \$4,000 would be reported as an added resource secured through the efforts of the AAA.

- The AAA approaches the local Council of Churches with information of the need for expanded senior housing in their area. The AAA provides possible locations and grants that the council could apply for. The Council adopts this idea and proceeds forward with the involvement of the AAA. They are successful in obtaining the grant and funding and in building. The AAA can show the estimated value of this as a resource secured through their effort and involvement.

SENIOR CENTERS/DESIGNATED FOCAL POINTS

Note: Complete this section for the 16-20 Four Year Plan Period

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

In the roster, indicate if it is a Senior Center and/or Focal Point. For Senior Centers, also indicate if the site receives Title III funds and both the total funds and Title III funds provided annually by the AAA to the Senior Center. Additionally, for Senior Centers, indicate whether each of the categories of services listed are provided at that site.

LEGAL ASSISTANCE PROGRAM

Note: Complete this section for the 16-20 Four Year Plan Period

The Legal Assistance Program is an advocacy program providing older adults having economic or social need with legal advice and representation by an attorney. To meet the statutory and regulatory requirements with the limited OAA funding, legal assistance must be targeted to particularly needy persons, as specified in the OAA. The AAA should consider the existence and availability of other resources for meeting the legal needs of the targeted populations (see 94-PI-52) as it develops and administers its local program. The OAA requires the AAAs give priority to legal assistance related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect, and age discrimination. The OAA (related federal regulations) and state regulations (9 NYCRR §6654.12) require coordination of the OAA funded Legal Assistance Programs with the Legal Services Corporation (LSC) grant projects in the PSA and attempt to involve the private bar in legal assistance activities, including groups within the private bar furnishing services to older adults on a pro bono and reduced fee basis.

The following goal is based upon the federal and state statutory and regulatory requirements:

Goal: Partner with nonprofit organizations, private entities, governmental agencies and individuals to build a local, integrated legal services delivery system that effectively and efficiently uses the resources of the legal and advocacy communities to ensure the rights of older adults and to prevent their abuse, neglect and exploitation.¹

Step 1: Complete Table Identifying Organizations by Name (Table I) that are current and/or proposed local partners. Other entities that might be potential partners in meeting the legal assistance needs of older adults in your community include housing organizations, social services entities, health entities, family mediation organizations, family justice centers, and the court system (some of which have

¹ Goals inform the structuring of mission statements. Goals are often: lofty, aspirational, long term, and not always measurable.

programs that offer assistance for people representing themselves in a legal matter or provide forms that the public can use).

There are two categories of partners:

- **Required partners** are: Legal Assistance Provider(s), the Legal Services Corporation Grantee, the private bar (i.e., county-based Bar Association and/or other attorney membership organizations in the area), and the regional / local Long Term Care Ombudsman Program (LTCOP).
- **Suggested partners** may include: governmental agencies (e.g., the agency responsible for protective services for adults, the courts and the regional office of the New York State Attorney General), nonprofit organizations (particularly those that provide legal assistance or advocacy services), and private entities (i.e., law firms, private practitioners and law schools). The table includes an unlimited number of spaces to identify other organization types providing the AAA the opportunity to include other interested organizations and individuals as partners to achieve the goal and objectives.

Step 2: Complete the Planning Table (Table II). The AAA is to set a minimum of 2 objectives ² for the Four Year Planning Period. For each objective identify the partners, describe the strategies and action steps planned for the four year period and the projected outcomes and, if possible, performance measures. The AAA may include strategies and action steps, in the form of programs and projects, etc., for which the AAA is an active partner/participant, though not the lead organization.

The structure of this section of the Legal Assistance Program portion of the Four Year Area Plan has been designed to facilitate planning. The instructions for this section are covered in the order they appear in the table.

A. Phase/Year

For phase/year indicate the timeframe during which the AAA will be taking actions towards achieving the objective. A response of “ongoing” is acceptable if the AAA plans that the strategies and action steps will continue for the full four year plan period.

B. Objectives

List the AAA’s objectives for delivery of legal assistance that satisfies the following federal and state requirements for Legal Assistance:

- Coordination of area agency OAA funded legal assistance with existing Legal Services Corporation (LSC) projects in the PSA, to assure that older adults receive a proportional share of representation from the LSC grantee and avoid duplication;
- Prioritization of legal assistance/services related to income, health care, long-term care, nutrition, housing, utilities, protective services, limited guardianship matters permitted by the OAA, abuse, neglect and age discrimination to older adults;
- Effort to be made by the legal assistance provider(s), in coordination with the AAA, to involve the private bar in legal assistance for older adults on a pro bono or reduced fee basis;

² Objectives are strategic steps in realizing those goals. Objectives are often: obtainable, short term, concrete, specific, and measurable.

- Development of a system of assisted case referrals to the private bar, including appropriate follow-up to verify that services have been provided; and
- Assistance to the local long-term care ombudsman program in the form of providing information and technical assistance to the local program related to resident rights and other legal issues of older adults in the facilities covered by the ombudsman program³.

The AAA may use the above requirements to develop its objectives. For example, if the AAA does not contract with the LSC Grantee and has not established a relationship through which it is able to coordinate OAA funded legal assistance with the LSC Grantee's projects and assure that older adults receive a proportional share of representation from the LSC Grantee, the AAA could make it one of its objectives.

C. Partners

AAAs are encouraged to identify entities in addition to the LSC grantee that are providing legal assistance in the AAA's service area and other organizations whose mission relates to assisting people experiencing problems related to the priority categories. List the AAA's local partners (both required and suggested) necessary to develop, operate, and/or support the coordinated delivery of legal assistance/services related to income, health care, long-term care, nutrition, housing, utilities, protective services, limited guardianship matters⁴, abuse, neglect, and age discrimination to older adults in greatest social or economic need⁵.

D. Strategies & Action Steps

Strategies outline how the goals and objectives will be achieved. The AAA, in consultation with the AAA's providers of legal assistance and organizations identified as partners, is to briefly describe strategies and action steps it plans to utilize to achieve the AAA's objectives.

An example of an action step would be for the AAA to contact the LSC Grantee informing the organization of the needs of older adults in regard to legal assistance related to subject matter generally covered by the LSC grant funded projects, a description of the scope of the OAA funded program through the AAA's provider(s) of Legal Assistance, and invite the LSC Grantee to meet with the AAA to discuss matters of mutual concern and ways to leverage their respective programs to best serve the people in need of legal assistance through coordination.

E. Projected Outcomes

Specify expected outputs, deliverables, outcomes, and the potential ways in which to measure these sought after changes. Outcomes focus on the benefit older adults are expected to derive from the strategies guided by both goals and objectives.

³ The assistance must be related to providing legal advice and representation to older individuals with economic or social need. The funds may not be used to provide general legal counsel to the organization that operates the local ombudsman program.

⁴ With respect to legal assistance related to guardianship matters, pursuant to the OAA the provider may represent: the alleged incapacitate person to defend him or her in a proceeding for the appointment of a guardian; individuals who are subject to a guardianship order in seeking a modification; older individuals who seek to become guardians if other adequate representation is unavailable in the proceedings; or older individuals who provide uncompensated care to their adult children with disabilities and for such individuals counseling to assist such older individuals with permanency planning for such children.

⁵ Legal assistance is the only defined service in the OAA that includes a targeting requirement as part of the definition. Legal assistance is defined in OAA §201(33) as "legal advice and representation provided by an attorney to older individuals with economic or social need".

The AAA may contact the Aging Services Representative assigned to the agency to obtain technical assistance in the completion of this section.

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 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 (borough) 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. a. – e. Self-explanatory
4. Describe how the AAA notified older adults, service providers and the general public of its public hearing(s) in conjunction with the 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).
5. – 8. 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

Note: Complete this section for the 16-20 Four Year Plan Period

When a disaster strikes, older persons and persons with disabilities may experience public health and human service needs that threaten their well-being. The growth of the aging population and the increasing numbers of frail older adults and persons with disabilities present unique challenges to community wide disaster planning and response efforts. The involvement of AAAs in disaster preparedness and response activities in coordination with community partners is crucial in keeping 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 governments, and any other entities that have responsibility for disaster relief service delivery. (OAA SEC 306 a (17)) Indicate plans for the Four Year Plan period in this section.

1. Although the AAA is not the primary responder in the event of a disaster, the AAA needs to have a strong and active presence in the local disaster preparedness planning response efforts and represent the needs of all older adults including those who are not registered clients. Describe in detail the activities the AAA participates in to develop, maintain, and implement disaster preparedness plans. Examples of activities include: ongoing participation in county wide disaster planning teams, distribution of emergency preparedness checklists, disaster preparedness trainings, etc.
2. Self-explanatory
3. Describe specific procedures AAA has in place to identify and meet the needs of individuals with disabilities and individuals with dementia during a disaster. Some examples include: blizzard bags, plan to check on individual's welfare, etc.
4. Self-explanatory

AREA AGENCY PROGRAM AND SERVICE INFORMATION

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

NUTRITION SERVICES

Note: Complete this section for the 16-20 Four Year Plan Period

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 period. 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; or adding or dropping restaurants in a restaurant voucher program supported by an AAA.

Complete **ATTACHMENT C** for any changes 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. Enter the number of hours provided by any other Nutrition Professional that is either on staff at the AAA or an AAA Consultant. Titles included are Certified Dietitians/Nutritionists (CDNs); Certified Clinical Nutritionists (CCNs); Nutrition Technicians; and others as listed by the AAA.

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

2. This question is new for the 16-20 Four Year Plan. Please describe how the AAA delivers Nutrition Counseling Services to meal program clients. NYSOFA is looking for information on any strategies that AAAs have for determining the clients to counsel; procedures in place for discerning the need for counseling based on the Nutrition Risk Assessment; and, whether or not the actual number of counseling sessions is increasing or decreasing and why.

3. Similarly, this question seeks information on the AAA's ability to deliver Nutrition Education program to both the Home Delivered Meal (HDM) clients and Congregate participants. The Nutrition Standards call for Nutrition Education to be provided monthly to those receiving HDMs and at least six times per year to Congregate Meal participants. Please provide a breakdown of the number of units of this service that are being projected annually.

Questions 4, 5 and 6 require information on specific aspects of the nutrition programs in each county. This is information that was requested by the NYSOFA Nutrition Consultants when they reviewed each AIP, and therefore has been added to the Plan.

4. Please provide the number of food preparation kitchens within the county used for congregate and HDM meal production. (follow instructions on the screen)

5. Please provide the number of Congregate Dining Sites currently open within the county. (follow instructions on the screen)

6. Please provide the current number of Home Delivered Meal Routes in operation by the AAA.

HEALTH PROMOTION SERVICES

Note: Complete this section for the 16-20 Four Year Plan Period

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

Note: 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/CPE/OPE/ADEPP.aspx>
- National Council on Aging listing of highest-level criteria programs: <https://www.ncoa.org/resources/highest-tier-evidence-based-health-promotion-disease-prevention-programs/>
- 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
- 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
- National Council on Aging evidence-based program information: <http://www.ncoa.org/improve-health/center-for-healthy-aging/about-evidence-based-programs.html>

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 annually for the Plan period. 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 Plan 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.

The information entered on this page (i.e. number of participants, funding) and the Service Delivery and Resource Allocation Page (i.e. funding, individuals and units for Health Promotion) should relate to each other.

CAREGIVER SERVICES

Note: Complete this section for the 16-20 Four Year Plan Period

Title III-E: New York Elder Caregiver Support Program

1a. 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. Per the 2006 amendments to the OAA, this chart includes services that the AAA plans to provide to caregivers caring for someone younger than 60 with Alzheimer’s disease or a related disorder. For each service the AAA plans to provide with Title III-E funds, check (√) the Title III-E

column. Check the column headed 'Other' and 'Identify' for the applicable services when the AAA is using other funding sources (i.e., not Title III-E) to meet the requirement noted above. Check both columns if the AAA is using III-E and Other funding. Provide a complete illustration of the services provided to caregivers and how each is funded.

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, 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 the Title III-E Chart 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.

<u>Service as Listed in Title III-E Chart</u>	<u>Service as Listed in Title III-E Col. SERVICE DELIVERY & RESOURCE ALLOCATION PLAN (Fiscal Pg 1)</u>
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 the **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 placed 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.

1b. 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.

2. **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 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).

3. 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

Note: Complete this section for the 16-20 Four Year Plan Period

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. If the AAA is a SCSEP (Title V) grantee, indicate Yes and complete the remainder of the page. If the AAA is not a SCSEP (Title V) grantee, indicate No and proceed to the next section.

2a. & 2b. The Workforce Innovation and Opportunity Act (WIOA) and the 2006 OAA requires any sub-grantee operating a

SCSEP in a local area to negotiate a Memorandum of Understanding (MOU) with the Local Workforce Investment Board (WIB). 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.

1. Indicate the number of participants the AAA has on a waiting list. Enter 0 if there are none.

2. The AAA must detail the strategies used to recruit SCSEP "most-in-need" populations in the county. Specific recruiting strategies must be provided even if the representation of SCSEP "most-in-need" populations in the county is low.

SCSEP "most-in-need" populations are described as individuals who:

- have a severe disability;
- are frail;
- are age 75 or older;
- meet the eligibility requirements related to age for, but do not receive, benefits under title II of the Social Security Act;
- live in an area with persistent unemployment and are individuals with severely limited employment prospects;
- have limited English proficiency;
- have low literacy skills;
- have a disability;
- reside in a rural area;
- have low employment prospects;
- have failed to find employment after utilizing services provided through the One-Stop delivery system;
- are veterans; and,
- are homeless or at risk for homelessness.

3. At the beginning of each SCSEP year, the United States Department of Labor (USDOL) establishes performance level goals for the following core indicators of performance: Community Service; Entered Employment; Employment Retention; Average Earnings; Service Level; and, Service to the Most-in-Need. NYSOFA will transmit the performance measures to the AAA. 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 \$585 per day for any consultants which may be engaged to work on the Title V program.

HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM (HIICAP)

Note: Complete this section for the 16-20 Four Year Plan Period

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, during 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 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 fourteen questions related to Health Insurance Counseling. Questions 1-5 have been developed in a manner that affords AAAs the ability to report on the past year's progress and current status as well as to describe planned activities. Counties are encouraged to provide enough narrative and program descriptions to ensure NYSOFA's understanding of the program and thereby, facilitate approval.

1. Please describe all efforts taken by HIICAP in 2015-2016 to expand total client contacts through outreach and counseling. Also, please include any planned changes for the Plan period that will expand outreach and counseling efforts.
2. Please describe all actions taken by HIICAP in 2015-2016 to expand public and media outreach events. Also, please include any planned changes for the Plan period that will expand your public and media outreach.
3. Please describe all actions taken by HIICAP in 2015-2016 to expand outreach in serving Medicare beneficiaries under the age of 65 with a disability. Also, describe any planned changes for the Plan period that will expand outreach in serving Medicare beneficiaries under the age of 65 with a disability.
4. Please describe all actions taken by HIICAP in 2015-2016 to reach low-income beneficiaries. Also, please include any planned changes for the Plan period that will expand outreach to serve low-income beneficiaries.
5. Please describe all actions taken in 2015-2016 that increased the number of Medicare beneficiaries who received part D enrollment assistance. Also, please include any planned changes for the Plan period that will expand the number of beneficiaries who need Medicare part D enrollment assistance.
6. Please describe all actions HIICAP will take to reach and serve populations with limited English proficiency; low literacy; targeted ethnic and racial groups; and those who live in intense urban or rural areas.

7. Please tell us if your HIICAP program conducts screenings, such as criminal background and/or finger printing, for paid staff, counselors and/or volunteers. If yes, then please indicate the type of screening and the organization that provides these services.
8. Please describe the activities your HIICAP program will provide in counseling and educating the public on Medicare wellness and preventive benefits. Be sure to include specific examples of the resources you plan to use.
9. This question provides NYSOFA with information on how many weekly “paid” hours the HIICAP Coordinator dedicates to the program. Be sure to only include the HIICAP Coordinator’s hours. Do not include additional support staff.
10. Please answer yes/no in regards to the HIICAP Coordinator performing other non-HIICAP functions for the agency.
11. Please provide the days and hours of operation that HIICAP is available to provide one-on-one assistance to Medicare beneficiaries.
12. The Managed Care Consumer Assistance Program (MCCAP) is a state funded program that consists of several non-for profit agencies. These agencies provide assistance to HIICAPs and low-income seniors and beneficiaries with disabilities in accessing services and reducing their Medicare costs. The network provides various services including, but not limited to:
 - General Medicare and Medicaid information and assistance on (dual) eligibles;
 - EPIC, Extra Help, and Medicare Savings Program counseling and enrollment;
 - Legal representation in Medicare appeals and Medicaid Fair Hearings;
 - Counseling around long-term care and home care; and
 - Referral assistance to HIICAP during the Annual Election Period (AEP).

MCCAPs collaborate with NYSOFA to take referrals of the most complicated cases, resolving issues and reporting regularly on client outcomes. Please answer yes or no on whether your HIICAP program utilizes MCCAPs.

If yes, please select the MCCAP agency(s) that your County HIICAP Program utilizes. Then, select the services that the identified MCCAP(s) provide assistance with. If other is selected, please specify.

13. Please specify the number of HIICAP volunteers your program currently has.
14. This question provides NYSOFA with information on volunteer recruitment. Be sure to include the names of any organizations that the AAA has partnered with to increase volunteer efforts.

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.

GENERAL SERVICES

Note: Complete this section for the 16-20 Four Year Plan Period

For each service category (1-5), check (√) the type(s) of activity planned to be offered by the AAA during the Four Year Plan period. Insert a brief description regarding any other activities which are written in by the AAA. Brief narrative information regarding agency services may be added, but is not required.

MANAGED LONG TERM CARE (MLTC) PLANS/MANAGED CARE ORGANIZATIONS (MCOs)

Note: Complete this section for the 16-20 Four Year Plan Period

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. NYSOFA recommends that any contracts for these services should ensure that the AAA is fully reimbursed for the cost of the services provided plus some administrative costs for reporting, etc. 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 2016-17 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 and ‘Other: specify’ programs, the appropriate line number(s) on which to include the various program funds is indicated in the far right column.

AAAs must include, in the ‘Funding Amount’ column, the full amount of the program they are administering. For example, Title V programs must include their total budget amount, including Federal Title V funds and local matching funds.

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.) AAAs must also include Line 21, 'Other Services' entries for all Line 21 services included on the 'Other NYSOFA Funding and Services' page, e.g. there must be an entry for Title V program operators for 'Employment Services' to be included on Line 21 of the Service Delivery and Resource Allocation Plan page.

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 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 the **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, NY Connects/ADRC programs and NY Connects Expansion/BIP 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 2016-17 and beyond.

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

For additional information or assistance about implementing the above options for funding of access and supportive services, AAAs should contact their assigned ASR or 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-intuitional respite and ancillary services must equal the amount on Line 5

in the 'EISEP' column, and the sum of in-home contact and support allocated to non-institutional respite and ancillary services must equal the amount on Line 15 in the 'EISEP' column.

**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 **PERSONNEL 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 1/1/16-12/31/16.

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 (names should be entered as follows: surname, first name – please include the comma), select from the drop down list the most appropriate title for the individual, and enter 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 and duties. The 'Other-specify' selection should only be used when an employee's duties cannot be approximated by a predefined title in the drop down menu.) 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, by checking the box provided, 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	NY Connects Expansion/BIP		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 by 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 1/1/16-12/31/16. 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	NY Connects Expansion/BIP	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 1/1/16-12/31/16.

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 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	NY Connects Expansion/BIP		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.
- h) Same as g above.

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 all of the appropriate check box(es) to indicate:
 - Contractor type – For Profit, Not-for-Profit, Other Gov't.
 - Note: it is critical to meet Federal requirements that all For Profit contractors be noted as such; AAAs must take care to correctly categorize all contractors.
 - MWBE – a minority or women owned business enterprise
 - Rural contractor

RD – registered dietitian
Consultant

- 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 and Women-owned Business Enterprise (MWBE) 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, HHCAP, 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” in the Service Delivery and Resource Allocation Plan section 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 Personnel Roster and Maintenance and Operations Sections 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:

Program		Cost Categories	
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 2016-17. If approved Medicaid personal care rates for 2016 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 - _____

Subtotal \$ _____

Less: EISEP Implementation column, Line 11 Net Total - _____

Total EISEP State & Local Services Costs \$ _____ [e]

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 2016-20 Four Year Plan.

AAAs may not modify the Standard Assurances.

ATTACHMENT B: Priority Services

The October 1, 2014 - September 30, 2015 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 2015 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 (10/1/14 through 9/30/15). 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.

Attachment B indicates that AAAs may use their CAARS reports to assist with the completion of Attachment B. However, since CAARS reports are completed on an accrual basis, they may not reflect the **actual** expenditures incurred during the most recent federal fiscal year. If the Attachment B expenditure report indicates that the AAA has not complied with the minimum required Priority Services percentages, the AAA should review their **actual** expenditures based on contractor claims or direct AAA costs associated with service category(ies) in order to complete Attachment B.

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, 2014, [4] select ending period of September 30, 2015, 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. Consult 15-TAM-01 for additional information.

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 Plan that has been approved by NYSOFA. Additionally, **ATTACHMENT C** must be submitted and approved by NYSOFA for planned and proposed major changes during a plan period. Please consult 15-TAM-01 for additional information, including sets of questions to answer when preparing Attachment C entries for certain categories of major changes.

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** by checking the appropriate box. If the AAA is not making any program design modifications in the **Attachment C**, the second box 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 2016-2017 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 4/1/2015 – 3/31/2016 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 4/1/2015 – 3/31/2016 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

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 2016-2017 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 2016-2017 submission against the data from SFY 2015-2016 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 2016-2017 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 2015-2016 Plan. The second column represents the CPU projection from the proposed SFY 2016-2017 Plan. The third column will calculate the variance between SFY 2015-2016 and the SFY 2016-2017 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, 2014 to June 30, 2015, as calculated using actual CAARS and client data. The fifth column represents the variance between SFY 2016-2017 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 individuals name and number of hours of service provided from the documentation you maintain.