

NEW YORK STATE OFFICE FOR THE AGING

2 Empire State Plaza, Albany, NY 12223-1251

Andrew M. Cuomo, Governor Corinda Crossdale, Director
An Equal Opportunity Employer

PROGRAM INSTRUCTION	Number 15-PI-16
	Supersedes 14-PI-11
	Expiration Date

DATE: September 24, 2015

TO: Area Agency on Aging Directors

SUBJECT: SFY 2016-20 Four Year Plan

.....

PURPOSE:

To transmit the Four Year Plan for the period 4/1/16-3/31/20 (hereafter referred to as the Plan) and Guide for Completion (hereafter referred to as the Guide) for Titles III-B, III-C-1, III-C-2, III-D, III-E, V, Expanded In-home Services for the Elderly Program (EISEP), Community Services for the Elderly (CSE), Congregate Services Initiative (CSI), Wellness in Nutrition (WIN), State Transportation Program, Caregiver Resource Centers (CRCs), and Health Insurance Information, Counseling and Assistance Program (HIICAP) and to provide an overview of changes that have been made to the Plan documents.

ACTION REQUESTED:

AAAs must complete and submit the Plan including the Applications for Funding, Personnel Roster, Equipment Schedule, Rent Allocation Schedule, Contractor Roster and all appropriate Attachments by Friday, **December 4, 2015**.

BACKGROUND:

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

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

The Plan development process is an important tool for helping empower communities to evaluate and improve local services for older adults and to identify community needs. The Plan also helps prioritize the use of federal, state and local resources, as well as identify strategies to improve coordination that best address these local needs and implement changes in the aging network.

In addition, the Plan development process includes the needs assessment process, and associated Public Hearing(s). The Plan development process should be used by each AAA to help focus attention on current and new aging network systems development priorities. Also there may be important systems development initiatives that AAAs may wish to address during the upcoming plan development process.

PUBLIC HEARINGS

A formal public hearing must be held at least thirty (30) days prior to the date that the Plan is submitted to NYSOFA. Notice of the public hearing must be published at least twenty-one (21) days before the hearing. For these public hearings, information must be available that provides a summary of the AAA's fiscal and service projections, any significant changes in service delivery and/or changes to service locations, and any major modifications to the overall goals of the AAA.

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

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

AREA AGENCY ADVISORY COUNCIL

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

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 following is a summary of key areas in which there have been changes:

With the exception of the fiscal pages/Applications for Funding, the 2016-20 Four Year Plan is a plan for four years. Responses to questions should provide the AAA's plans for the next four years. Annual Implementation Plans will no longer be issued or submitted between Four Year Plans. Mechanisms will be in place for updating fiscal and program content between Four Year Plans, and further direction will be provided.

- **Demographic Data and Targeting Objectives:** The source of the demographic data for this Plan is the American Community Survey: 2008-2012 Five Year Estimates. The table now includes a column where minimum numbers of registered clients to be served are displayed for AAA reference while completing the table.
- **Senior Centers/Designated Focal Points Roster:** Funding questions and a new question regarding services provided are to be answered for Senior Centers.
- **Legal Assistance:** This page has been redesigned; direction and guidance can be found in the Guide and additional technical assistance issued by NYSOFA.
- **Nutrition Services:** Questions have been added to capture: hours of service to be provided by non-RD professional nutrition staff as well as planned provision of Nutrition Counseling and Nutrition Education.
- **Health Promotion Services:** Additional highest-level evidence-based health promotion model programs (III-D fundable) have been added to the drop-down menu in the roster on this page.
- **Caregiver Services:** Title III-E table now asks for a complete illustration of the services provided to caregivers and how each is funded.
- **Health Insurance Information Counseling and Assistance Program (HIICAP):** This page has been redesigned; direction and guidance can be found in the Guide.
- **Senior Medicare Patrol (SMP)** is no longer included in the Plan.
- **Other Services:** AAAs are required to include a description for ALL 'Other Services' – Line 21 Services on the Service Delivery and Resource Allocation pages, including those funded by NYSOFA, e.g., Title V - Employment Services. This page was also revised to require AAAs to enter a definition or description of the units of service for each 'Other Service'.
- **Service Delivery and Resource Allocation** pages have been revised to include lines for NSIP Eligible versus NSIP Ineligible Meals for Home Delivered Meals.
- **Service Delivery and Resource Allocation Plan – State & All Other Programs –** AAAs must enter estimated units of service and funding amounts for 'All Other Programs' administered by the AAA. A total of 24 lines are provided in the legend at the bottom of the page to indicate the funding source(s). The numbers associated with the funding streams must be used to identify the source(s) in the "Funding Source" column for all of the other programs the AAA administers. If an AAA cannot adequately fit the required number of identifying numbers in the column for 'Funding Source' or needs more than 24 codes to fully indicate all of the funding they administer, please submit a separate worksheet or description which fully explains all of the AAAs activities.

- **Personnel Roster:** The requirement to use asterisks to designate individuals responsible for the Nutrition Program oversight or operations and individuals whose salaries are provided as In-Kind has been removed and check boxes have been added to allow AAAs to make these designations on the Personnel Roster.
- **Contractor Roster:** The contractor roster has been reformatted to display the contract status as a Not-for-Profit or For Profit Entity. This will be displayed on the Contractor Type line. AAA requirements regarding contracts with for profit entities will be issued via a separate Program Instruction.
- **Attachment B:** The instructions have been expanded to direct AAAs who do not appear to meet one or more of the Priority Services when using CAARS data, to review their actual program expenditures and amounts claimed for the services in question to determine the correct amounts to include on Attachment B.

In addition to these changes, the **Standard Assurances** have been updated (e.g., Standard Assurances applicable to Title V and HIICAP have been revised to be consistent with the federal requirements applicable to these programs and Standard Assurance 10.1[O] has been revised to clarify that neither the AAA nor its contractors may employ a means test in determining eligibility for a program or for services). NYSOFA recommends that AAAs review all of the Standard Assurances.

TENTATIVE ALLOCATIONS:

Tentative allocation schedules for use in completing the 2016-17 Applications for Funding are included with this Program Instruction. The tentative allocations were prepared assuming that NYSOFA will receive the same amount of Federal and State funding as in 2015-16. Please note, that Title III allocations will vary some due to the effects of the Intrastate Funding Formula, including the inclusion of updated demographic data from the American Community Survey. The Title V allocations are subject to change if the United States Department of Labor (USDOL) revises the number of participant slots per grantee. **Nutrition Services Incentive Program (NSIP) Rate:** AAAs should use a per meal rate of **74 cents per meal** when budgeting for NSIP.

CONDITIONAL GRANT AWARDS:

AAAs may request conditional Notifications of Grant Award (NGAs) under Titles III-B, III-C-1, III-C-2 and III-E. Issuance of conditional NGAs allows the AAA to request advance payments for FFY 2015 under these programs, prior to receiving their approved Plan.

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

1. The Plan and Funding Applications must be submitted complete and in its entirety. Conditional NGAs will not be available for Title III-D due to the small amounts of money involved.
2. Conditional NGAs will be available only to those AAAs that participate in the advance vouchering payment system. NYSOFA will only authorize the payment of advances against the federal award (up to three monthly advances of eight (8)

percent each - see Program Instruction 96-PI-14, 4/8/96 for advance system details). When requesting any advance from NYSOFA, please note the federal requirement that a grantee or subgrantee keep only enough cash on hand to meet its immediate needs. Also note that AAAs that have requested an advance in the past, but did not fully expend these funds during this three month period, may have their advance requests denied or reduced depending on the specific situation. All Title III advance requests must be received within thirty (30) days of the start of the program period. Advance requests received later than thirty (30) days after the start of the program period may not be granted.

3. The necessary safeguards will be incorporated into the remarks of the conditional NGAs. Conditional NGAs will be issued after the Plan and applications for funding have received initial review and appear approvable, with relatively minor adjustment(s) and NYSOFA receives its Title III allotment from AoA/ACL for FFY 2016. Requests for conditional NGAs must be received by NYSOFA no later than the beginning date of the program period. Requests for conditional NGAs received after this date will not be granted.

REVIEW OF COSTS PER UNIT OF SERVICE:

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

During the initial review of the Plan, NYSOFA fiscal and program staff will examine the proposed average CPUs contained in the Plan submission against the data from the current SFY 2015-16 Plan. Staff will also compare the proposed Plan numbers to the SFY 2014-2015 CAARS and client data. Any CPUs that vary by ten (10) percent or more in the respective areas will be noted and the AAA will be asked to explain the variance. The CPU calculation and comparisons will be available to AAAs on the web-based version of the Plan. AAAs will be able to enter their explanation for variances outside the acceptable range online and submit them with the Plan.

AAA personnel are encouraged to consult other resources when preparing the Plan documents and related funding applications. For example, Technical Assistance Memorandum 97-TAM-06 (12/16/97) provides guidance about how to define, collect and interpret cost data to determine accurate congregate and home delivered meal costs. The TAM includes instructions and six worksheets an AAA can use to help calculate various cost centers. AAA personnel are also encouraged to refer to Program Instruction 14-PI-02, Standard Definitions for Service and Units of Service.

WEB-BASED APPLICATIONS:

AAAs are required to complete the web-based forms through the reporting web link (<http://www.reporting.aging.ny.gov>) on AAARIN and submit them electronically to NYSOFA. These interactive forms will be available on AAARIN for AAAs to download on or about October 1, 2015. AAAs may download instructions and forms from AAARIN.

SUBMISSION REQUIREMENTS:

On or before **December 4, 2015**, AAAs are required to submit the completed Plan

including all funding applications and rosters via the web-based forms. AAAs are also required to submit the signed Plan Review and Approval page as described in the Guide for Completion.

PROGRAMS AFFECTED:

- | | | | | |
|---|---|---|--|---------------------------------|
| <input checked="" type="checkbox"/> Title III-B | <input checked="" type="checkbox"/> Title III-C-1 | <input checked="" type="checkbox"/> Title III-C-2 | | |
| <input checked="" type="checkbox"/> Title III-D | <input checked="" type="checkbox"/> Title III-E | <input checked="" type="checkbox"/> CSE | <input checked="" type="checkbox"/> WIN | <input type="checkbox"/> Energy |
| <input checked="" type="checkbox"/> EISEP | <input checked="" type="checkbox"/> NSIP | <input checked="" type="checkbox"/> Title V | <input checked="" type="checkbox"/> HIICAP | <input type="checkbox"/> LTCOP |
| <input checked="" type="checkbox"/> Other: CSI, CRC, State Transportation | | | | |

CONTACT PERSON:

Aging Services Representatives

TELEPHONE:

(518) 473-5108

2016-20 FOUR YEAR PLAN

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PLAN REVIEW AND APPROVAL

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

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

Program	Program Period	Program Applied For
Title III-B	January 1, 2016 to December 31, 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-C	January 1, 2016 to December 31, 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-D	January 1, 2016 to December 31, 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	January 1, 2016 to December 31, 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title V	July 1, 2016 to June 30, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
WIN	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No

I agree to comply with all applicable federal, state and local laws and regulations, program standards, and standard assurances which affect any funds, (including matching funds and program income) used for programs described in this Plan. I have read and agree to comply with all of the Standard Assurances (Attachment A) in the Plan. In addition, I certify that no amendments have been made nor will be made to the standard assurances in the Plan. Furthermore, I agree to comply with all attachments submitted as part of this Plan and indicated on the Attachment Check List.

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

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

Signature of Director of Area Agency on Aging

Date

Signature of the Chief Officer of the Governing Body of the Sponsoring Organization
(if other than county/City of New York/Native American Organization)

Date

LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL

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

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

1. The _____, an area agency on aging established pursuant to the Older Americans Act of 1965, as amended, has been duly designated by me pursuant to New York State Elder Law §214.

Community Services for the Elderly Program

Expanded In-home Services for the Elderly Program.

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

Signature (Use ink. "per" signature not acceptable)

Date

PLAN REVIEW AND APPROVAL

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

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

Program	Program Period	Program Applied For
Title III-B	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-C	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-D	January 1, 2016 to December 31, 2016	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title V	July 1, 2016 to June 30, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
WIN	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2016 to March 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No

I agree to comply with all applicable federal, state and local laws and regulations, program standards, and standard assurances which affect any funds, (including matching funds and program income) used for programs described in this Plan. I have read and agree to comply with all of the Standard Assurances (Attachment A) in the Plan. In addition, I certify that no amendments have been made nor will be made to the standard assurances in the Plan. Furthermore, I agree to comply with all attachments submitted as part of this Plan and indicated on the Attachment Check List.

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

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

Signature of Director of Area Agency on Aging

Date

Signature of the Chief Officer of the Governing Body of the Sponsoring Organization
(if other than county/City of New York/Native American Organization)

Date

LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL

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

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

1. The _____, an area agency on aging established pursuant to the Older Americans Act of 1965, as amended, has been duly designated by me pursuant to New York State Elder Law §214.

Community Services for the Elderly Program

Expanded In-home Services for the Elderly Program.

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

Signature (Use ink. "per" signature not acceptable)

Date

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

OFA No. 32 (rev.09/15)

**FOUR YEAR PLAN
APRIL 1, 2016-MARCH 31, 2020
FOR OLDER AMERICANS ACT,
NEW YORK STATE 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**

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

Area Agency on Aging (AAA): _____ County Code: _____
Director's Name: _____ Title: _____
Address: _____
City: _____, New York Zip Code _____
Phone Area Code: _____ Number: _____ Email _____

For County/City of New York/Native American Organization

Name of the Chief Executive Officer: _____ Title: _____
Address: _____
City: _____, New York Zip Code _____
Phone Area Code: _____ Number: _____ Email _____

OR

If other than County/City of New York/Native American Organization

Name of the Sponsoring Organization _____
Name of the Chief Officer of the Governing Body of the Sponsoring Organization: _____
Title: _____
Address: _____
City: _____, New York Zip Code _____
Phone Area Code: _____ Number: _____ Email _____

Official Authorized to Receive Payments on behalf of the AAA

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

**Submit To:
New York State Office for the Aging
Division of Aging Network Operations
2 Empire State Plaza, 3rd Floor
Albany, NY 12223-1251**

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

OFA No. 32 (rev.09/15)

GOALS

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

Goal 1

Empower older New Yorkers, individuals with disabilities, their families and the public to make informed decisions about, and be able to access, existing health, long term services and supports and other service options.

Activity(ies):

Rationale:

Goal 2

Enable older New Yorkers to remain in their own homes with high quality of life for as long as possible through the provision of home and community-based services, including supports for family caregivers.

Activity(ies):

Rationale:

Goal 3

Empower older New Yorkers to stay active and healthy through Older Americans Act services and those offered under Medicare.

Activity(ies):

Rationale:

Goal 4

Integrate ACL discretionary grants (i.e. BIP, ADRC-NY Connects, Systems Integration) with OAA Title III core programs.

Activity(ies):

Rationale:

Goal 5

Promote the rights of older New Yorkers and prevent their abuse, neglect and exploitation.

Activity(ies):

Rationale:

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

OFA No. 32 (rev.09/15)

Goal 6

Work in conjunction with other partners and the County to be prepared to respond in emergencies and disasters.

Activity(ies):
Rationale:

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

Goal 7

Activity(ies):
Rationale:

Goal 8

Activity(ies):
Rationale:

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

OFA No. 32 (rev.09/15)

DEMOGRAPHIC DATA AND TARGETING OBJECTIVES

	A. American Community Survey: 2008-2012 Five Year Estimates*	B. Total Number: Registered Clients	C. Minimum number of Registered Clients to be Served Annually	D. Number Registered Clients to be Served Annually**
1. Total number of persons 60 years and older in the PSA (Planning and Service Area):				
2. Total number of persons projected to be served annually under this Plan:				
3. *** Please provide a breakdown for the total on line 2 as follows:				
a)75-84 years				
b)85 years and older				
c)Live Alone				
Clients by Ethnicity				
d)Hispanic				
Clients by Race				
e)Native American/Alaskan Native				
f)Asian				
g)Black or African American				
h)White Hispanic				
i)White not Hispanic				
j)Native Hawaiian/Pacific Islander				
k)Other Race				
l)2 or More Races				
Clients by Key Characteristics				
m)Frail and/or Individuals with Disabilities****				
n)Low Income (below 150% of poverty)				
o)Low Income Minority (below 150% of poverty)				
p)Limited English Proficiency****				
q)Rural****				

* The pre-printed demographic figures (Column A), Client data (Column B) and Minimums (Column C) are only provided on the web-based version of this form. These estimates are the best available data from the Census Bureau.

** Registered clients are those receiving a Cluster 1 or Cluster 2 service.

*** A complete list of targeted groups can be found in the Guide for Completion.

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____ Last Saved By: _____
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OFA No. 32 (rev.09/15)

****** Please see *Guide for Completion* for definitions of *Rural, Limited English Proficiency* and *Frail and/or Individuals with Disabilities*.**

4a. Specify the planned targeting activities for the Plan period that are designed to increase participation of unserved and underserved older adults in greatest social or economic need, particularly those older adults who are:

- Low income (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)

4b. If the AAA did not achieve targeting objectives set forth in its 2015-16 Plan, specifically describe how the AAA will modify its targeting activities for this Plan period to improve its efforts to reach older adult cohort(s) (as described above) for which the goal(s) was not achieved.. (In determining whether past targeting objectives were achieved, see QUARTERLY STATUS REPORT - Demographic Information (36A). For information on NYSOFA's Equal Access to Services and Targeting policies, refer to Program Instruction 12-PI-08.

5a. Specify how the AAA plans to provide outreach and language accessibility to persons with limited English proficiency who may seek services (e.g., contracted interpreter/translator, community organization links for translation, interpretation services, language interpretation phone line, etc.) as required by 12-PI-08. (See *Guide* for further information.)

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

Name	Contact Number

AAA: _____ Original Date Submitted: _____ Date Revised: _____ Date Last Saved: _____ Last Saved By: _____
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OFA No. 32 (rev.09/15)

5c. Provide the amount that the AAA is projecting to spend on language accessibility services annually for the Plan period in the box below. If the AAA has access to free language access services, please describe the arrangement for free services under 5a. above and enter 0 in the box below. The amount entered in the box below must equal the total of the amounts entered on each of the individual program budgets, **SUPPORTING BUDGET SCHEDULES**, Section 6. 'Other Expenses', line F. 'Language Access Services'.

Projected Annual Costs for Language Accessibility Services	
--	--

5d. Please specify how the AAA plans to provide outreach, accessibility, and accommodations to individuals with disabilities to ensure their access to participate in all services (ex: accessible office and meeting spaces, documents provided to individuals in their preferred format {ex: large print, braille, etc.}, ASL interpretation, etc.) as required by the Americans with Disabilities Act.

--

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

OFA No. 32 (rev.09/15)

NEEDS ASSESSMENT

In completing this section, review 14-TAM-02, Service Needs Assessment, 2016-2020 Four Year Area Plan on Aging

DATA COLLECTION and ANALYSIS

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

- Random sample survey
- Selected sample survey
- NYSOFA Service Needs Assessment Tool provided in 14-TAM-02
- Community forums
- Public hearings
- Meetings with older adults
- Focus groups
- Census/Demographic data
- CAARS and/or NAPIS data
- NY Connects data
- AAA and contractor information, such as program surveys; information and assistance records; waiting lists; and case files
- AAA reports to county legislators or boards of directors
- Key informants (people knowledgeable about the problems and needs of older adults)
- Long Term Care Council Member Interviews/Reports
- Other (Specify) _____

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

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2. Describe how the assessment process was accessible to and inclusive of persons with limited English proficiency.

3. Describe how the assessment process was accessible to and inclusive of persons with disabilities including, but not limited to, those with mobility, hearing, speech and visual impairments.

4. How many clients participated and provided information back to the AAA Assessment team?

5. Briefly summarize what the AAA's analysis of all the data collected revealed.

AREA AGENCY SERVICE PRIORITIES

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

Service(s):

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UNMET SERVICE NEEDS/GAPS

7a. For those existing AAA services where an unmet need/service gap has been identified, for example, where the demand for service(s) exceeds the ability of the AAA to provide the service(s), complete the following table.

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

Use the following codes to complete the sections on Methods and Reasons above.

- *Methods: (a) surveys, (b) waiting lists, (c) information and assistance records, (d) case files, (e) CAARS/NAPIS data, (f) census data, (g) other, identify
- **Reasons: (a) insufficient funds, (b) lack of service providers, (c) staff shortages, (d) other, identify.

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 coming Plan period.

MAJOR ISSUES/THEMES

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

ADVISORY COUNCIL

9. Describe the AAA Advisory Council's role in the needs assessment process.

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SYSTEM DEVELOPMENT AND COORDINATION

1. Describe how the AAA plans to address any barriers to service, gaps in service availability or unmet needs in its Planning and Service Area, especially for those unserved and underserved older adults in greatest social or economic need, particularly those who are:

- Low income (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)

2. Describe the activities the AAA plans to undertake to enhance a coordinated service delivery system for older adults and their caregivers including, but not limited to:

- Identifying coordination gaps and pursuing solutions
- Coordinating across service delivery types
- Coordinating/initiating interagency meetings
- Coordinating funding proposals with other agencies/organizations
- Participating on local boards and committees
- Establishing linkages with other agencies.
- Improving communication between different providers and different types of providers

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

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SERVICE/PROGRAM EVALUATION

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

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

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CONTRIBUTIONS and COST SHARING

1. Describe the processes for encouraging contributions from recipients of all allowable services while maintaining the voluntary and confidential nature of contributions and ensuring that methods of solicitation are non-coercive. (see Guide for Completion)

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

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

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PROJECTED RESOURCE INVENTORY

The Projected Resource Inventory is an opportunity to communicate additional value the AAA brings to older adults in the PSA which may otherwise be uncaptured in this Plan.

List resources (from outside entities) which meet the following criteria:

- The AAA has been involved in (solely or in collaboration) developing, pooling or tapping the resource for the enhancement of community based services to older adults in the PSA,
- The resource is projected to be available to older adults in the Plan period,
- And the resource is not a service provided as part of a contract with the outside entity. Show only the added value leveraged by the AAA above and beyond the contract, or services not included in the contract.

Indicate:

- Name of the Agency/Organization,
- Full contact information,
- Services provided (include only the services the AAA was instrumental in developing, pooling or tapping; do not include services for which the AAA contracts),
- Estimated annual dollar value of the services listed (again, not including the value of any contract), and
- Whether the Agency/Organization is a current contractor of the AAA for any services.

RESOURCE INVENTORY

Agency/Organization	Services Provided	Estimated Annual Dollar Value	Current Contractor	
			YES	NO

AAA: _____
 Original Date Submitted: _____
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SENIOR CENTERS/DESIGNATED FOCAL POINTS ROSTER

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

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

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

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

List below the names and contact information of all designated Focal Points, Senior Centers including NY Connects/ Aging and Disability Resource Centers (ADRC). Also include those centers which operate independently of the AAA.

The funding and services questions are to be answered for Senior Centers.

Name /Address/phone number/email address of Senior Center/Focal Point	Site is a Senior Center		Site is a Focal Point		For Senior Centers: Site receives Title III funds		For Senior Centers: Funds Provided Annually		For Senior Centers: The following services are provided on-site:
	YES	NO	YES	NO	YES	NO	Title III Funds	Total Funds	
							\$	\$	<input type="checkbox"/> Health Related (exercise, health promotion, etc.) <input type="checkbox"/> Educational (lectures, classes on various subject areas, discussion groups, etc.) <input type="checkbox"/> Recreational (games, trips, concerts, etc.) <input type="checkbox"/> Nutrition Related (meal site, nutrition counseling/education) <input type="checkbox"/> Supportive Services (benefits counseling, transportation, caregiver support, legal assistance, etc.)

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LEGAL ASSISTANCE

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

1. In the table below identify AAA's current and/or proposed local partners 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, guardianship cases, abuse, neglect, and age discrimination to older adults.

Organization Type	Organization Name
Legal Assistance Provider(s)	
Legal Services Corporation Grantee	
County Bar Association	
Regional LTC Ombudsman Program	
Other:	
Other:	
Other:	

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

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2. For the four year period covered by this plan, the AAA is to identify objectives, partners, strategies and action steps and projected outcomes for its Legal Assistance Program. The AAA in establishing objectives for the delivery of legal assistance should be guided by the following federal and state requirements:

- Coordination of OAA funded legal assistance with existing Legal Services Corporation (LSC) projects in the PSA, in order to assure that older adults receive a proportional share of representation from the LSC grantee and avoid duplication;
- Prioritize legal assistance/services related to income, health care, long-term care, nutrition, housing, utilities, protective services, guardianship cases, abuse, neglect and age discrimination to older adults;
- Effort to be made by the legal assistance provider(s), in coordination with the area agency, to involve private bar in legal assistance for older adults on a pro bono or reduced fee basis;
- Develop a system of assisted referrals of cases to the private bar, including appropriate follow-up to assure that services have been provided; and
- Assist the local long-term care ombudsman program

Phase/ Year	Objective	Partners	Strategies & Action Steps	Projected Outcomes
	The objective should state what will be accomplished; when it will happen and why the outcome is needed.	The organizations, local governmental agencies and/or individuals whom the AAA will work with to achieve the objective	Describe strategies specific and achievable action steps needed and state date to be completed and person responsible to accomplish this task (When and Who).	Specify the expected outputs, deliverables, and outcomes.

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PUBLIC HEARINGS/AREA AGENCY ON AGING ADVISORY COUNCIL

1a. Provide the following information on Public Hearing(s) held for the Plan period.

Location	Date	Number Attending

1b. Was the notice of at least one Public Hearing published in a local newspaper of general circulation at least twenty one (21) days before that hearing? [9 NYCRR 6653.2]

YES [] *NO []

Date of notice publication: _____

1c. Was the proposed Plan or abstract containing program goals, objectives, action steps, and proposed budgets with categorical breakdowns made available to the public within a reasonable time prior to the hearing?

YES [] *NO []

1d. Was a minimum of one Public Hearing held at least 30 days prior to the submission of this Plan?

YES [] *NO []

1e. **NEW YORK CITY ONLY:** Was at least one Public Hearing as described herein held in each borough?

YES [] *NO []

If *NO to any of the above please explain:

--

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2. Describe the efforts used in seeking input from those unserved and underserved older adults in greatest social or economic need, particularly those 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)

3. Public hearings need to be accessible to all individuals. The following questions regarding accessibility include some examples of ways in which AAA might ensure accessibility.

3a. Please describe the geographic accessibility of the hearing site(s). (Ex: Is it held in a rural or urban location? Was more than one hearing held? Is it accessible by public transportation?)

3b. Please describe the physical accessibility of the hearing site(s). (Ex: Was it held in an ADA compliant building? Is there an accessible bathroom? Is there designated accessible parking?)

3c. Please describe attempts to make the hearing(s) accessible to all individuals including those with disabilities. What accommodations were available on site? What did someone need to request ahead of time and what was the mechanism for the individual to make the request? (Ex: sign language interpretation, Communication Access Real Time (CART) services, printed materials in large print or braille or distributed electronically in an accessible format, etc.)

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3d. Please describe attempts to make hearing(s) accessible to individuals with limited English proficiency. What services were available? (Ex: telephonic interpretation---was a phone in the room, was the telephonic interpretation service information on site, translated printed materials, etc.)

3e. Please describe attempts to solicit input from the public using the individual's preferred mode of communication. (Ex: was written comment accepted, use of interpretation services, ASL, etc.)

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

5. Summarize major issues discussed or raised at the public hearings.

6. Did the AAA receive comments and/or feedback regarding the Plan outside of the public hearings, e.g. written comments, virtual meetings? Please explain.

7. List the major changes in the Plan resulting from input of interested parties.

_____ Not applicable, no major change(s)

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

Summarize the comments of the Advisory Council.

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DISASTER PREPAREDNESS AND RESPONSE

1. Describe the AAA's on-going efforts to coordinate activities and develop long-range emergency preparedness plans for assisting persons 60 years of age and older in the AAA's planning and service area in the event of a disaster.

2. Please list the AAA's local disaster preparedness partners such as local emergency response agencies, relief organizations, local government entities, and any other institutions that have primary responsibility for disaster relief service delivery in preparation for and during local and State disaster preparedness and response activities.

3. As part of this planning process, what procedures are in place to anticipate and meet the needs of older adults with functional and access needs, including individuals with disabilities and individuals with Alzheimer's and related disorders, during a disaster?

4. Does the AAA maintain a registry of individuals 60 years of age and older with functional and access needs, including individuals with disabilities and individuals with Alzheimer's and related disorders, in the AAA's planning and service area that would be contacted by emergency services in the event of a disaster?

YES ___ *NO___

If *no, does another entity maintain a registry of individuals 60 years of age and older with functional and access needs, including individuals with disabilities and individuals with Alzheimer's and related disorders, in the AAA's planning and service area that would be contacted by emergency services in the event of a disaster?

*YES ___ NO___

If *yes, specify the entity maintaining the registry:

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AREA AGENCY PROGRAMS AND SERVICES INFORMATION

NUTRITION SERVICES

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

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

1a. Are any operational changes in the nutrition program such as changes to sites, restaurant dining, congregate programs, central kitchens, meals routes, contractors or other changes planned or projected for the Plan period?

*YES [] NO []

If ***YES**, please list the changes that are being proposed, the type of change and when the change is projected to take place. List one change per line. *Please note that the Attachment C process must be followed before *major* changes to the nutrition program can be made.

NAME OF SITE/LOCATION/PROPOSED CHANGE	TYPE OF CHANGE <i>Opened, Closed, Altered</i>	DATE OF CHANGE

1b. Total number of Registered Dietitian (RD) service hours per week planned or projected for the Plan period _____

1c. Of the above total, indicate the number of hours of RD services provided by RD who is on staff or is a consultant to the AAA. (Do not include hours of the RD who is employed by a nutrition or meal program provider.) _____

1d. Total number of hours provided by any other professional nutrition staff (AAA staff or AAA consultant(s)) including Certified Dietitians/Nutritionists (CDNs); Certified Clinical Nutritionists (CCNs); Nutrition Technicians; and others _____.
Please identify the title(s) of Staff included in this total: _____

1e. Are there long-term (3 months or more) vacancies in the following positions?

	*YES	NO
Full-time Nutrition Program Coordinator		
Registered Dietitian/Certified Dietitian Nutritionist		

If ***YES**, describe the plan for filling the position(s), including estimated (anticipated) completion date.

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2. Nutrition Counseling services: Please describe how the AAA is delivering Nutrition Counseling services to those who would benefit from this service. Also note if the number of units of Nutrition Counseling has been increasing or decreasing and why.

3. Nutrition Education: Please describe how the AAA's nutrition program delivers Nutrition Education to congregate sites and to those on Home Delivered Meals. Please provide a breakdown of the projected clients to be served and units to be provided.

4. Number of Preparation Kitchens within the County used for Nutrition Services: _____
(The number displayed (on electronic document) is the total number of Preparation Kitchens in the Meal Sites Roster in Reporting. To update the Meal Sites Roster, and therefore adjust this number, click here (on electronic document).)

5. Number of Congregate meal Sites currently open within the County? : _____
(The number displayed (on electronic document) is the total number of Congregate Meal Sites in the Meal Sites Roster in Reporting. To update the Meal Sites Roster, and therefore adjust this number, click here (on electronic document).)

6. Number of Home Delivered Meal Routes currently in operation: _____

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HEALTH PROMOTION SERVICES

Title III-D funding may only be expended for evidence-based health promotion programs/interventions meeting highest-level criteria as established by the Administration on Aging/Administration for Community Living (AoA/ACL). See Guide for Completion.

1. For each **highest-level** evidenced-based health promotion model program the AAA operates (or plans to implement), utilizing any funding source, please provide the requested information.

Highest Level Evidence-based model used	Local program name	List all funding sources	Date originally began or will be initiated	Partners	Target population	Expected number of unduplicated participants annually

2. Health Promotion Services which will be funded under **non III-D funding** (Title III-B, Title III-E, EISEP, CSE, CSI or other funding):

- | | |
|---|---|
| <input type="checkbox"/> Evidence Based (other than highest level)
– Indicate Model _____
<input type="checkbox"/> Health/Mental Health Screening
<input type="checkbox"/> Medication Management
<input type="checkbox"/> Home Injury Control/Fall Prevention
<input type="checkbox"/> Preventive Nutrition Services
<input type="checkbox"/> Health Information
<input type="checkbox"/> Other (briefly describe) _____ | <input type="checkbox"/> Physical Fitness Programs
<input type="checkbox"/> Mental Health Services
<input type="checkbox"/> Medicare Preventive Services
<input type="checkbox"/> Evidence Informed
– Indicate Program _____
<input type="checkbox"/> Vaccination Clinic |
|---|---|

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CAREGIVER SERVICES

TITLE III-E: NEW YORK ELDER CAREGIVER SUPPORT PROGRAM (Refer to the *Guide for Completion* and the Standard Assurances.)

1a. **Services for Caregivers of Adults Who Are 60 and Over and Caregivers for Individuals of Any Age with Alzheimer’s Disease or Related Disorder:** At least one service under each category must be available to caregivers. Please check the appropriate column for the funding source(s) planned to support the service(s) the AAA intends to provide. Provide a complete illustration of the services provided to caregivers and how each is funded.

*	SERVICE CATEGORY	FUNDING SOURCES		
		Title III-E	Other	Identify:
	Information			
14	Outreach			
21	Public Information			
	Assistance			
13	Information and Assistance			
6	Case Management			
21	Other, specify:			
	Counseling, Support Groups, Training <i>(Only one required, but may provide all three)</i>			
19	Counseling			
19	Support Groups			
19	Training			
	Respite			
1b	Personal Care Level I			
1a	Personal Care Level II			
2	Consumer Directed			
3	Home Health Aide			
15	In-home Contact and Support <i>(supervision of care receiver or friendly visiting)</i>			
5	Social Adult Day Care			
5	Adult Day Health Care Services			
21	Overnight Adult Home			
21	Overnight Nursing Home			
21	Other, specify:			
21	Other, specify:			
	Supplemental Services			
18	PERS			
21	Equipment			
4	Home Delivered Meals			
7	Congregate Meals			
8	Nutrition Counseling			
12	Nutrition Education			
17	Health Promotion			
10	Transportation			
11	Legal Services			
9	Assisted Transportation			
21	Home Modification			
21	Other, specify:			

*Fiscal Page 1 References

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1b. Optional Components of Title III-E Caregiver Support Program:

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

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

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

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

Information Assistance Counseling Support Groups Training

Respite (list types) _____

Supplemental Services (list types) _____

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

Information Assistance Counseling Support Groups Training

Respite (list types) _____

Supplemental Services (list types) _____

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Caregiver Resource Center (CRC) [applies only to NYS's 17 State Funded Programs (Listed in the Guide for Completion)]

2a. The AAA has designated a physical location(s) as the CRC YES [] NO []

2b. Please check the activities that are provided through the CRC*:

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

2c. Specify any special needs populations that will be served: _____

*Note: All CRC activities are to be included on **Service Delivery and Resource Allocation Plan -State & All Other Programs** – line 19, 'Caregiver Services'.

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

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

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

AAA: _____
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EMPLOYMENT SERVICES
(Senior Community Service Employment Program [SCSEP] -TITLE V)

1. Is the AAA a SCSEP (Title V) grantee?
Yes (complete page) No (proceed to next page)

2a. If the AAA currently has a current Memorandum of Understanding (MOU) with the One-Stop delivery system, indicate the date it was signed.

2b. If the AAA does not have a MOU with the local One-Stop delivery system describe the impediments encountered in obtaining one and describe the actions the AAA has taken to address the impediments.

3. How many participants are currently on the SCSEP waiting list? _____

4. Describe the AAA’s plan to reach out to SCSEP “most in need” populations in the county? (Please see the Guide for Completion for a list of “most-in-need” characteristics)

5. Describe the AAA’s plan for self-evaluation to ensure that the SCSEP will achieve its performance measures for the current and subsequent years as per the U.S. Department of Labor Employment and Training Administration SCSEP Quarterly Progress Report.

CERTIFICATIONS

[] The AAA certifies that it will pay Title V enrollees at the prevailing minimum wage.

[] The AAA certifies that consultant fees paid under this grant shall be limited to \$585 per day without additional NYSOFA approval.

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HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM (HIICAP)

1. What efforts has your local HIICAP program taken to expand your total client contacts through outreach and counseling? In addition, what significant changes will your program enact during the Plan period to expand your outreach and counseling efforts?

2. What actions did your HIICAP program take in 2015-16 to expand your public and media outreach events? In addition, what significant changes will your program enact during the Plan period to expand your public and media outreach?

3. What actions did your HIICAP program take in 2015-16 to expand outreach to serve Medicare beneficiaries under the age of 65 with a disability? In addition, what significant changes will your program enact during the Plan period to expand outreach to serve Medicare beneficiaries under the age of 65 with a disability?

4. What actions did your HIICAP program take in 2015-16 to reach low-income beneficiaries? In addition, what significant changes will your program enact during the Plan period to expand outreach to serve low-income beneficiaries?

5. What actions did your HIICAP program take in 2015-16 to increase the number of Medicare beneficiaries who received Part D enrollment assistance? In addition, what significant changes will your program enact during the Plan period to expand the number of beneficiaries who receive Medicare Part D enrollment assistance?

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6. What actions will your program take to reach and serve populations such as those with limited English proficiency; low literacy; targeted ethnic and racial groups; and those who live in intense urban or rural areas?

7. Does your HIICAP program conduct screenings (such as criminal background checks and/or finger printing) for paid staff, counselors and/or volunteers?

*Yes _____ No _____

If *Yes, indicate the type of staff/volunteers screened and what organization(s) provide these services?

8. What activities will your program provide to counsel and educate the public on Medicare wellness and preventive benefits?

9. Provide the estimated weekly hours that the Coordinator dedicates to the Program: _____

10. Does the HIICAP Coordinator serve other non-HIICAP functions? Yes _____ No _____

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

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12. Does your HIICAP Program utilize the assistance from the Medicare Managed Care Assistance Programs (MCCAP)?

Yes _____ No _____

If **Yes**, which MCCAP(s) does your HIICAP program utilize:

- Community Services Society
- Empire Justice Center
- Legal Aid Society
- Medicare Rights Center (MRC)
- New York Legal Assistance Group (NYLAG)
- New York Statewide Senior Action Council

If **Yes**, what services does the MCCAP provide your program? (Check all that apply)

- _____ Appeals
- _____ Case Assistance/Referral
- _____ Training

Other: _____

13. Enter the number of HIICAP volunteers that your HIICAP program currently has: _____

14. One of the roles of the HIICAP Coordinator is to find ways to successfully recruit volunteers. Please describe the volunteer recruitment efforts your program has taken to recruit, train and retain volunteers?

--

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

OFA No. 32 (rev.09/15)

GENERAL SERVICES

Please provide the following information regarding services the area agency intends to administer during the Plan period. Please refer to 14-PI-02, "Standard Definitions for Services and Units of Service." Brief narrative information regarding agency services may be added, but is not required.

1. Information and Assistance

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

2. In-Home Contact and Support

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

3. Outreach

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

4. Transportation

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

b) Type(s) of activities planned for the Plan period:

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

5. Adult Day Services

Service design:

- | |
|--|
| <input type="checkbox"/> Social Adult Day Services |
| <input type="checkbox"/> Adult Day Health Care |
| <input type="checkbox"/> Other (briefly describe) |

Narrative Information:

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

OFA No. 32 (rev.09/15)

**MANAGED LONG TERM CARE (MLTC) PLANS &
 MANAGED CARE ORGANIZATIONS (MCOs)**

Area Agencies on Aging provide required as well as optional services under Medicaid Managed Long Term Care, Health Homes and the FIDA (Fully Integrated Duals Advantage for Westchester, NYC and Long Island) Demonstration.

Describe below if you are contracting with a managed long term care plan or managed care organization, what services you are contracted to provide, and either the value of that contract or the particular rate received for that service (whichever is appropriate).

Does the AAA plan on contracting with any MLTC plans/MCOs during this PLAN period?

*Yes___ No___

If *yes, List the name(s) of the MLTC plan/MCO the AAA is planning to contract with.	What service(s) is/are the AAA contracted for or negotiating to provide for the MLTC plan/MCO and value of the contract /rate received?

	SERVICE	VALUE OF CONTRACT	RATE RECEIVED
	Personal Care Levels I or II, Home Health Aide		
	Consumer Directed In-home Services		
	Case Management		
	Adult Day Services (Medical or Social model)		
	Personal Emergency Response System (PERS)		
	Nutrition -- Home-delivered meals or congregate meals		
	Home modifications		
	Non-emergency medical transportation to doctor offices, clinics (ambulette)		
	Other: List		

Comments: _____

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

OFA No. 32 (rev.09/15)

OTHER NYSOFA FUNDING AND SERVICES

Please check the box(es) to indicate programs that your AAA administers and enter the amount of funding anticipated for the coming program year. The total funding should include state funds, local match, income and other funding administered as part of each program. Include the funding amount on the line indicated under the 'All Other Programs' column of the **Service Delivery and Resource Allocation Plan**. **Any amounts being provided as Line 21 – 'Other Services' must also be included and described in the 'Other Services' section.**

CHECK	PROGRAM NAME	SERVICES PROVIDED	FUNDING AMOUNT	'ALL OTHER PROGRAMS' COLUMN –LINE#
	Title V	Employment Services		21
		Planning/Implementation/Admin.		22
	Foster Grandparents	Volunteer Services Program		21
	RSVP	Volunteer Services Program		21
				Other: Enter line #
	Grants-in-Aid	Various		Determined by AAA Enter line#
	Caregivers Resource Center (State Funded)	Information & Assistance		13
		Caregivers Services		19
	HIICAP	Information & Assistance		13
		Outreach		14
		Counseling & Assistance		21
	NY Connects/ADRC	Screening, Information & Assistance		13
		Public Information		21
		Personalized Assistance/Options Counseling		21
		Planning/Implementation/Admin.		22
	MIPPA	Information & Assistance		13
		Outreach		14
		Public Information		21
	State Funded Transportation	Assisted Transportation		9
		Transportation		10
	NY Connects Expansion/BIP	Screening, Information & Assistance		13
		Public Information		21
		Personalized Assistance/Options Counseling		21
		Planning/Implementation/Admin.		22
	Other: specify			Line#
	Other: specify			Line#
	Other: specify			Line#
	Other: specify			Line#
	Other: specify			Line#

Sub-Totals

TOTAL _____

Line 9	
Line 10	
Line 13	
Line 14	
Line 17	
Line 19	
Line 20	
Line 21	
Line 22	
GIA	
Other Lines	
Total \$	

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

OFA No. 32 (rev.09/15)

OTHER SERVICES

Complete the following to identify and describe all services/programs **included** on Line 21 in the Federal, State or Other Funding Columns, on the "**Services Delivery and Resource Allocation**" pages. This is to include all Line 21 services from the Other NYSOFA Funding and Services page as well. Examples 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 (not included in lines 1-20); etc. See Guide for Completion and 14-PI-02 Standard Definitions of Service.

	Amount of Funding for this Service	Funding Sources (List all)
<p>Name/Description of Service/Program _____</p> <p>Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Contracted</p> <p>Number of Units _____</p> <p>AAA Definition/Description of Unit of Service _____</p>		

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

AIP Period: 4/1/16 to 3/31/17 *

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency: _____

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

(a) These services constitute Access services under Title III-B for the purpose of meeting the priority services requirement of 20%.

(b) These services constitute Legal Services under Title III-B for the purpose of meeting the priority services requirement of 7%.

(c) These services constitute In-Home Services under Title III-B for the purpose of meeting the priority services requirement of 2.5%.

(d) See Guide for Completion for limitations on expenditures for Supportive and Access services, (lines 9,10, 13-16) under Title III-C. Line 15, In-Home Contact & Support may only include Shopping Assistance under Titles III-C-1 and III-C-2.

(e) Refer to the Guide for Completion for listing of services included in each of the five Title III-E Service Categories. Supplemental Services are limited to 20% of the total Title III-E budget.

* AIP Period will not correspond with most Federal program periods.

** NSIP - Nutrition Services Incentive Program (formerly Cash-in-Lieu of Commodity Foods)

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

AIP Period: 4/1/16 to 3/31/17

Original Date Prepared:

Date Revised:

Area Agency: _____

Date Last Saved:

Last Saved By:

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

(a) See Guide for Completion for limitations on services provided under EISEP.

(b) See Guide for Completion for information regarding these EISEP services.

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

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

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

(f) See **Other NYSOFA Funding and Services and Other Services pages**

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

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

Period: 1/1/16 to 12/31/16

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

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

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

1A

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

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

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

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

Amount

Percentage %

Supporting Budget Schedule-- Federal Programs -

Period: 1/1/16 to 12/31/16

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

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

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

1B

* If the AAA does not expect to incur expenses related to the provision of Language Access Services --question 5C in the DEMOGRAPHIC DATA & TARGETING OBJECTIVES section must be completed.

Supporting Budget Schedule -Federal Programs -cont.

Area Agency:

10. ANTICIPATED INCOME	Title III-B	Title III-C-1	Title III-C-2	Title III-D	Title III-E
A. Participant Contributions					
B. Other Income (specify source)					

Total Income (10A+10B)					
13. FEDERAL FUNDS					
A. Carryover *					
B. Base Allocation					
C. Transfer From and (To) III-B **					
D. Transfer From and (To) III-C-1 **					
E. Transfer From and (To) III-C-2 **					
F. Supplement					
Total Federal Funds					
14. MATCHING FUNDS					
Source					
Check if In-Kind					
[]					
[]					
[]					
[]					
[]					
Volunteers as Match					
Total Matching Funds					

1C

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

** Provide justification for all transfers in Attachment D.

Application for Funding

Original Date Prepared:

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

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

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

2A

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

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

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

(See Guide for Completion and the worksheet for additional information.)

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

Original Date Prepared:

Area Agency:

Date Revised:

Date Last Saved: Last Saved By:

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

2B

* If the AAA does not expect to incur expenses related to the provision of Language Access Services --question 5a. in the DEMOGRAPHIC DATA & TARGETING OBJECTIVE Section must be completed.

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

Area Agency:

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

**Application for Funding
Summary Budget for HIICAP and Title V**

Area Agency:

Budget Category	HIICAP	Title V			
		Administration	Enrollee Wages and Fringe Benefits	Program/Other Costs	Total
1. PERSONNEL					
Adjustments(a)					
Adjusted Personnel					
2. FRINGE BENEFITS					
	(a)	(a)	(a)		
3. EQUIPMENT					
4. TRAVEL					
5. MAINTENANCE & OPERATIONS					
6. OTHER EXPENSES					
7. CONTRACTS					
8. FOOD					
9. TOTAL BUDGET (Lines 1- 8)					
10. Less Anticipated Income					
11. NET TOTAL (Line 9 less Line 10)					
12. FEDERAL/STATE FUNDS REQUESTED		(b)	(c)		
13. MATCHING FUNDS					(d)

3A

(a) Composite Fringe Benefit Percentage.

(b) Federal share of administration is not to exceed 9.45% of the Federal funds requested.

(c) Federal share of Enrollee wages and Fringe Benefits must be at least 75% of the Federal funds requested.

(d) Federal share cannot exceed 90% of the Total Budget (minimum match 10%).

Supporting Budget Schedule for HIICAP and Title V

HIICAP Period: 4/1/16 to 3/31/17

Title V Period 7/1/16 to 6/30/17

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

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

3B

* If the AAA does not expect to incur expenses related to the provision of Language Access Services --question 5a in the DEMOGRAPHIC DATA & TARGETING OBJECTIVES Section must be completed.

Supporting Budget Schedule for HIICAP and Title V cont

HIICAP Period: 4/1/16 to 3/31/17

Title V Period 7/1/16 to 6/30/17

Original Date Prepared:

Date Revised:

Date Last Saved:

Area Agency:

Last Saved By:

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

3C

Contractor Roster
AIP Period: 4/1/2016- 3/31/2017

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

Name: _____ Contractor Code: _____ Employer ID: _____ E-Mail Address: _____ Phone Number: _____ MWBE Contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No Rural contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No Number of contracts, (State & Federal), with this contractor: [] Contractor Type: _____ Contract is: Active: <input type="checkbox"/> Yes <input type="checkbox"/> No New: <input type="checkbox"/> Yes <input type="checkbox"/> No	III-B	III-C-1	III-C-2	III-D	III-E	EISEP	CSE	CSI	WIN	OTHER	TOTAL
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Services to be provided:										
Will this contractor subcontract, subgrant or enter into an MOU with any other entity to provide direct services to clients? <input type="checkbox"/> Yes <input type="checkbox"/> No											

Name: _____ Contractor Code: _____ Employer ID: _____ E-Mail Address: _____ Phone Number: _____ MWBE Contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No Rural contractor: <input type="checkbox"/> Yes <input type="checkbox"/> No Number of contracts, (State & Federal), with this contractor: [] Contractor Type: _____ Contract is: Active: <input type="checkbox"/> Yes <input type="checkbox"/> No New: <input type="checkbox"/> Yes <input type="checkbox"/> No	III-B	III-C-1	III-C-2	III-D	III-E	EISEP	CSE	CSI	WIN	OTHER	TOTAL
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Services to be provided:										
Will this contractor subcontract, subgrant or enter into an MOU with any other entity to provide direct services to clients? <input type="checkbox"/> Yes <input type="checkbox"/> No											

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

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

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

ATTACHMENT CHECK LIST

Check [✓] attachments included with this Plan.

Forms are provided for Attachments B, C, D, E, and F

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

ATTACHMENT A: Standard Assurances –The AAA Director has reviewed the Standard Assurances.
Note: The general certification and approval for the Standard Assurances is included on the **PLAN REVIEW AND APPROVAL** page.

ATTACHMENT B: Priority Services Expenditure Report
This report **must** be completed and returned by **each** AAA.

ATTACHMENT C: Summary of **major changes** and/or justification for **new direct services**
This **must** be completed and returned by **each** AAA.

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

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

ATTACHMENT F: Volunteers Used as Match

04/01/16 – 03/31/20

New York State Office for the Aging

**ATTACHMENT A FOUR YEAR PLAN
STANDARD ASSURANCES
April 1, 2016- March 31, 2020**

Covering the following programs:

Title III-B of the Older Americans Act
Titles III-C-1 and III-C-2 of the Older Americans Act
Title III-D of the Older Americans Act
Title III-E of the Older Americans Act
Title V of the Older Americans Act
New York State Expanded In-Home Services For The Elderly Program (EISEP)
Community Services For The Elderly Program (CSE)
Congregate Services Initiative (CSI)
Wellness in Nutrition (WIN)
State Transportation Program
Caregiver Resource Center (CRC)
Health Insurance Information Counseling And Assistance Program (HIICAP)

Standard Assurances Applicable to All Programs

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

Federal Statutes, Regulations, and Policies

The Older Americans Act (OAA) of 1965, as amended (*42 U.S.C. 3001 et. seq.*)
2 CFR Part 200 (*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*)
2 CFR Part 230 (*Cost Principles for Non-Profit Organizations*)
2 CFR Part 376 (*Nonprocurement Debarment and Suspension*)
20 CFR Part 641 (*Provisions Governing the Senior Community Service Employment Program*)
29 CFR Part 37 (*Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998*)
45 CFR Part 75 (*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards*)
45 CFR Part 80 (*Nondiscrimination under Programs Receiving Federal Assistance Through the Department of Health of Health and Human Services Effectuation of Title VI of the Civil Rights Act of 1964*)
45 CFR Part 84 (*Nondiscrimination on the basis of Handicap*)
45 CFR Part 93 (*New Restrictions on Lobbying, see 91-PI-5 [1/24/91]*)
45 CFR Part 1321, Subparts A-D (*Grants to State and Community Programs on Aging*)
Age Discrimination in Employment Act of 1975, as amended (*29 U.S.C. 621, et seq.*)
Americans with Disabilities Act of 1990 (*42 U.S.C. 12101, et seq.; see 92-PI-32 [8/4/92]*)
Civil Rights Act of 1964, Title VI, as amended (*42 U.S.C. 2000-d et. seq.*)
Equal Employment Opportunity Act of 1972 (*42 U.S.C. 2000e, et seq.*)
Equal Pay Act of 1963, as amended (*29 U.S.C. 206*)
Hatch Act (*5 U.S.C. 1501, et seq.*)
Home Energy Assistance Act of 1981, as amended (*42 U.S.C. 8601, et seq.*)
Rehabilitation Act of 1973, Sec. 504 (*29 U.S.C. 794, Nondiscrimination*)
Single Audit Act Amendments of 1996 (*31 U.S.C. 7501, et seq.*)
Uniform Relocation and Assistance and Real Property Acquisitions Act of 1970 (*42 U.S.C. 4601 et seq.*)
Office of Management and Budget (OMB):
 OMB Circular A-95 (*Clearinghouse Review*)
 OMB Circular A-102 (*Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments*)
 OMB Circular A-122 (*Cost Principles for Non-profit Organizations*)
 OMB Circular A-133 (*Audits of State and Local Government and Non-Profit Organizations*)
Federal Executive Order 11246, as Amended by Executive Order 11375 (*Affirmative Action*); as Amended by Executive Order 12086 (*Consolidation of Compliance Functions*); and as Amended by Executive Order 13279 (*Equal Protection for Faith-Based and Community Organizations.*)

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

State Statutes, Regulations, and Policies

New York State Elder Law
New York State Office for the Aging Rules and Regulations (*9 NYCRR Parts 6651, 6652, 6653, 6654, 6655 and 6656*)
Executive Law, Article 15 (*State Human Rights Law Prohibiting Discrimination Based on Race, Color, Creed, National Origin, Sex, Age, Disability, Sexual Orientation and Other Factors*)
Public Officers Law (*Defense and indemnification of representatives of the State Long-Term Care Ombudsman Program*)
Executive Law, Article 7-A (*Registration and reporting provisions required of Charitable Organizations*)
Expanded In-home Services for the Elderly (EISEP) Program Standards (87-PI-66 [10/21/87])
NYSOFA Nutrition Program Standards (*90-PI-26 [5/17/90]*)
Legal Assistance Standards (*94-PI-52 [12/29/94]*)
Equal Access to Services and Targeting Policy (*12-PI-08*)

2. **Program Implementation:** The AAA identified in this Plan has the authority and the responsibility for effective implementation of Titles III and V of the OAA, Community Services for the Elderly (CSE), Expanded In-Home Services for the Elderly Program (EISEP), Congregate Services Initiative (CSI), Wellness in Nutrition (WIN), , State Transportation Program, Health Insurance Information Counseling and Assistance Program (HIICAP), and Caregiver Resource Center (CRC) programs and to support Title VII and the State Long Term Care Ombudsman Program (LTCOP). This AAA agrees to carry out directly or through contractual or other agreements, programs in its planning and service area (PSA) as detailed in this Plan, and Title III-B, Title III-C, Title III-D, Title III-E, Title V (if applicable), EISEP, CSE, CSI, WIN, State Transportation Program, HIICAP, and CRC Applications for Funding (Applications).
3. **Changes to this Plan:** The AAA assures that it shall submit for approval to NYSOFA necessary documentation for changes, additions, or deletions to this approved Plan, and the Title III-B, Title III-C, Title III-D, Title III-E, Title V, EISEP, CSE, CSI, WIN, State Transportation Program, HIICAP, and CRC Applications.
4. **Utilization of Funding:** The AAA understands and agrees that it shall apply only for funds which are necessary to meet the specific needs of older adults within its PSA for the next year and understands that NYSOFA shall not award any funds which cannot be so utilized.
5. **Approved Costs, Budget Modifications:**
 - A. **Expenditures:** The AAA agrees that expenditures shall be made only for authorized items of expense contained in the budget section of the approved Applications. Cost overruns up to \$1,000 or 10% (whichever is greater) for an individual budget category for authorized items of expense will be allowed as long as the total costs do not exceed the total amount of the grant. If and when expenditures in excess of \$1,000 for items not previously

budgeted (e.g., equipment, personnel or contractor items) become necessary, the AAA shall submit a written request to NYSOFA and await NYSOFA approval before making such expenditures. Also, if costs for an individual budget category will exceed the budgeted amount by more than \$1,000 or 10%, whichever is greater, a budget modification must be approved in writing by NYSOFA before these costs will be reimbursed. (See 05-PI-09 [6/15/05].)

- B. Equipment Disposition:** If equipment costing \$1,000.00 or more is purchased with any Federal or State funds under this Plan, and the equipment is no longer needed for activities supported by such Programs, NYSOFA reserves the right to select a recipient for and approve the transfer to such recipient of such equipment, which must be used for services to older adults.
6. **Vouchering:** The AAA agrees that State Vouchers submitted for reimbursement of expenses incurred in the conduct of this Agreement will not include any expenses which have been, or will be, reimbursed from other sources (e.g., other Federal or State funds). The AAA shall file claims for all payments on a timely basis in accordance with procedures promulgated by NYSOFA. The AAA agrees to accept payments electronically as required by New York State for expenses incurred and will enroll in the OSC (Office of the State Comptroller) electronic payment program, unless a request for Exemption from Electronic Payment is approved by NYSOFA.
7. **Access to Records:** The AAA agrees to maintain appropriate programmatic and fiscal records for the programs included under this Plan. Such records must be retained for six years after final payment is made. Authorized representatives of the Administration for Community Living (ACL), the New York State Comptroller or his authorized representatives and staff of NYSOFA shall have access to and right to examine all books, documents, and all pertinent materials of the AAA related to the programs included under this Plan. In addition, the AAA shall provide access to other federal and state governmental agencies at the request of NYSOFA.
8. **Indemnification:** The AAA agrees to hold NYSOFA and the State of New York harmless and indemnify it from liability for actions the AAA takes under this Plan. In the event any claim is made or any action is brought against NYSOFA or the State of New York, arising out of negligent or careless acts or any neglect, fault or default of an employee, agent, independent contractor, trustee or volunteer of the AAA, either within or without the scope of his/her employment or scope of authority, or arising out of the AAA's negligent performance, NYSOFA shall have the right to withhold further payments for the purpose of set-off in sufficient sums to cover the claim or action and accompanying litigation costs. The rights and remedies of NYSOFA provided for in this Standard Assurance shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Plan.
9. **Personal Client Information:** The AAA agrees that personal information relating to individuals who apply for or receive services pursuant to this Plan shall be kept confidential by the AAA and shared on a need-to-know basis only with AAA and contractor staff for purposes of providing programs and services. Such information can be shared with entities outside those involved in delivering programs and service only with the informed consent of the individual served or pursuant to a court order or when there is deemed to be actual and immediate danger to the health or welfare of the individual.

10 Contracts

10.1 AAA Responsibilities for Contract administration

- A. **Minority and Women Owned Business (M/WBE) Contracts:** The AAA assures that it will comply with all federal, state and local laws regarding opportunities for minority owned/operated and women owned/operated organizations.
- B. **Technical Assistance:** The AAA shall provide technical assistance and information in a timely manner to all contractors.
- C. **Contract Approval:** The AAA shall formally enter into contracts in accordance with the Contractor Roster contained in this Plan. All contracts shall be written in accordance with Federal, State and Local standards and a copy of the fully executed contract (including budgetary information) shall be forwarded to NYSOFA no later than thirty (30) days after the execution date of the contract. The AAA shall maintain contracts for all contractors as well as supporting documentation for all vouchers from contractors. The AAA when contracting with a business entity (rather than a non-profit organization) for the delivery of OAA and/or CSE services shall comply with the review process established by NYSOFA. All contracts must be accompanied by a completed Contract Transmittal Form, (see 96-PI-09 [2/15/96] and 97-PI-04 [1/29/97] for which references to “subcontractor” should be understood to be “contractor” for purposes of the AAA’s contracts related to its AIP).
- D. **Contract Monitoring:** The AAA shall monitor its contractors to ensure that contractors perform in accordance with the requirements of federal, state and local laws, regulations and guidance documents (including AoA/ACL and NYSOFA Program Instructions, Technical Assistance Memoranda, and Information Memoranda) and this Plan and make expenditures only for authorized items of expense contained in the approved budgets. The AAA shall further ensure that if and when other than authorized expenditures become necessary, the contractor shall request and await AAA approval before incurring such expenditures. The AAA shall submit a copy of this revision to NYSOFA within 30 days of its effective date.
- E. **Funding Limitations:** The AAA may approve a contract that extends beyond the renewal date of an Application. In approving a contract beyond the renewal date of an Application, the AAA should not make a commitment that may exceed next year’s annualized funding level, and the contract must state that it is contingent upon provision of funding to the AAA in the subsequent year.
- F. **Data and Programming:** The AAA assures that any service, product, report or other information generated by a computer or otherwise supplied under this Plan provided by the AAA to NYSOFA or other state or Federal agencies shall, when used in accordance with supplied documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations.

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

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

- G. **Conformance with This Plan:** The AAA agrees that all contracts, including contractor's subcontracts, funded under this Plan shall contain a provision that the work will be performed in accordance with the terms of this Plan, and further agrees to make such Plan available to its contractor for such purposes.
- H. **Integrity and Public Purpose:** The AAA shall maintain the integrity and public purpose of services provided, and service providers, under the OAA in all contractual and commercial relationships.
- I. **Disclosure of Contractors and No Diminishment of Services:** The AAA shall:
 - 1) disclose to the Assistant Secretary of the AoA/ACL and the Director of the State agency:
 - a) the identity of each non-governmental entity with which such agency has a contract or commercial relationship relating to providing any service to older adults; and
 - b) the nature of such contract or such relationship;
 - 2) demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under the OAA by the AAA has not resulted and will not result from such contract or such relationship; and
 - 3) demonstrate that the quantity or quality of the services to be provided under the OAA by the AAA will be enhanced as a result of such contract or such relationship.
- J. **Use of OAA Funds:** The AAA agrees that funds received under the OAA shall not be used to pay any part of a cost (including an administrative cost) incurred by it to carry out a contract or commercial relationship that is not carried out to implement the OAA.
- K. **Receipt of OAA Services:** The AAA agrees that preference in receiving services under the OAA shall not be given by such agency to particular older adults as a result of a contract or commercial relationship that is not carried out to implement the OAA.
- L. **Focal Points:** The AAA shall specify, in grants, contracts or agreements implementing the Plan, the identity of each focal point so designated.
- M. **AAA Funding Liability:** The AAA assures that its contracts with providers shall provide that all payments to be made thereunder are subject to the availability of Federal/State funds and the AAA shall have no liability under the contract beyond the amounts available under adopted Federal and State budgets.
- N. **Record Maintenance:** The AAA will require all contractors to maintain records and make reports in such form and containing such information as may be required by the AAA and NYSOFA. The AAA will require all contractors (including contractor's subcontractors) to maintain such accounts and documents as will permit expeditious determination to be made at any time of the status of award funds, including the disposition of all monies received from the AAA and the nature of all expenditures claimed against such funds.

- O. **Targeting:** The AAA shall undertake a leadership role in assisting communities throughout the planning and service area to target resources from all appropriate sources to meet the needs of older persons with greatest economic or social need, with particular attention to low income minority individuals. Such activities may include location of services and specialization in the types of services must needed by these groups to meet this requirement. However, the area agency may not permit a grantee or contractor under this part to employ a means test for services funded under this part. For purposes of this assurance the term “means test” is defined as an eligibility determination for a program or for services based upon an individual's or family's income and/or assets.

10.2 AAA Contract Requirements.

- A. AAA assures that its contracts with providers of services shall include, and that its contractors will include in any subcontracts, the following provisions in addition to the provisions specified in B below:
 - 1) **Targeting.** The Contractor, to the extent it has discretion regarding to whom it will provide services, agrees to provide services to those unserved and underserved older adults in greatest social or economic need, particularly those who are low income, low income minorities, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities and older adults residing in rural areas in accordance with their need for such services, and to meet specific objectives established by the AAA for providing services to the above groups within the PSA. The Contractor agrees to concentrate the services on older adults in the targeted populations identified by the AAA following the methods the AAA has established for complying with the targeting requirements under the OAA and the Equal Access and Targeting Policy issued by the New York State Office for the Aging
 - 2) **Language Access.** The Contractor shall inform persons with limited English proficiency of the availability of language assistance, free of charge, by providing written notice of such assistance in a manner designed to be understandable by Limited English proficiency persons at service locations and, at a minimum, have a telephonic interpretation service contract or similar community arrangement with a language interpretation services provider of their choice. The Contractor shall train staff that have contact with the public in the timely and appropriate use of these and other available language services.
 - 3) **Contributions.** The Contractor shall provide participants an opportunity to voluntarily contribute to the cost of the service received, as appropriate. The Contractor shall use all collected contributions to expand the service for which the contributions were given to supplement the funds received under the OAA.
 - 4) **Client Needs.** The Contractor shall assist participants in taking advantage of benefits under other programs.
 - 5) **Non-duplication.** The Contractor assures that the services it provides are coordinated and do not unnecessarily duplicate services provided by other sources.
- B. AAA assures that its contracts, and its contractor's subcontracts shall include the following provisions:

- 1) **Reporting.** The Contractor shall provide the AAA with timely information needed to satisfy reporting requirements as specified by NYSOFA;
- 2) **Record Retention and Accessibility.** The Contractor agrees to maintain appropriate records and to retain them for six years after final payment is made. The Contractor agrees to provide access to all books, documents and all pertinent materials related to the contract for examination to authorized representatives of the AoA/ACL, the New York State Comptroller or his representatives and staff of NYSOFA and/or the AAA.
- 3) **Confidentiality.** The Contractor agrees that, to the extent it or its subcontractors, if any, maintains personal information relating to applicants or recipients of services pursuant to the contract, such information will be kept confidential and shared with the AAA; or with other entities upon the consent of applicant, recipient or an authorized representative of the applicant or recipient; or as required by federal or state laws.
- 4) **AAA Funding Liability.** Payment to the Contractor is subject to the availability of Federal/State funds and the AAA shall have no liability under the contract beyond the amounts available under adopted Federal and State budgets. To the extent that the contract extends beyond the renewal date of AAA's Application, it is contingent upon provision of funding to the AAA in the subsequent year.
- 5) **Conformance with AAA Area Plan.** To the extent that the contract with the AAA is for a program or services funded under the Area Plan, the Contractor agrees that it and any subcontractors will perform such work in accordance with the terms of the Area Plan. The AAA agrees to make the Area Plan available to the Contractor.
- 6) **Warranty for Data and Programming.** The Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to inaccuracy of the service's or product's operations in processing date/time data (including but not limited to calculating, comparing, and sequencing) various time/date transitions including leap year calculations. The Contractor accepts responsibility for damages resulting from any delays, errors or untimely performances resulting therefrom, including but not limited to the failure or untimely performance of such services.
- 7) **Responsibility.** The Contractor certifies that, to the best of its knowledge and belief, it is and will be in compliance with 2 CFR Part 376, regarding nonprocurement debarment and suspension concerning public (Federal, State or local) transactions. If necessary, the Contractor will submit an explanation of why it cannot provide this certification.
- 8) **Subcontracts.** If the Contractor enters into subcontracts for the performance of work pursuant to this contract, the Contractor shall take full responsibility for the acts and omissions of its subcontractors. Nothing in the subcontract shall impair the rights of the AAA under this contract or the Area Agency Plan as approved by New York State Office for the Aging. It shall be the responsibility of the Contractor to monitor and assess the activities performed under such subcontracts, and to ensure that these activities are provided in accordance with all applicable requirements contained in this contract and federal and state law.

10.3 AAA Contract Requirements for OAA Title III Programs. The AAA agrees to include the following provision in its contracts for OAA Title III programs and services:

The Contractor agrees that for programs established and funded in whole or in part pursuant to Title III of the Older Americans Act Contractor shall: specify how it intends to satisfy the service needs of low-income minority individuals, older adults with limited English proficiency, and older adults residing in rural areas in the area served by it; to the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older adults residing in rural areas in accordance with their need for such services; and meet specific objectives established by the AAA, for providing services to low-income minority individuals, older adults with limited English proficiency, and older adults residing in rural areas within the planning and service area.

11. **Responsibility:** The AAA certifies that, to the best of its knowledge and belief, it is and will be in compliance with 2CFR Part 376, regarding non-procurement debarment and suspension concerning public (Federal, State, or local) transactions. If necessary, the AAA will submit an explanation of why it cannot provide this certification.
12. **Due Recognition:** The AAA agrees that any program, public information materials, or other printed or published materials on the work of or funded by these programs shall give due recognition to NYSOFA and as appropriate AoA/ACL.
13. **Rights to Materials:** AAAs agree that all materials developed by the AAA or its contractors in connection with programs funded under this Plan shall be the property of NYSOFA. NYSOFA also reserves the right to copyright all such materials, the exclusive right to reproduce, publish or otherwise use, and to authorize others to use these materials, subject to any restrictions in Federal Laws and Regulations.
14. **Public Information:** The AAA shall provide for a continuing program of public information specifically designed to assure that information about programs and activities carried out under this Plan is effectively and appropriately disseminated throughout the PSA. The AAA shall provide information to the public upon request. Where appropriate, the AAA shall make public information available in the primary languages of the client populations. Public information shall also be made accessible to persons with disabilities, including those with hearing and vision impairments.
15. **Limited English Proficiency:** The AAA agrees to comply with 87-PI-8 [2/5/87] and 12-PI-8 [7/17/12], and in each PSA in which a substantial number of older adults of limited English proficiency reside, the AAA shall:
 - A. utilize in the delivery of outreach services under section 306(a)(2)(A), the services of workers who are fluent in the language spoken by a predominant number of such older adults who are of limited English proficiency and
 - B. designate an individual employed by the AAA, or available to such AAA on a full-time basis, whose responsibilities will include:
 - 1) taking such action as may be appropriate to assure that counseling assistance is made available to such older adults who are of limited English proficiency in order to assist such older adults in participating in programs and receiving assistance under the OAA; and

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

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

- A. Refrain from using funds to advance any sectarian effort and ensure that any services to be provided under this Plan shall be secular in nature and scope and in no event shall there be any sectarian, partisan, or religious services, counseling, proselytizing, instruction or other sectarian, partisan, or religious influence undertaken in connection with the provision of such services;
- B. The AAA will provide equal participation, services, activities and informational sessions without regard to partisan affiliation;
- C. Refrain from using funds to advance any partisan candidate or effort; however, the AAA shall ensure that its providers, including senior centers and facilities, grant equal access to candidates regardless of policy views or party affiliation, consistent with 02-PI-19 [9/24/02];
- D. Refrain and prevent the use by others under its control of official authority, influence or coercion to interfere with or affect elections or nominations for political office;
- E. Refrain from and prohibit any others receiving funds under this Plan for services or activities for older adults from attempting to coerce or advise other persons to contribute anything of value to a party, committee, organization, agency or person for political purposes, nor engage in any other partisan activities under its auspices;
- F. Conduct periodic evaluations and public hearings on activities carried out under the Plan. In addition, the AAA assures that it has held a public hearing on this Plan as required by NYSOFA regulations and has submitted the Plan to its Advisory Council for review and comment prior to submission to NYSOFA;
- G. Be an advocate for older adults in its PSA and monitor, evaluate and comment on all policies, programs, hearings and other community actions which will affect older adults; its efforts shall include planning, information sharing, coordination, interagency linkages, monitoring and evaluation to achieve a comprehensive, community-based system for serving older adults;
- H. Identify and support (i.e., provide technical assistance, counseling) public and private nonprofit entities involved in the prevention and treatment of elder abuse and determine the need for such services;
- I. Conduct internal monitoring of directly provided services and monitoring of contracted services. At a minimum, the AAA must conduct at least one on-site monitoring of each contractor every year. Such monitoring shall include ensuring that contractors comply with all applicable statutes, regulations, policies and standards, including the non-discrimination requirements, in their provision of services to the client population. (See 99-PI-20, [8/5/99].) In the event that the contractor has subcontracted the provision of direct services to another entity, the AAA will monitor such direct provider to assure

compliance with applicable laws and standards. This does not include the LTCOP program which is monitored by the Office of the State Ombudsman.

16. Equal Access to Services and Targeting:

16.1 Equal Access

- A. AAA agrees to comply with requirements for equal access to programs and services funded under the OAA and New York State law. Equal access includes language accessibility, nondiscrimination and concentration of services on target populations as required in the OAA, NYS regulations, other relevant laws and NYSOFA policies. AAA agrees that it will **not**, based on race, color, or national origin exclude any person from participation in; deny the benefits of; or subject any person to discrimination, under any program or activity receiving federal financial assistance. AAA will make every effort to comply with Civil Rights Act Title VI including provision of translation or interpretation services necessary for participation in federally assisted programs or activities by persons that have limited English proficiency.
- B. With regard to any activities/services it supports, sponsors or provides under this Plan, the AAA shall serve any older adults and ensure equal access for participation, services, activities, and informational sessions without regard to Race, Color, Creed, National Origin, Sex, Age, Disability, Sexual Orientation, Marital Status, Familial Status, Military Status, Arrest or Conviction Record, Predisposing Genetic Characteristics or Victims of Domestic Violence.
- C. AAA agrees to examine the services it provides, identify any need for services to those with limited English proficiency, and develop and implement a system to provide those services so persons with limited English proficiency can have meaningful access in compliance with Federal Executive Order 13166.
- D. With regard to language accessibility, AAA agrees that it will:
 - 1) Ensure that limited English proficiency persons are informed at service locations of the availability of language assistance, free of charge, by providing written notice of such assistance in a manner designed to be understandable by persons with limited English proficiency.
 - 2) At a minimum, have a telephonic interpretation service contract or similar community arrangement with a language interpretation services provider of their choice.
 - 3) Ensure all aging services staff with public contact are aware and trained in the timely and appropriate use of these and other available language services.
 - 4) Report on the telephonic interpretation service which it has established in this Annual Implementation Plan under the section entitled, "Demographic Data and Targeting Objectives" as required in 12-PI-08.
 - 5) Make available vital documents, as defined in 12-PI-08 translated into the languages spoken by a significant number or percentage of the population eligible to be served, or likely to be directly affected by the program/activity, for individuals in need of services or information in a language other than English for effective communication.
- E. The AAA will comply with Section 504 of the Rehabilitation Act of 1973 (applicable to

programs or activities that receive federal financial assistance) and Titles II (covering all services, programs, activities conducted by public entities) and III (covering private entities, including non-profits, that are considered places of public accommodation including, but not limited to health related offices and senior centers) of the Americans with Disabilities Act (ADA). AAA shall not discriminate against persons with disabilities in the provision of benefits or services or the conduct of programs or activities. The AAA will require its contractors to likewise comply with Section 504 of the Rehabilitation Act of 1973 and Titles II and III of the ADA.

- 16.2 **Targeting:** The AAA will set specific targeting objectives and the methods to achieve the objectives, consistent with NYSOFA policy, for:
- A. providing services to older adults with greatest economic need (i.e., need resulting from an income level at or below the poverty line), older adults with greatest social need (i.e., need caused by non-economic factors, including physical and mental disabilities, language barriers, and isolation that restricts the ability of an individual to perform normal daily tasks or threatens the capacity of the individual to live independently), or older adults at risk for institutional placement; and
 - B. providing services to low-income minority older adults, older adults with limited English proficiency, and older adults residing in rural areas.
17. **Coordination of Services with other Government Programs:** The AAA assures that those to be served under this Plan are not eligible to receive the same or similar services under Titles XVIII, XIX or XX of the Federal Social Security Act or any other governmental program and are not residents of adult residential care facilities who are receiving or are entitled by law to receive the same or substantially similar services from that facility, unless the AAA has in effect an agreement providing for reimbursement from the appropriate funding source for such services.
18. **Licensure and Certification:** The AAA shall ensure that where the State or local public jurisdictions require licensure or certification for the provision of services, the AAA and its contractors, and contractor's subcontractors if any, providing such services under the approved Plan shall be so licensed or certified. Workers delivering services funded under this Plan must be appropriately qualified, selected, trained and supervised.
19. **Educational Opportunities:** The AAA shall compile information on institutions of higher education in the PSA regarding courses offered to older adults and policies on enrollment and tuition and such other information as may be necessary to encourage such educational activities and make a summary of this information available to older adults at appropriate places.
20. **Reporting:** The AAA agrees to comply with the reporting requirements as set forth by NYSOFA.
- A. The AAA and its contractors will utilize a Minimum Data Set (MDS) compliant assessment tool for: 1) assessing or re-assessing older adults for personal care levels I and II, case management, home health aide, home delivered meals, consumer directed in-home services, and adult day/adult day health services, and 2) for obtaining data on these older adults for reporting purposes. (See Program Instruction 97-PI-01 [1/3/97].)
 - B. In conducting the MDS-compliant assessment for the above-listed services, the AAA and

its contractors will make every effort to complete the assessment and develop an appropriate care plan during the initial visit with the older adult(s) and, if appropriate, his/her caregivers. If the assessment and care plan are not completed during the initial visit, these activities must be concluded within 6 working days of the initial visit.

- C. The AAA understands the necessity of submitting timely and accurate CAARS and client-based data to NYSOFA for Federal and State reporting purposes. The AAA assures that it will submit CAARS reports and consumer-based data as specified by NYSOFA within twenty days following the end of each reporting period. Failure to submit reports accurately detailing AAA program activity within the time frames in the NYSOFA reporting procedures will result in the withholding of payment(s) for Title III, EISEP, CSE and WIN.

21. **Contributions:** The AAA agrees to comply with all NYSOFA policies and procedures related to contributions made by or on behalf of individuals, including procedures to safeguard and account for all contributions including 03-PI-05, NYSOFA Program Income Policy. Individuals with self-declared incomes at or above 185 percent of the federal poverty line will be encouraged to contribute at levels based on the actual cost of services.

22. **Corporate Eldercare:** The AAA agrees that any corporate eldercare activities undertaken by it shall comply with the policies and guidance set forth in 90-PI-63 [11/1/90].

23. **Funding Availability:** The AAA agrees that all payments to be made under this Plan are subject to the availability of Federal/State funds and NYSOFA shall have no liability to the AAA beyond the amounts made available in the Federal and State Budgets.

24. **Terminations:**

- A. Any programs and funding under this Plan may be terminated at any time upon mutual written consent of the NYSOFA and the AAA.

- B. NYSOFA may terminate in whole or in part any programs and funding included in this Plan immediately, upon written notice of termination to the AAA, if the AAA fails to comply with the terms and conditions of this Plan as it pertains to such program or funding and/or with any laws, rules, regulations, policies or procedures applicable to such programs.

- C. NYSOFA may also terminate in whole or in part any programs or funding included in this Plan for any reason in accordance with the following provisions:

- 1) NYSOFA shall have the right to terminate any or all programs or funding included in this Plan early for: (i) unavailability of funds; (ii) cause; (iii) convenience; or (iv) non-responsibility.

- 2) NYSOFA retains the right to cancel any programs included in this Plan, in whole or in part without reason provided that the AAA is given at least 60 days notice of its intent to cancel. NYSOFA may only invoke its right to terminate for convenience provided that NYSOFA has given written notice to the AAA at least 60 days prior to the date of termination, unless NYSOFA has otherwise reserved the right to terminate at any time. This provision should not be understood as waiving NYSOFA's right to terminate the program for cause or stop work immediately for unsatisfactory work, but is supplementary to that provision.

- 3) The AAA shall make a full and final accounting of all funds received under all

terminated program(s) within sixty (60) days of the termination notice.

- D. Written notice of termination, where required, shall be sent by personal messenger service or by certified mail, return receipt requested. The termination shall be effective in accordance with the terms of the notice.
- E. Upon receipt of notice of termination, the AAA agrees to cancel, prior to the effective date of any prospective termination, as many outstanding obligations as possible, and agrees not to incur any new obligations after receipt of the notice without approval by NYSOFA.
- F. NYSOFA shall be responsible for payment on claims pursuant to services provided and costs incurred pursuant to any specific terms set forth elsewhere in this Plan. In no event shall NYSOFA be liable for expenses and obligations arising from the program(s) after the termination date.
- G. The procedures for termination as set forth in A through F are subject to the requirements under the OAA, other pertinent federal laws and state laws.

25. **Native American Access to Services:** The AAA agrees to pursue activities to increase access by older adults who are Native Americans to all aging programs and benefits provided by the agency, including programs and benefits under the OAA, if applicable.

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

26. Title III Funding: In applying for and receiving funding under Title III-B, Title III-C, Title III-D and Title III-E of the OAA, the AAA understands and agrees that:

- A. **Availability:** The AAA shall apply only for funds based on the appropriate allocation schedules promulgated by NYSOFA as well as any unexpended (carry-over) funds previously awarded to the AAA by NYSOFA. The AAA understands and agrees that carry-over funds may be awarded to the extent that these funds are incorporated into an approved application, provided that the requirements of 88-PI-17 [3/24/88] are met. If the AAA applies for more funds than a subsequent closeout shows as the final carry-over balance, the AAA must submit a budget modification requesting a level of program expenditures which corresponds to the reduced Federal funds.
- B. **Area Plan Administration:** The AAA shall budget no more than 10% of the combined Federal allocations (including carry-over) for Titles III-B, III-C-1, III-C-2, III-D and III-E for Area Plan Administration. The amount of federal dollars expended on Area Plan Administration cannot exceed 10% of the combined Federal expenditures for Titles III-B, III-C-1, III-C-2, III-D and III-E.
- C. **Matching Funds:** The AAA agrees to provide a minimum 25% local matching funds for Area Plan Administration expenditures under Titles III-B, III-C-1, III-C-2 and III-E. The AAA agrees to provide a minimum 10% local matching funds for service expenditures under Titles III-B, III-C-1, III-C-2 and III-D. The AAA agrees to provide a minimum 25% local matching funds for services expenditures under Title III-E.
- D. **Audit:** The AAA shall comply with the federal audit requirements per the 1996 amendments to the Single Audit Act, OMB Circular A-133 and the "Government Auditing Standards."

- E. **Directly Provided Services:** In accordance with NYSOFA regulations (9 NYCRR Part 6652.9), services can only be provided directly by an AAA where NYSOFA grants approval. This approval will be granted only if the AAA demonstrates that provision of such service by the AAA is necessary to ensure an adequate supply of the service, or that the service is directly related to the AAA's administrative functions or that service of comparable quality can be provided more economically by the AAA.
- F. **Advisory Council:** The AAA shall establish an Advisory Council consisting of older adults including minorities who are participants or eligible to participate in programs under the OAA, representatives of older adults, local elected officials, the general public and providers of health care and supportive services to advise the AAA in all matters relating to the development, administration and operation of the Plan. The AAA shall submit the Plan for review and comment to the advisory council before it is transmitted to NYSOFA for approval. Amendments that would result in major changes in organizational structure (e.g. mergers or consolidation) must be submitted to the AAA Advisory Council for review and comment prior to the submission to NYSOFA for approval.
- G. **Service Coordination:** The AAA shall coordinate planning with other agencies and organizations, Native American Tribal organizations and Native Hawaiian organizations to promote new or expanded benefits and opportunities for older adults.
- H. **Intergenerational Day Care:** If possible, the AAA shall arrange with organizations providing day care for children or adults and respite for families, so that older adults can assist in the delivery of such services to children, adults and families.
- I. **Outreach:** The AAA shall conduct outreach efforts, and an annual evaluation of the effectiveness of these outreach activities, to identify older adults eligible for assistance under the OAA, with special emphasis on:
- 1) older adults residing in rural areas;
 - 2) older adults with greatest economic need (with particular attention to low- income, low income minority individuals including Native Americans and older individuals residing in rural areas);
 - 3) older adults with greatest social need (with particular attention to low- income minority individuals including Native Americans and older individuals residing in rural areas);
 - 4) older adults with limited English proficiency;
 - 5) older individuals who are frail or with severe disabilities;
 - 6) older adults with Alzheimer's disease or related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals).
- J. **Information and Assistance:** The AAA assures that it shall provide for the establishment and maintenance of information and assistance services in sufficient numbers to assure that all older adults within the PSA covered by the Plan shall have reasonably convenient access to such services.

- K. **Services to Native Americans:** If there is a significant population of older Native Americans in the PSA of the AAA, the AAA shall conduct outreach activities to identify older Native Americans in such area and shall inform such older Native Americans of the availability of assistance.
- L. **Grievances:** The AAA shall establish a grievance procedure for older adults who are dissatisfied with or denied services under the OAA.
- M. **Disabled Individuals:** The AAA assures that it will coordinate planning, identification, assessment of needs and provision of services for older adults with disabilities, with particular attention to individuals with severe disabilities, with agencies that develop or provide services for individuals with disabilities.
- N. **Transportation:** The AAA shall identify the needs of older adults and describe the methods it will use to coordinate planning and delivery of transportation services (including the purchase of vehicles) to assist older adults, including those with special needs, in the PSA.
- O. **Disclosure of Spending:** The AAA shall, on the request of the Assistant Secretary of AoA/ACL or the Director of NYSOFA, for the purpose of monitoring compliance with the OAA (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older adults.
- P. **Title VI:** The AAA shall, to the maximum extent practicable, coordinate the services it provides under Title III of the OAA with services provided under Title VI of the OAA (Grants to Native Americans).
- Q. **Case Management:** The AAA assures that case management services provided under Title III of the OAA through it shall:
- 1) not duplicate case management services provided through other Federal and State programs;
 - 2) be coordinated with services provided through such other Federal and State programs, and
 - 3) be provided by
 - a) a public agency; or
 - b) a nonprofit private agency that:
 - (i) gives each older adult seeking services under this title a list of agencies that provide similar services within the jurisdiction of the AAA;
 - (ii) gives each older adult described in clause (i) a statement specifying that the individual has a right to make an independent choice of service providers and documents receipt by such individual of such statement;
 - (iii) has case managers acting as agents for the individuals receiving the services and not as promoters for the agency providing such services; or

(iv) is located in a rural area and obtains a waiver of the requirements described in clauses (i) through (iii).

Standard Assurances Applicable to Title III-B

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

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

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

- B. **Legal Assistance Program:** The AAA assures that it will enter into contracts with providers of legal assistance which can demonstrate the experience or capacity to deliver legal assistance and that it will attempt to involve the private bar in legal assistance activities authorized under Title III-B, including groups within the private bar furnishing services to older adults on a pro bono and reduced fee basis. The AAA further assures that it will give priority to legal assistance related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect and age discrimination. AAA will not require any provider of legal assistance under Title III-B to reveal any information that is protected by the attorney-client privilege.
- C. **Priority Service Reporting:** The AAA will report annually to NYSOFA, in detail, the amount of funds expended for each such category of priority services during the fiscal year most recently concluded.
- D. **Service Coordination:** The AAA will coordinate priority services with community Alzheimer's programs, coordinate mental health services provided with Title III-B funds with mental health services provided by community health centers and other organizations, and, if appropriate, conduct outreach to identify older Native Americans and inform them of availability of services.
- E. **Nursing Home Diversion:** The AAA will conduct efforts to facilitate coordination of community-based, long-term care services to defer inappropriate institutionalization for older adults who are at home, patients in hospitals, and patients in long term care facilities who could return home.
- F. **Multipurpose Senior Centers:** In regard to any multipurpose senior centers acquired or constructed using OAA funds, the AAA will ensure compliance with Sections 306, 311, and 312 of the OAA, NYSOFA regulations (9NYCRR Part 6654.9), and 90-PI-36 [6/19/90].
- G. **Ombudsman Assistance:** The AAA agrees to cooperate with and support NYSOFA in

its administration of the LTCOP as required in Title VII of the OAA, and the NYS Elder Law and federal and State regulations, and agrees to comply with any applicable vouchering, reporting and program requirements of NYSOFA for the program in accordance with Title VII Standard Assurances.

- H. **Ombudsman Funding:** The AAA assures that it will apply for all available LTCOP funding when it has been designated a local LTCOP sponsor by the State Ombudsman or when it acts as a local government fiscal conduit for the transfer of NYSOFA LTCOP funds to the designated local non-profit sponsor. The use of these funds shall be subject to the approval of the State Ombudsman who shall provide technical assistance to the local LTCOP Coordinators as to its appropriate use.
- I. **Ombudsman Program:** The AAA shall support and shall meet its FFY 2000 maintenance of effort requirement under the OAA for the LTCOP that it operates directly or by contract. If no local LTCOP operates within its PSA, the AAA shall assist the State Ombudsman Program in the development of such a local LTCOP. The AAA shall comply with all applicable rules, regulations, policies, and procedures of the State LTCOP.

Standard Assurance Applicable to Title III-C

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

Standard Assurances Applicable to Title III-C and WIN

(For additional Assurances applicable to WIN, see SA#5B & SA#35.)

- 29. In applying for and receiving funding under Title III-C of the OAA and WIN, the AAA understands and agrees that:
 - A. **Special Dietary Needs:** The AAA assures that the nutrition program in the PSA shall reasonably accommodate participants who have particular dietary needs arising from the health requirements, religious requirements, or ethnic backgrounds of such participants.
 - B. **Outreach:** It shall be the AAA's responsibility to identify and reach out to currently unserved and underserved individuals who would be eligible for home delivered meals.
 - C. **Provider Organizations:** The AAA, when selecting potential home delivered meal providers, shall give consideration where feasible to organizations which:
 - 1) have demonstrated an ability to provide home delivered meals efficiently and reasonably; and
 - 2) furnish assurances to the AAA that such an organization shall maintain efforts to solicit voluntary support and that the funds made available under Title III-C to the organization shall not be used to supplant funds from non-Federal sources.

- D. **Congregate Sites:** Sites for congregate meals and comprehensive supportive services are located in as close proximity to the majority of eligible individuals' residences as feasible, with particular attention on a multipurpose senior center, a school, a church, or other appropriate community facility, preferably within walking distance, and where appropriate, transportation to such site is furnished.
- E. **Allowable Services:** The AAA may only apply for and use Title III-C funds to provide meals and other services (i.e., nutrition counseling and nutrition education) directly related to nutrition services. The AAA may also use program income for supportive and access services to enhance the nutrition program. Such supportive and access services include outreach, transportation (Title III-C-1 only) Information and Assistance, In-Home Contact and Support (shopping assistance only), Senior Center/Recreation and Education (Title III-C-1 only), Assisted Transportation (Title III-C-1 only). Program income cannot be used for access and supportive services in amounts greater than what has been generated by program activity.

Standard Assurances Applicable to Title III-D

30. **Title III-D**

- A. **Area Plan Administration:** No Title III-D funds shall be budgeted or expended for Area Plan Administration.
- B. **Evidence-based:** The AAA shall expend all Title III-D funding on evidence-based programs/interventions only. Each evidence-based program/intervention selected by the AAA shall meet the criteria for highest-level evidence-based health promotion programs as established by the ACL.

Standard Assurances Applicable to Title III-E Caregiver Program

31. **Title III-E Caregiver Program**

- A. **Comprehensive Support System:** The AAA shall provide multifaceted systems of support services for family caregivers and grandparents or older individuals who are relative caregivers as this term is defined in OAA §372(a).
- B. **Grandparents/Relatives as Caregivers:** The AAA may budget up to 10% of its Title III-E funds (Federal funds plus local match), plus any income generated by grandparent/relative caregiver services, for a grandparent/relative caregiver program. The AAA may expend a maximum of 10% of its final Title III-E expenditures (Federal funds plus local match), plus any income generated by grandparent/relative caregiver services, for a grandparent/relative caregiver program. Caregiver services under OAA Title III-E will be provided only to grandparents or caregiver relatives as defined in OAA §372(a)(2).
- C. **Statutory Services:** The caregiver program support services shall include each of five specific, statutory categories of caregiver services, with the amounts used to fund each service to be determined by the AAA, based on the needs of its particular caregivers. The AAA may meet this comprehensive service requirement by including services in its Title III-E Caregiver Program that meet Title III-E requirements, but that are funded from other

sources. These required services are:

- 1) Information about available services;
- 2) Assistance in gaining access to the services;
- 3) Individual counseling, organization of support groups, caregiver training to assist the caregivers in the areas of health, nutrition and financial literacy and to help caregivers make decisions and solve problems relating to their caregiver roles and responsibilities;
- 4) Respite services to temporarily relieve caregivers by providing a short-term break from their caregiving responsibilities; and
- 5) Supplemental services to complement the caregiver's efforts to provide care.

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

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

F. Use of Volunteers: Each AAA shall make use of trained volunteers to expand the provision of the available services and, if possible, work in coordination with organizations that have experience in providing training, placement, and stipends for volunteers or participants (such as organizations carrying out federal service programs administered by the Corporation for National and Community Service), in community settings.

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

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

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

adjustment;

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

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

Standard Assurances Applicable to Caregiver Resource Centers

34. Caregiver Resource Centers

- A. **CRC Services:** If the AAA has a Caregiver Resource Center (CRC) funded under NYS Elder Law § 206, AAA agrees to provide and enhance CRC services. CRC services are similar to the required services funded through the Title III-E Caregiver Program, except that CRC does not fund respite and supplemental services. The AAA’s CRC services can supplement or be integrated, as appropriate, into the AAA’s Caregiver Program, with the goal of using AAA expertise to achieve cost-effective, productive and creative “best practices” caregiver services that can serve as models for other AAAs.
- B. **Materials Developed Under CRC:** If the AAA has a Caregiver Resource Center (CRC) funded under NYS Elder Law § 206, AAA agrees that all materials developed by the AAA in connection with the CRC program shall be the property of NYSOFA. NYSOFA also reserves the right to copyright all such materials, the exclusive right to reproduce, publish or otherwise use, and to authorize others to use these materials.

Standard Assurance Applicable to WIN

(for additional Assurances applicable to WIN, see also SA#29 and SA#5B).

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

- A. **Separate Accounting:** The funds provided under WIN shall be accounted for and reported separately from those received under other sources, including Title III-C.
- B. **WIN Services:** The funds provided under WIN must be used to provide home delivered meals and/or services related to the provision of meals to eligible older adults whose nutritional needs have not or cannot be met under Title III-C or CSE. WIN funds may be used to provide congregate meals but only when the provision of the congregate meals will serve nutritionally at-risk older adults or result in an increased ability to provide home delivered meals.
- C. **Administration:** No more than 5% of WIN funds awarded shall be budgeted for AAA administration. No more than 5% of WIN funds expended shall be for AAA administration.
- D. **No Supplanting Title III-C Services:** No WIN funds shall be used to replace nutrition services provided or intended to be provided under Title III-C and CSE.

Standard Assurances Applicable to CSE and EISEP

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

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

37. **Matching Requirements:** The AAA agrees to provide minimum local matching funds for service expenditures under EISEP and CSE as set forth by applicable State law and requirements.

Standard Assurance Applicable to CSE

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

the project effectively improved the delivery of services to older adults.

Standard Assurance Applicable to EISEP

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

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

Standard Assurance Applicable to CSI

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

- A. **Congregate Services:** "Congregate services" shall mean services for older adults which are provided by a public or private non-profit agency in community settings at which older adults come together for services and activities that respond to their diverse needs and interests.
- B. **Direct Provision of CSI Services:** The AAA may contract with public agencies, municipalities, not-for-profit agencies or such other entities that provide congregate services. The AAA may not directly provide a service under CSI unless granted a waiver by the Director of NYSOFA. Approval of direct service provision will only be given if the service was directly provided prior to approval of the 1994-95 Plan, or direct provision is necessary due to the absence of an existing suitable provider or to ensure the quality of the service provided.
- C. **Multi-County Partnerships:** Two or more counties may join together for the purpose of implementing CSI through a written agreement between the cooperating AAAs.
- D. **Matching Funds:** Under CSI the AAA will provide matching funds equal to 25% of its CSI costs. The allowable forms of match are the same as those permitted under CSE and EISEP. In-kind salaries and rent are allowable. State funds and local funds used to match other State or Federal funds are not allowable as match. The local match can be entirely new match or local funding formerly used to match the local Recreation Program for the Elderly.

E. **Administration:** The AAA shall budget no more than 5% of CSI funds (State Aid & Local Match) for AAA administration. The AAA agrees that it will expend no more than 5% of CSI funds for AAA administration.

F. **Meal Costs:** Meal costs are not allowable under the CSI program.

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

41. **NY Connects Cooperation:** The AAA agrees to cooperate with the work of the NY Connects Program and the local long term care coordinating council as directed by NYSOFA. The AAA agrees that the AAA director will be a member of the local long term care coordinating council.

Standard Assurances Applicable to Emergency Preparedness Plans

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

Standard Assurances Applicable to Mental Health Services

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

Standard Assurances Applicable to Title V

44. Title V:

- A. The AAA, if it administers the Senior Community Service Employment Program (SCSEP), agrees to comply with United States Department of Labor's (USDOL) regulations, and NYSOFA policies and procedures governing SCSEP. The AAA assures and certifies that it will:
- 1) provide community service assignments only for eligible individuals and, to the extent possible, recruit necessary technical, administrative and supervisory personnel from among eligible individuals;
 - 2) provide community service assignments for eligible individuals in the county in which they reside;
 - 3) assign eligible individuals in services related to publicly owned and operated facilities and projects, or projects sponsored by organizations, other than political parties, exempt from taxation under the provisions of section 501(c)(3) of the Internal Revenue Code of 1954, except projects involving the construction, operation, or maintenance of any facility used or to be used as a place for sectarian religious instruction or worship;
 - 4) assure that no otherwise Title V qualified older person with a disability or perceived to have a disability shall, solely by reason of this disability, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance. A person with a disability is defined as 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;
 - 5) not deny community service assignments to any person with a disability if reasonable accommodations can be made for that person's disability;
 - 6) contribute to the general welfare of the community in a manner that will:
 - a) result in an increase in employment opportunities over those opportunities which would otherwise be available,
 - b) not result in the displacement of currently employed workers (including partial displacement, such as a reduction in the hours of non-overtime work or wages or employment benefits), and
 - c) not impair existing contracts for service or result in the substitution of federal funds in connection with work that would otherwise be performed;
 - 7) not employ or continue to employ any participant to perform work which is the same or substantially the same as that performed by any other person who is on layoff;
 - 8) utilize methods of recruitment and selection (including notifying the state employment security agency when vacancies occur) which will assure that the maximum number of eligible individuals will have an opportunity to participate in the project;

- 9) conduct training as may be necessary to make the most effective use of the skills and talents of participants, provide for the reasonable expense of individuals being trained, including reasonable compensation for time spent in training; and, wherever possible, obtain all training for participants at reduced or no cost to Title V from such sources as the host agency, Workforce Innovation and Opportunity Act (WIOA) and the Carl D. Perkins Vocational and Applied Technology Education Act.;
 - 10) assure that safe and healthy conditions of work will be provided;
 - 11) establish and administer the grant with the advice of persons competent in the field of service in which employment is being provided, and of persons who are knowledgeable with regard to the needs of older persons;
 - 12) authorize payment for reasonable transportation costs of participants which may be incurred under the grant in accordance with 20 CFR Section 641.545;
 - 13) assure that to the extent feasible, the needs of minority, limited English speaking, and Native American Indian eligible individuals are served, and individuals who have the greatest economic need, at least in proportion to their numbers in the geographic jurisdiction of the project and take into consideration their rates of poverty and unemployment based on the best available information;
 - 14) authorize funds to be used, to the extent feasible, to include individuals participating in the project under the State Unemployment Insurance Plan;
 - 15) coordinate activities with the local WIOA system and the Carl D. Perkins Act programs to insure that project trainees can benefit from such cooperative activities as dual eligibility, shared assessments, training and referral.
- B. If the federal-state guidelines are amended or revised, the AAA will comply with them or notify NYSOFA within thirty (30) days after promulgation of the amendments or revisions that it cannot so conform so that NYSOFA may take appropriate action, including grant termination, if necessary.
- C. The AAA has complaint resolution procedures for trainees or applicants including those who are determined ineligible or against whom adverse actions are taken. Such procedures comply with federal requirements and include:
- 1) An opportunity for the participant or applicant to respond either verbally or in writing to an action of the AAA, including filing a grievance;
 - 2) An opportunity for an informal conference;
 - 3) A prompt determination of the issue;
 - 4) If an issue cannot be resolved to the satisfaction of the participant or applicant, the participant or applicant will be notified that they have the option of appealing the decision with NYSOFA and/or the USDOL; and
 - 5) If the complaint alleges discrimination in violation of Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973 or the Workforce Investment Act, such complaint

may be directed or mailed to the Civil Rights Center of the USDOL and AAA will use the complaint processing procedures that meet the requirements of 29 CFR 37.70 through 37.80 to resolve the complaint.

D. AAA agrees that it will:

- 1) comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act as they apply to hospital and educational employees of state and local governments; and,
- 2) it will otherwise compensate participants at a rate which is at least commensurate with the highest applicable minimum wage which is either the minimum wage applicable under the Federal Fair Labor Standards Act of 1938; the New York State minimum wage for the most nearly comparable covered employment, notwithstanding any exceptions which may otherwise apply; or the prevailing rate of pay for persons employed in similar public occupations by the same employer.

E. The AAA agrees that it will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties;

F. The AAA agrees that it will give the USDOL, the Comptroller General, the Office of the State Comptroller and NYSOFA, through any authorized representative, the access to and the right to examine all records, books, papers or documents related to SCSEP; and,

G. The AAA agrees that it will comply with the federal regulations governing grant administration for SCSEP as set forth in 20 CFR Part 641, 29 CFR Parts 95 through 99.

H. Eligibility Criteria and Enrollment Priorities:

- 1) The AAA through SCSEP will provide useful part-time community service assignments for unemployed low income persons who are 55 years old or older while promoting transition to unsubsidized employment.
- 2) To be eligible for SCSEP the individual must be no less than 55 years of age, a resident of New York State, unemployed at the time of application and whose family income does not exceed 125% of the Federal Poverty Level.
- 3) The AAA shall recertify the income eligibility of each trainee at least once each project year between July 1 and June 30 according to the schedule in this project agreement.

I. The AAA or, the AAA's contractor, will recruit and select eligible individuals in sufficient numbers to fill all authorized slots. Enrollment priorities for filling all positions shall be to individuals with the following priority characteristics:

- 1) are 65 years of age or older;
- 2) have a disability;
- 3) have limited English proficiency or low literacy skills;
- 4) reside in a rural area;
- 5) are veterans (or, in some cases, spouses of veterans) for purposes of the Jobs for Veterans Act;

- 6) have low employment prospects;
- 7) have failed to find employment after using services provided through the One-Stop delivery system; or
- 8) are homeless or are at risk for homelessness

When determining the order in which to give enrollment priority, the AAA will use following order:

- 1) Persons who qualify as a veteran or a qualified spouse under the Jobs for Veterans Act and possess at least one of the other priority characteristics;
 - 2) Persons who qualify as a veteran or a qualified spouse under the Jobs for Veterans Act and do not possess any other of the priority characteristics;
 - 3) Persons who do not qualify as a veteran or qualified spouse under the Jobs for Veterans Act and possess at least one of the other priority characteristics.
- J. The AAA will offer SCSEP participants the opportunity to take a physical examination within 60 days of enrollment and annually in accordance with 29 CFR §641.565.
- K. Orientation requirements:
- 1) The AAA shall provide orientation to the SCSEP participant as soon as practicable after determination of eligibility. The orientation shall include information on term limits, project objectives, community service assignments, training, supportive services, rights and duties of the trainee, permitted and prohibited political activities, plans for transition to unsubsidized employment and a discussion of safe working conditions at the host agency.
 - 2) The AAA shall provide orientation to those individuals who will supervise SCSEP participants at the host agencies.
- L. The AAA shall assess each new participant to determine the most suitable community service assignment for the individual and to identify appropriate employment, training and community service objectives for each individual. The assessment shall be made in partnership with the new participant in accordance with 29 CFR §641.535. Assessments shall be done at least two times during a twelve month period to determine the SCSEP participant's potential for transition to unsubsidized employment. Assessments shall be documented and made a part of the participant's permanent record. Assessments and service strategies or individual employment plans of a participant, prepared under the Workforce Innovation and Opportunity Act may be substituted for one prepared by the AAA.
- M. The AAA shall use the assessment or reassessment as a basis for developing or amending an Individual Employment Plan (IEP). The IEP shall be developed in partnership with the SCSEP participant to reflect the needs, interests and desires of the participant (29 CFR §641.535). The AAA shall review the IEP at least twice in a 12-month period.
- N. The AAA shall employ reasonable means to place each SCSEP participant into unsubsidized employment. Whenever the AAA fails to achieve the performance measures established by US DOL, the AAA will develop and submit to NYSOFA a plan of action the AAA will implement to achieve the performance measures.

- O. The AAA will complete and document a follow up for SCSEP participants who are placed in unsubsidized employment that includes the number of hours the participant worked and wages earned at least once per three (3) month period of unsubsidized placement for one year.
- P. The AAA shall ensure that all SCSEP participants, including those hired by contractors, receive all the fringe benefits as may be required by law and will ensure compliance with NYSOFA's wage and fringe benefits policy (see 12-PI-05).
- Q. The AAA shall ensure that all reporting requirements are completed in accordance with NYSOFA requirements.
- R. Term Limits:
 - 1) The AAA will limit participation in SCSEP to no longer than forty eight (48) months unless NYSOFA grants an extension for the participant that is frail and/or over the age of 75 years.
 - 2) The AAA will maintain twenty-seven (27) months as an average amount of time all trainees are in SCSEP.

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

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

- A. The AAA agrees that the Project Narrative and Budget included in the Plan may not be modified without the written consent of the NYSOFA.
- B. The AAA agrees that it will not assign or transfer the rights or responsibilities it has with regard to the HIICAP program without the prior written consent of NYSOFA. If the AAA contracts the direct performance of the HIICAP program, including the HIICAP Coordinator, it retains primary responsible for satisfying the responsibilities set forth in this Plan and the AAA will include the responsibilities in the agreement with such contractor.
- C. The AAA agrees to provide counseling to individual Medicare beneficiaries unable to access other channels of information or needing and preferring locally based individual counseling services.
- D. The AAA will make counseling resources and locations locally accessible to low-income, dual-eligible, and hard-to-reach beneficiaries and will equip its counselors to provide in-depth, complex counseling and enrollment assistance on Medicare, Medicare Prescription Drug Coverage, Medicare Advantage Plans, EPIC enrollment and coordination with Medicare Prescription Drug Coverage.
- E. The AAA will provide counseling information about original Medicare plan information and options and the AAA's HIICAP assigned staff must have knowledge and develop referral contacts for assistance in the following areas:
 - 1) Medicare eligibility, benefits, preventive services and claims filing;

- 2) Medicare Prescription Drug Benefit;
 - 3) EPIC and how it works with the Medicare prescription drug plans;
 - 4) Medicaid eligibility, benefits and spousal protections (local Department for Social Services), Medicaid Managed Long Term Care (ICAN);
 - 5) Medicare Supplement insurance policy coverage, comparison information and claims filing;
 - 6) Long Term Care (LTC) insurance and planning (NYS Partnership for LTC); and
 - 7) Other types of health insurance benefits (including employer, retiree, Medicare Savings Program benefits, "Extra Help", etc.).
- F. The AAA acknowledges that HIICAP is a volunteer-based program and will be operated as such. AAAs must increase and enhance the counselor work force and equip them to be proficient in the areas noted above. A list of all trained HIICAP volunteers and staff must be submitted to NYSOFA as part of the AAA's application. In order to avoid a conflict of interest, an AAA will not allow individuals who are currently licensed as health insurance agents/brokers or have some other conflict of interest to volunteer for HIICAP in any capacity even if the individual is willing to sign a disclaimer stating that he or she will provide unbiased insurance counseling information to clients.
- G. The AAA will ask program volunteers whether or not they are licensed to sell health insurance products and the status of their current license.
- H. The AAA agrees to designate a HIICAP Coordinator to be responsible for the AAA's performance under this Plan. The HIICAP Coordinator shall be the AAA's representative and contact person for all HIICAP related issues including program and reporting.
- I. The HIICAP Coordinator(s) designated by the AAA will oversee the training and quality of service provided by all volunteers and staff. The Coordinator(s) annually will certify that volunteers have satisfied the annual training requirements. Significant training and support will be necessary to prepare counselors to help beneficiaries understand and enroll in new choices and benefits created by the MMA (Medicare Modernization Act) and subsequent Federal Laws such as the Affordable Care Act of 2010. The Coordinator will oversee and manage the inventory of training and consumer education supplies.
- J. The AAA agrees that its designated HIICAP Coordinator(s) will attend at least one NYSOFA HIICAP training, use all NYSOFA-prescribed HIICAP training material, and encourage counselors to participate in NYSOFA sponsored monthly coordinator and other conference calls.
- K. The AAA agrees that all HIICAP Coordinators and volunteers, who counsel Medicare beneficiaries, will participate in the HIICAP certification process, as often as is required by NYSOFA.
- L. The AAA shall update the Security Plan originally submitted in the first year of the grant (9/28/92 – 9/27/93) describing steps undertaken to protect the confidentiality of all project related information that identifies individuals (hereafter referred to as client information). The Security Plan must specify that client information is confidential, that it may not be

disclosed directly or indirectly except for purposes directly concerned with the conduct of the project, and that informed written consent of the individual be obtained for any disclosure not directly concerned with the conduct of the project. AAAs joining HIICAP for the first time shall provide a plan that outlines how they will protect client information. The Plan should be included in the application.

- M. The AAA assumes responsibility for the accuracy and completeness of the information contained in all technical documents and reports submitted.
- N. The AAA agrees that it will submit monthly performance reports as specified by NYSOFA on all HIICAP Client Contacts and Public & Media Events via the National SHIP (State Health Insurance Assistance Program) reporting System at <https://shipnpr.acl.gov>. The AAA agrees to complete the annual Resource Report on paper forms and send the completed report to NYSOFA.
- O. The AAA agrees to ensure the capacity to access Internet information via basic dial-up access at the minimum, with a high-speed connection preferred, including expanding and maintaining Internet capability at the local counseling levels. The AAA will have the capacity to send and receive a high volume of information (including training materials and Power Point presentations) through electronic mail (email) and through the Internet. The AAA assures that HIICAP counselors will have access to Internet-based information, training materials, counseling and enrollment tools.
- P. The AAA agrees to ensure adequate capacity to receive and properly answer and address all calls received through the NYS HIICAP Hotline (1-800-701-0501) as calls are automatically transmitted to the local AAA/HIICAP.
- Q. Upon approval of this application and issuance of a Notification of Grant Award, the AAA is eligible to request an advance of up to twenty-five percent (25%) of its award. The AAA shall submit appropriate Claim for Payment in such form as required by NYSOFA. The final Claim for Payment will be submitted to NYSOFA within sixty (60) days after the ending date of the grant period.
- R. The AAA will include the express acknowledgement, "This publication has been created or produced by [county] with financial assistance, in whole or in part through a grant from the New York State Office for the Aging and the Administration for Community Living." on all new publications funded solely or in part by HIICAP.
- S. NYSOFA has approved the following disclaimers that the AAA must use when disseminating HIICAP materials and/or advertising:
 - 1) "The information provided by the Health Insurance Information, Counseling and Assistance Program is intended for the sole purpose of educating consumers in regard to the choices available for their health insurance needs. Particular emphasis is placed on understanding original Medicare. Nothing herein is intended nor should it be construed as an endorsement by the State of New York of any specific insurance product or insurer."
 - 2) If the above disclaimer is too lengthy for certain media items (i.e. flyers, small brochures, etc., the disclaimer below may be used as a substitute:

"New York State does not endorse nor recommend any specific insurance product

or insurer; this program is solely intended to educate consumers about their choices.”

- T. Upon request by the State HIICAP Coordinator, the AAA will provide information for a mid-term report (and other reports as required) to NYSOFA on clients served and activities provided under the current HIICAP grant.
- U. The AAA shall not use State Health Insurance Assistance Program (SHIP) federal funds from ACL to purchase food, beverages, light refreshments, or meals at HIICAP outreach and educational events, or for volunteer recognition, or other events, or for meal travel per diems.
- V. The AAA shall not use SHIP federal funds to purchase promotional giveaways or incentive items, unless such items are educational in nature as required by ACL and pre-approved by NYSOFA.

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

ATTACHMENT B

PRIORITY SERVICES EXPENDITURE REPORT

Instructions: Using actual expenditures for the period, October 1, 2014- September 30, 2015, submit this completed and certified report with the 2016-20 Plan. Area Agencies may use their CAARS reports to assist with completing this page (click [here](#) (on electronic document); select beginning period October 1, 2014; select ending period of September 30, 2015; then click Expenditures Report).

Since AAA 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 the report below.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

If for one or more of the Priority Services categories the amount specified in column E is less than the Minimum Required Percentage, for each such category provide an explanation of the reason for the shortfall in expenditures and describe the strategies and steps that the AAA is implementing to assure that it will satisfy the requirement for the forthcoming plan year.

Category	Explanation	Strategies/Steps

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

ATTACHMENT C

PROGRAM DESIGN MODIFICATIONS

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

PURPOSE

All AAAs must complete Attachment C. Attachment C is intended for the AAA to alert and obtain approval from NYSOFA regarding: Major Changes; New Direct Services; New Activities; Plans for Multipurpose Senior Centers that are not included in the previous program period; and/or any changes that are being planned for periods covered by future Plans (e.g. an RFP to be held in SFY 2016-2017 that will result in a major change in services or providers in SFY 2017-2018).

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

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

DEFINITIONS

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

Major Change(s): Refers to a proposed change(s) in program design for SFY 2016-2017 from what NYSOFA has approved in the previous program period that will significantly impact older adults. It also refers to any planned change(s) for periods covered by future Plans that will have a significant impact on service delivery to older adults.

Significant Impact: The criteria for determining Significant Impact include:

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

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

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

New Activity: Refers to: Any new service or program

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

PROGRAM DESIGN MODIFICATIONS

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

Select if actions proposed by the area agency or its contractors will occur during the funding period 4/1/2016-3/31/2017 Plan.

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

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

ACTIONS THAT MAY AFFECT FUTURE PERIODS

Select if any actions by the AAA or its contractors are anticipated for the 4/1/2016 – 3/31/2017 Plan period that may result in future program design modifications in future plan periods (see *Guide for Completion*).

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

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

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

ATTACHMENT D

Justification for Title III Carryovers and Title III Transfers

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

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

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

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

Targeting: Describe how excess carryover funds will be used for targeting (Reference 12-PI-08, 7/17/12) 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, frail, and persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.). For example, the following activities represent possible efforts to improve achievement of targeting goals: provision of linguistic interpretation services to persons with limited English proficiency or deaf persons, translation of informational materials for persons with limited English proficiency or development of Braille and audio materials for persons who are visually impaired, etc. Where the AAA targeting goals have not been met and the AAA will not use carryover funds for additional or expanded targeting efforts, please provide a justification including a description of the specific activities implemented by the AAA to meet targeting goals and outcomes.

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

ATTACHMENT E

Fringe Benefits and Travel Reimbursement Policies

▶ **Fringe Benefits Policy:** A complete copy of the AAA's (or sponsor's) Fringe Benefit Policy must be submitted with the **Four Year Plan**. Include below the current fringe benefit rate for employees. Describe any changes from the 2012-2016 Fringe Benefit policy submitted with the 2012-16 Four Year Plan and submit a complete copy of the 2016 Fringe Benefit Policy. If the composite fringe benefit percentage for an individual program exceeds the average fringe benefit percentage included below- by more than 15%- the reason for the deviation(s) **must** be explained below.

2016-2017 Fringe Benefit Rate: _____%

▶ **Travel Reimbursement Policy:** A complete copy of the AAA's (or sponsor's) Travel Reimbursement Policy must be submitted with the **Four Year Plan**. Describe below any changes from the 2012-2016 Travel Reimbursement Policy submitted with the 2012-2016 Four Year Plan and submit a complete copy of the 2016 Travel Reimbursement Policy.

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

FFY 2016 TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$276,053	1.352%
ALLEGANY	0.254%	51,647	0.253%
BROOME	1.059%	218,904	1.072%
CATTARAUGUS	0.389%	81,244	0.398%
CAYUGA	0.403%	83,828	0.410%
CHAUTAUQUA	0.760%	155,737	0.763%
CHEMUNG	0.464%	108,495	0.531%
CHENANGO	0.295%	58,755	0.288%
CLINTON	0.381%	75,884	0.372%
COLUMBIA	0.345%	69,119	0.338%
CORTLAND	0.227%	46,283	0.227%
DELAWARE	0.300%	64,361	0.315%
DUTCHESS	1.267%	252,350	1.236%
ERIE	4.824%	1,039,667	5.091%
ESSEX	0.214%	45,655	0.224%
FRANKLIN	0.245%	51,846	0.254%
FULTON	0.294%	63,521	0.311%
GENESEE	0.303%	60,349	0.296%
GREENE	0.283%	56,613	0.277%
HERKIMER	0.371%	80,252	0.393%
JEFFERSON	0.460%	93,560	0.458%
LEWIS	0.136%	45,655	0.224%
LIVINGSTON	0.293%	58,357	0.286%
MADISON	0.331%	65,926	0.323%
MONROE	3.431%	683,358	3.346%
MONTGOMERY	0.296%	65,353	0.320%
NASSAU	5.863%	1,213,709	5.943%
NIAGARA	1.175%	234,027	1.146%
ONEIDA	1.295%	262,805	1.287%
ONONDAGA	2.161%	430,411	2.107%
ONTARIO	0.521%	103,768	0.508%
ORANGE	1.430%	284,817	1.395%
ORLEANS	0.204%	45,655	0.224%
OSWEGO	0.518%	105,281	0.516%
OTSEGO	0.328%	65,328	0.320%
PUTNAM	0.371%	73,892	0.362%
RENSELAER	0.679%	135,238	0.662%
ROCKLAND	1.308%	260,517	1.276%
ST. LAWRENCE	0.564%	112,829	0.552%
SARATOGA	0.923%	183,835	0.900%
SCHENECTADY	0.739%	151,962	0.744%
SCHOHARIE	0.185%	45,655	0.224%
SCHUYLER	0.097%	45,655	0.224%
SENECA	0.188%	45,655	0.224%
STEUBEN	0.530%	105,562	0.517%
SUFFOLK	6.000%	1,195,032	5.851%
SULLIVAN	0.420%	86,410	0.423%
TIOGA	0.260%	51,785	0.254%
TOMPKINS	0.353%	70,308	0.344%
ULSTER	0.927%	184,633	0.904%
WARREN/HAMILTON	0.385%	91,309	0.447%
WASHINGTON	0.312%	62,141	0.304%
WAYNE	0.443%	88,234	0.432%
WESTCHESTER	4.394%	875,161	4.285%
WYOMING	0.190%	45,655	0.224%
YATES	0.129%	45,655	0.224%
NEW YORK CITY	48.012%	9,707,305	47.530%
SENECA INDIAN RES	0.058%	30,363	0.149%
ST. REGIS MOHAWK	0.026%	30,363	0.149%
TOTAL	99.999%	\$20,423,727	100.000%

FFY 2016 TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$372,139	1.359%
ALLEGANY	0.254%	69,220	0.253%
BROOME	1.059%	293,385	1.071%
CATTARAUGUS	0.389%	108,888	0.398%
CAYUGA	0.403%	112,349	0.410%
CHAUTAUQUA	0.760%	208,724	0.762%
CHEMUNG	0.464%	126,459	0.462%
CHENANGO	0.295%	79,207	0.289%
CLINTON	0.381%	102,298	0.374%
COLUMBIA	0.345%	92,632	0.338%
CORTLAND	0.227%	71,581	0.261%
DELAWARE	0.300%	86,259	0.315%
DUTCHESS	1.267%	340,187	1.242%
ERIE	4.824%	1,391,050	5.079%
ESSEX	0.214%	60,434	0.221%
FRANKLIN	0.245%	70,512	0.257%
FULTON	0.294%	83,790	0.306%
GENESEE	0.303%	81,355	0.297%
GREENE	0.283%	75,984	0.277%
HERKIMER	0.371%	107,557	0.393%
JEFFERSON	0.460%	125,394	0.458%
LEWIS	0.136%	55,680	0.203%
LIVINGSTON	0.293%	78,670	0.287%
MADISON	0.331%	88,873	0.325%
MONROE	3.431%	921,217	3.363%
MONTGOMERY	0.296%	87,590	0.320%
NASSAU	5.863%	1,626,663	5.939%
NIAGARA	1.175%	315,486	1.152%
ONEIDA	1.295%	352,222	1.286%
ONONDAGA	2.161%	580,225	2.118%
ONTARIO	0.521%	139,888	0.511%
ORANGE	1.430%	383,953	1.402%
ORLEANS	0.204%	55,680	0.203%
OSWEGO	0.518%	141,102	0.515%
OTSEGO	0.328%	88,067	0.322%
PUTNAM	0.371%	99,613	0.364%
RENSELAER	0.679%	182,310	0.666%
ROCKLAND	1.308%	351,196	1.282%
ST. LAWRENCE	0.564%	151,432	0.553%
SARATOGA	0.923%	247,824	0.905%
SCHENECTADY	0.739%	203,665	0.744%
SCHOHARIE	0.185%	55,680	0.203%
SCHUYLER	0.097%	55,680	0.203%
SENECA	0.188%	55,680	0.203%
STEUBEN	0.530%	142,304	0.520%
SUFFOLK	6.000%	1,610,990	5.882%
SULLIVAN	0.420%	115,810	0.423%
TIOGA	0.260%	69,810	0.255%
TOMPKINS	0.353%	94,780	0.346%
ULSTER	0.927%	248,898	0.909%
WARREN/HAMILTON	0.385%	113,948	0.416%
WASHINGTON	0.312%	83,772	0.306%
WAYNE	0.443%	118,945	0.434%
WESTCHESTER	4.394%	1,179,782	4.307%
WYOMING	0.190%	55,680	0.203%
YATES	0.129%	55,680	0.203%
NEW YORK CITY	48.012%	13,010,104	47.500%
SENECA INDIAN RES	0.058%	55,680	0.203%
ST. REGIS MOHAWK	0.026%	55,680	0.203%
TOTAL	99.999%	\$27,389,663	100.000%

2016 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$168,036	1.358%
ALLEGANY	0.254%	31,172	0.252%
BROOME	1.059%	132,118	1.068%
CATTARAUGUS	0.389%	49,034	0.396%
CAYUGA	0.403%	50,593	0.409%
CHAUTAUQUA	0.760%	93,993	0.760%
CHEMUNG	0.464%	56,948	0.460%
CHENANGO	0.295%	35,765	0.289%
CLINTON	0.381%	46,192	0.373%
COLUMBIA	0.345%	41,827	0.338%
CORTLAND	0.227%	28,396	0.229%
DELAWARE	0.300%	38,844	0.314%
DUTCHESS	1.267%	153,610	1.241%
ERIE	4.824%	626,420	5.061%
ESSEX	0.214%	28,396	0.229%
FRANKLIN	0.245%	31,290	0.253%
FULTON	0.294%	37,525	0.303%
GENESEE	0.303%	36,735	0.297%
GREENE	0.283%	34,310	0.277%
HERKIMER	0.371%	48,435	0.391%
JEFFERSON	0.460%	56,468	0.456%
LEWIS	0.136%	28,396	0.229%
LIVINGSTON	0.293%	35,523	0.287%
MADISON	0.331%	40,130	0.324%
MONROE	3.431%	415,970	3.361%
MONTGOMERY	0.296%	39,444	0.319%
NASSAU	5.863%	732,521	5.919%
NIAGARA	1.175%	142,455	1.151%
ONEIDA	1.295%	158,613	1.282%
ONONDAGA	2.161%	261,997	2.117%
ONTARIO	0.521%	63,165	0.510%
ORANGE	1.430%	173,371	1.401%
ORLEANS	0.204%	28,396	0.229%
OSWEGO	0.518%	63,542	0.513%
OTSEGO	0.328%	39,766	0.321%
PUTNAM	0.371%	44,979	0.363%
RENSELAER	0.679%	82,322	0.665%
ROCKLAND	1.308%	158,580	1.281%
ST. LAWRENCE	0.564%	68,379	0.553%
SARATOGA	0.923%	111,903	0.904%
SCHENECTADY	0.739%	91,715	0.741%
SCHOHARIE	0.185%	28,396	0.229%
SCHUYLER	0.097%	28,396	0.229%
SENECA	0.188%	28,396	0.229%
STEUBEN	0.530%	64,257	0.519%
SUFFOLK	6.000%	727,432	5.878%
SULLIVAN	0.420%	52,152	0.421%
TIOGA	0.260%	31,522	0.255%
TOMPKINS	0.353%	42,798	0.346%
ULSTER	0.927%	112,388	0.908%
WARREN/HAMILTON	0.385%	56,790	0.459%
WASHINGTON	0.312%	37,826	0.306%
WAYNE	0.443%	53,708	0.434%
WESTCHESTER	4.394%	532,723	4.304%
WYOMING	0.190%	28,396	0.229%
YATES	0.129%	28,396	0.229%
NEW YORK CITY	48.012%	5,858,724	47.338%
SENECA INDIAN RES	0.058%	28,396	0.229%
ST. REGIS MOHAWK	0.026%	28,396	0.229%
TOTAL	99.999%	\$12,376,366	100.000%

2016 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.475%	\$17,457	1.428%
ALLEGANY	0.270%	3,418	0.280%
BROOME	1.127%	13,421	1.098%
CATTARAUGUS	0.414%	4,984	0.408%
CAYUGA	0.429%	5,133	0.420%
CHAUTAUQUA	0.809%	9,575	0.783%
CHEMUNG	0.494%	5,846	0.478%
CHENANGO	0.152%	3,249	0.266%
CLINTON	0.190%	3,249	0.266%
COLUMBIA	0.367%	4,343	0.355%
CORTLAND	0.242%	3,418	0.280%
DELAWARE	0.319%	3,948	0.323%
DUTCHESS	1.349%	15,966	1.306%
ERIE	5.135%	63,656	5.209%
ESSEX	0.228%	3,418	0.280%
FRANKLIN	0.130%	3,418	0.280%
FULTON	0.313%	3,822	0.313%
GENESEE	0.145%	3,249	0.266%
GREENE	0.302%	3,574	0.292%
HERKIMER	0.395%	4,926	0.403%
JEFFERSON	0.490%	5,800	0.475%
LEWIS	0.145%	3,418	0.280%
LIVINGSTON	0.312%	3,693	0.302%
MADISON	0.153%	3,249	0.266%
MONROE	3.652%	43,223	3.537%
MONTGOMERY	0.160%	3,418	0.280%
NASSAU	6.241%	74,443	6.091%
NIAGARA	1.251%	14,806	1.212%
ONEIDA	1.379%	16,321	1.335%
ONONDAGA	2.300%	27,222	2.227%
ONTARIO	0.554%	6,557	0.537%
ORANGE	1.522%	18,013	1.474%
ORLEANS	0.217%	3,418	0.280%
OSWEGO	0.551%	6,521	0.534%
OTSEGO	0.349%	4,130	0.338%
PUTNAM	0.145%	3,249	0.266%
RENSELAER	0.723%	8,557	0.700%
ROCKLAND	1.392%	16,474	1.348%
ST. LAWRENCE	0.601%	7,113	0.582%
SARATOGA	0.374%	4,427	0.362%
SCHENECTADY	0.787%	9,324	0.763%
SCHOHARIE	0.091%	3,249	0.266%
SCHUYLER	0.103%	3,418	0.280%
SENECA	0.200%	3,418	0.280%
STEUBEN	0.564%	6,675	0.546%
SUFFOLK	2.451%	29,008	2.374%
SULLIVAN	0.447%	5,295	0.433%
TIOGA	0.119%	3,249	0.266%
TOMPKINS	0.376%	4,450	0.364%
ULSTER	0.987%	11,682	0.956%
WARREN/HAMILTON	0.410%	6,764	0.553%
WASHINGTON	0.332%	3,930	0.322%
WAYNE	0.204%	3,852	0.315%
WESTCHESTER	4.677%	55,354	4.529%
WYOMING	0.202%	3,418	0.280%
YATES	0.059%	3,249	0.266%
NEW YORK CITY	51.106%	604,866	49.492%
SENECA INDIAN RES	0.061%	3,418	0.280%
ST. REGIS MOHAWK	0.028%	3,418	0.280%
TOTAL	100.000%	\$1,222,159	100.000%

2016 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.540%	\$129,259	1.519%
ALLEGANY	0.268%	25,369	0.298%
BROOME	1.194%	101,345	1.191%
CATTARAUGUS	0.408%	36,433	0.428%
CAYUGA	0.431%	37,324	0.439%
CHAUTAUQUA	0.801%	69,213	0.813%
CHEMUNG	0.511%	43,817	0.515%
CHENANGO	0.303%	25,369	0.298%
CLINTON	0.390%	32,221	0.379%
COLUMBIA	0.380%	31,395	0.369%
CORTLAND	0.234%	25,369	0.298%
DELAWARE	0.318%	27,345	0.321%
DUTCHESS	1.400%	115,668	1.359%
ERIE	5.256%	466,971	5.488%
ESSEX	0.237%	25,369	0.298%
FRANKLIN	0.232%	25,369	0.298%
FULTON	0.314%	28,481	0.335%
GENESEE	0.332%	27,430	0.322%
GREENE	0.282%	25,369	0.298%
HERKIMER	0.389%	35,458	0.417%
JEFFERSON	0.469%	39,597	0.465%
LEWIS	0.149%	25,369	0.298%
LIVINGSTON	0.310%	25,612	0.301%
MADISON	0.342%	28,256	0.332%
MONROE	3.723%	307,593	3.615%
MONTGOMERY	0.325%	30,833	0.362%
NASSAU	7.370%	608,908	7.156%
NIAGARA	1.250%	103,456	1.216%
ONEIDA	1.412%	122,362	1.438%
ONONDAGA	2.361%	195,065	2.293%
ONTARIO	0.563%	46,514	0.547%
ORANGE	1.476%	121,947	1.433%
ORLEANS	0.214%	25,369	0.298%
OSWEGO	0.530%	43,789	0.515%
OTSEGO	0.353%	29,165	0.343%
PUTNAM	0.387%	31,974	0.376%
RENSELAER	0.757%	62,544	0.735%
ROCKLAND	1.450%	119,798	1.408%
ST. LAWRENCE	0.575%	47,507	0.558%
SARATOGA	0.968%	79,976	0.940%
SCHENECTADY	0.843%	75,056	0.882%
SCHOHARIE	0.185%	25,369	0.298%
SCHUYLER	0.107%	25,369	0.298%
SENECA	0.200%	24,734	0.291%
STEUBEN	0.558%	46,102	0.542%
SUFFOLK	6.850%	565,945	6.651%
SULLIVAN	0.401%	33,674	0.396%
TIOGA	0.271%	25,369	0.298%
TOMPKINS	0.379%	31,313	0.368%
ULSTER	0.972%	80,306	0.944%
WARREN/HAMILTON	0.411%	50,583	0.595%
WASHINGTON	0.333%	27,512	0.323%
WAYNE	0.465%	38,418	0.452%
WESTCHESTER	5.001%	413,181	4.856%
WYOMING	0.188%	25,369	0.298%
YATES	0.139%	25,369	0.298%
NEW YORK CITY	42.431%	3,514,168	41.301%
SENECA INDIAN RES	0.018%	25,369	0.298%
ST. REGIS MOHAWK	0.043%	25,369	0.298%
TOTAL	99.999%	\$8,508,783	100.001%

NEW YORK STATE OFFICE FOR THE AGING
EXPANDED IN-HOME SERVICES FOR THE ELDERLY PROGRAM

PI: 15-PI-16
Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2016-17

County	Population	Implementation	Total Services Allocation			TOTAL STATE AID
			State Services Base Alloc.	Local Share	Total	
Albany	60,195	\$60,195	\$762,747	\$254,249	\$1,016,996	\$822,942
Allegany	10,426	20,000	158,391	52,797	211,188	178,391
Broome	44,485	44,485	563,681	187,894	751,575	608,166
Cattaraugus	15,918	20,000	201,701	67,234	268,935	221,701
Cayuga	17,062	20,000	216,197	72,066	288,263	236,197
Chautauqua	30,565	30,565	387,297	129,099	516,396	417,862
Chemung	19,339	20,000	245,050	81,684	326,734	265,050
Chenango	11,797	20,000	158,391	52,797	211,188	178,391
Clinton	15,552	20,000	197,064	65,688	262,752	217,064
Columbia	16,219	20,000	205,515	68,505	274,020	225,515
Cortland	9,246	20,000	158,391	52,797	211,188	178,391
Delaware	12,947	20,000	164,055	54,685	218,740	184,055
Dutchess	57,062	57,062	723,048	241,016	964,064	780,110
Erie	197,246	75,000	2,499,357	833,119	3,332,476	2,574,357
Essex	9,835	20,000	158,391	52,797	211,188	178,391
Franklin	9,358	20,000	158,391	52,797	211,188	178,391
Fulton	12,488	20,000	158,391	52,797	211,188	178,391
Genesee	12,908	20,000	163,561	54,521	218,082	183,561
Greene	11,971	20,000	158,391	52,797	211,188	178,391
Hamilton	1,568	20,000	158,391	52,797	211,188	178,391
Herkimer	15,022	20,000	190,348	63,450	253,798	210,348
Jefferson	18,408	20,000	233,253	77,751	311,004	253,253
Lewis	5,557	20,000	158,391	52,797	211,188	178,391
Livingston	12,840	20,000	162,699	54,233	216,932	182,699
Madison	14,426	20,000	182,796	60,932	243,728	202,796
Monroe	145,640	75,000	1,845,443	615,148	2,460,591	1,920,443
Montgomery	11,394	20,000	158,391	52,797	211,188	178,391
Nassau	283,610	75,000	3,593,698	1,197,900	4,791,598	3,668,698
Niagara	47,641	47,641	603,672	201,224	804,896	651,313
Oneida	52,282	52,282	662,479	220,827	883,306	714,761
Onondaga	91,166	75,000	1,155,189	385,063	1,540,252	1,230,189
Ontario	23,803	23,803	301,614	100,538	402,152	325,417
Orange	59,933	59,933	759,427	253,143	1,012,570	819,360
Orleans	8,698	20,000	158,391	52,797	211,188	178,391
Oswego	22,299	22,299	282,557	94,186	376,743	304,856
Otsego	14,323	20,000	181,491	60,497	241,988	201,491
Putnam	18,429	20,000	233,519	77,840	311,359	253,519
Rensselaer	31,155	31,155	394,773	131,591	526,364	425,928
Rockland	59,153	59,153	749,544	249,848	999,392	808,697
St. Lawrence	21,907	21,907	277,589	92,530	370,119	299,496
Saratoga	43,943	43,943	556,814	185,605	742,419	600,757
Schenectady	31,758	31,758	402,414	134,138	536,552	434,172
Schoharie	7,560	20,000	158,391	52,797	211,188	178,391
Schuyler	4,386	20,000	158,391	52,797	211,188	178,391
Seneca	7,717	20,000	158,391	52,797	211,188	178,391
Steuben	21,915	21,915	277,691	92,564	370,255	299,606
Suffolk	285,071	75,000	3,612,211	1,204,071	4,816,282	3,687,211
Sullivan	16,666	20,000	211,179	70,393	281,572	231,179
Tioga	11,221	20,000	158,391	52,797	211,188	178,391
Tompkins	16,042	20,000	203,272	67,758	271,030	223,272
Ulster	39,054	39,054	494,864	164,955	659,819	533,918
Warren	15,913	20,000	201,638	67,213	268,851	221,638
Washington	13,633	20,000	172,747	57,583	230,330	192,747
Wayne	19,328	20,000	244,910	81,637	326,547	264,910
Westchester	192,309	75,000	2,436,799	812,267	3,249,066	2,511,799
Wyoming	8,211	20,000	158,391	52,797	211,188	178,391
Yates	5,913	20,000	158,391	52,797	211,188	178,391
New York City	1,407,635	375,000	17,836,518	5,945,506	23,782,024	18,211,518
Seneca Nation	1,608	20,000	158,391	52,797	211,188	178,391
St. Regis Mohawk	447	20,000	158,391	52,797	211,188	178,391
TOTAL	3,684,203	\$2,212,150	\$47,799,850	\$15,933,294	\$63,733,144	\$50,012,000

NEW YORK STATE OFFICE FOR THE AGING
COMMUNITY SERVICES FOR THE ELDERLY PROGRAM

PI: 15-PI-16

Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2016-17

County	2010 Population 60+	Planning Implemen- tation	Community Services Project Funding			TOTAL State	
			State Services Base Alloc.	Local	Add'l \$2.5 million		
ALBANY	60,195	\$60,195	\$374,189	\$124,730	\$40,525	\$539,444	\$474,909
ALLEGANY	10,426	20,000	64,811	21,604	7,019	93,434	91,830
BROOME	44,485	44,485	276,531	92,177	29,949	398,657	350,965
CATTARAUGUS	15,918	20,000	98,951	32,984	10,717	142,652	129,668
CAYUGA	17,062	20,000	106,062	35,354	11,487	152,903	137,549
CHAUTAUQUA	30,565	30,565	190,001	63,334	20,577	273,912	241,143
CHEMUNG	19,339	20,000	120,217	40,073	13,020	173,310	153,237
CHENANGO	11,797	20,000	73,333	24,445	7,942	105,720	101,275
CLINTON	15,552	20,000	96,675	32,225	10,470	139,370	127,145
COLUMBIA	16,219	20,000	100,822	33,608	10,919	145,349	131,741
CORTLAND	9,246	20,000	57,475	19,159	6,225	82,859	83,700
DELAWARE	12,947	20,000	80,482	26,828	8,716	116,026	109,198
DUTCHESS	57,062	57,062	354,713	118,238	38,416	511,367	450,191
ERIE	197,246	75,000	1,226,137	408,713	132,792	1,767,642	1,433,929
ESSEX	9,835	20,000	61,137	20,379	6,621	88,137	87,758
FRANKLIN	9,358	20,000	58,173	19,391	6,300	83,864	84,473
FULTON	12,488	20,000	77,630	25,877	8,407	111,914	106,037
GENESEE	12,908	20,000	80,240	26,747	8,690	115,677	108,930
GREENE	11,971	20,000	74,415	24,805	8,059	107,279	102,474
HAMILTON	1,568	20,000	49,730	16,577	5,386	71,693	75,116
HERKIMER	15,022	20,000	93,380	31,127	10,113	134,620	123,493
JEFFERSON	18,408	20,000	114,430	38,144	12,393	164,967	146,823
LEWIS	5,557	20,000	49,730	16,577	5,386	71,693	75,116
LIVINGSTON	12,840	20,000	79,817	26,606	8,644	115,067	108,461
MADISON	14,426	20,000	89,676	29,892	9,712	129,280	119,388
MONROE	145,640	75,000	905,340	301,780	98,049	1,305,169	1,078,389
MONTGOMERY	11,394	20,000	70,829	23,610	7,671	102,110	98,500
NASSAU	283,610	75,000	1,763,001	587,667	190,934	2,541,602	2,028,935
NIAGARA	47,641	47,641	296,150	98,717	32,073	426,940	375,864
ONEIDA	52,282	52,282	324,999	108,333	35,198	468,530	412,479
ONONDAGA	91,166	75,000	566,714	188,905	61,376	816,995	703,090
ONTARIO	23,803	23,803	147,967	49,323	16,025	213,315	187,795
ORANGE	59,933	59,933	372,561	124,187	40,349	537,097	472,843
ORLEANS	8,698	20,000	54,070	18,024	5,856	77,950	79,926
OSWEGO	22,299	22,299	138,617	46,206	15,012	199,835	175,928
OTSEGO	14,323	20,000	89,036	29,679	9,643	128,358	118,679
PUTNAM	18,429	20,000	114,560	38,187	12,407	165,154	146,967
RENSSELAER	31,155	31,155	193,668	64,556	20,974	279,198	245,797
ROCKLAND	59,153	59,153	367,713	122,571	39,824	530,108	466,690
ST. LAWRENCE	21,907	21,907	136,180	45,394	14,748	196,322	172,835
SARATOGA	43,943	43,943	273,163	91,055	29,584	393,802	346,690
SCHENECTADY	31,758	31,758	197,417	65,806	21,380	284,603	250,555
SCHOHARIE	7,560	20,000	49,730	16,577	5,386	71,693	75,116
SCHUYLER	4,386	20,000	49,730	16,577	5,386	71,693	75,116
SENECA	7,717	20,000	49,730	16,577	5,386	71,693	75,116
STEBEN	21,915	21,915	136,230	45,410	14,754	196,394	172,899
SUFFOLK	285,071	75,000	1,772,082	590,694	191,918	2,554,694	2,039,000
SULLIVAN	16,666	20,000	103,600	34,534	11,220	149,354	134,820
TIOGA	11,221	20,000	69,753	23,251	7,554	100,558	97,307
TOMPKINS	16,042	20,000	99,721	33,241	10,800	143,762	130,521
ULSTER	39,054	39,054	242,771	80,924	26,292	349,987	308,117
WARREN	15,913	20,000	98,920	32,974	10,713	142,607	129,633
WASHINGTON	13,633	20,000	84,747	28,249	9,178	122,174	113,925
WAYNE	19,328	20,000	120,149	40,050	13,012	173,211	153,161
WESTCHESTER	192,309	75,000	1,195,448	398,483	129,468	1,723,399	1,399,916
WYOMING	8,211	20,000	51,042	17,014	5,528	73,584	76,570
YATES	5,913	20,000	49,730	16,577	5,386	71,693	75,116
NYC	1,407,635	375,000	8,750,265	2,916,755	947,659	12,614,679	10,072,924
SEN. NATION	1,608	20,000	49,730	16,577	5,386	71,693	75,116
ST. REGIS	447	20,000	49,730	16,577	5,386	71,693	75,116
TOTAL	<u>3,684,203</u>	<u>\$2,212,150</u>	<u>\$23,083,850</u>	<u>\$7,694,635</u>	<u>\$2,500,000</u>	<u>\$33,278,485</u>	<u>\$27,796,000</u>

NEW YORK STATE OFFICE FOR THE AGING
 CONGREGATE SERVICES INITIATIVE PROGRAM

PI: 15-PI-16
 Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2016-17

PLANNING AND SERVICE AREA	Population 60 Plus	2015-16 Allocation	Local 25%
ALBANY	60,195	\$6,512	\$2,171
ALLEGANY	10,426	1,128	376
BROOME	44,485	4,813	1,605
CATTARAUGUS	15,918	1,722	574
CAYUGA	17,062	1,846	616
CHAUTAUQUA	30,565	3,307	1,103
CHEMUNG	19,339	2,092	698
CHENANGO	11,797	1,276	426
CLINTON	15,552	1,683	561
COLUMBIA	16,219	1,755	585
CORTLAND	9,246	1,000	334
DELAWARE	12,947	1,401	467
DUTCHESS	57,062	6,173	2,058
ERIE	197,246	21,340	7,114
ESSEX	9,835	1,064	355
FRANKLIN	9,358	1,012	338
FULTON	12,488	1,351	451
GENESEE	12,908	1,397	466
GREENE	11,971	1,295	432
HAMILTON	1,568	1,000	334
HERKIMER	15,022	1,625	542
JEFFERSON	18,408	1,992	664
LEWIS	5,557	1,000	334
LIVINGSTON	12,840	1,389	463
MADISON	14,426	1,561	521
MONROE	145,640	15,757	5,253
MONTGOMERY	11,394	1,233	411
NASSAU	283,610	30,683	10,228
NIAGARA	47,641	5,154	1,718
ONEIDA	52,282	5,656	1,886
ONONDAGA	91,166	9,863	3,288
ONTARIO	23,803	2,575	859
ORANGE	59,933	6,484	2,162
ORLEANS	8,698	1,000	334
OSWEGO	22,299	2,413	805
OTSEGO	14,323	1,550	517
PUTNAM	18,429	1,994	665
RENSSELAER	31,155	3,371	1,124
ROCKLAND	59,153	6,400	2,134
ST. LAWRENCE	21,907	2,370	790
SARATOGA	43,943	4,754	1,585
SCHENECTADY	31,758	3,436	1,146
SCHOHARIE	7,560	1,000	334
SCHUYLER	4,386	1,000	334
SENECA	7,717	1,000	334
STEUBEN	21,915	2,371	791
SUFFOLK	285,071	30,842	10,281
SULLIVAN	16,666	1,803	601
TIOGA	11,221	1,214	405
TOMPKINS	16,042	1,736	579
ULSTER	39,054	4,225	1,409
WARREN	15,913	1,722	574
WASHINGTON	13,633	1,475	492
WAYNE	19,328	2,091	697
WESTCHESTER	192,309	20,806	6,936
WYOMING	8,211	1,000	334
YATES	5,913	1,000	334
NEW YORK CITY	1,407,635	152,288	50,763
SENECA NATION	1,608	1,000	334
ST. REGIS MOHAWK	447	1,000	334
TOTAL	<u>3,684,203</u>	<u>\$403,000</u>	<u>\$134,359</u>

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2016-17

<u>County</u>	<u>Allocation</u>
Albany	\$475,664
Allegany	202,768
Broome	263,774
Cattaraugus	212,677
Cayuga	209,886
Chautauqua	255,071
Chemung	214,988
Chenango	202,811
Clinton	205,773
Columbia	207,143
Cortland	201,475
Delaware	204,383
Dutchess	264,382
Erie	1,097,257
Essex	201,596
Franklin	204,918
Fulton	206,847
Genesee	203,771
Greene	203,172
Herkimer	210,424
Jefferson	212,931
Lewis	140,373
Livingston	143,969
Madison	203,858
Monroe	590,477
Montgomery	208,028
Nassau	1,050,291
Niagara	267,783
Oneida	471,065
Onondaga	500,131
Ontario	208,031
Orange	464,433
Orleans	199,668
Oswego	213,585
Otsego	206,202
Putnam	143,780
Rensselaer	250,562
Rockland	258,836
St Lawrence	217,577
Saratoga	215,833
Schenectady	251,524
Schoharie	141,269
Schuyler	137,893
Seneca	141,161
Steuben	215,483
Suffolk	974,745
Sullivan	210,011
Tioga	142,405
Tompkins	203,762
Ulster	254,547
Warren/Hamilton	205,823
Washington	204,146
Wayne	208,165
Westchester	1,040,546
Wyoming	142,144
Yates	140,136
New York City	10,758,594
Seneca Nation	68,711
St Regis Mohawk	68,742
Total	\$27,126,000

NSIP Rate: AAAs should use a per meal rate of 74 cents per meal when budgeting for Nutrition Services Incentive Program (NSIP)

NEW YORK STATE OFFICE FOR THE AGING
STATE TRANSPORTATION PROGRAM

PI: 15-PI-16
Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - SFY 2016-17

<u>Area Agency</u>	<u>Population</u>	<u>Allocation</u>
ALBANY	60,195	\$16,926
ALLEGANY	10,426	5,600
BROOME	44,485	12,508
CATTARAUGUS	15,918	5,600
CAYUGA	17,062	5,600
CHAUTAUQUA	30,565	8,594
CHEMUNG	19,339	5,600
CHENANGO	11,797	5,600
CLINTON	15,552	5,600
COLUMBIA	16,219	5,600
CORTLAND	9,246	5,600
DELAWARE	12,947	5,600
DUTCHESS	57,062	16,045
ERIE	197,246	55,463
ESSEX	9,835	5,600
FRANKLIN	9,358	5,600
FULTON	12,488	5,600
GENESEE	12,908	5,600
GREENE	11,971	5,600
HAMILTON	1,568	5,600
HERKIMER	15,022	5,600
JEFFERSON	18,408	5,600
LEWIS	5,557	5,600
LIVINGSTON	12,840	5,600
MADISON	14,426	5,600
MONROE	145,640	40,952
MONTGOMERY	11,394	5,600
NASSAU	283,610	79,746
NIAGARA	47,641	13,396
ONEIDA	52,282	14,701
ONONDAGA	91,166	25,635
ONTARIO	23,803	6,693
ORANGE	59,933	16,852
ORLEANS	8,698	5,600
OSWEGO	22,299	6,270
OTSEGO	14,323	5,600
PUTNAM	18,429	5,600
RENSSELAER	31,155	8,760
ROCKLAND	59,153	16,633
ST. LAWRENCE	21,907	6,160
SARATOGA	43,943	12,357
SCHENECTADY	31,758	8,930
SCHOHARIE	7,560	5,600
SCHUYLER	4,386	5,600
SENECA	7,717	5,600
STEUBEN	21,915	6,162
SUFFOLK	285,071	80,158
SULLIVAN	16,666	5,600
TIOGA	11,221	5,600
TOMPKINS	16,042	5,600
ULSTER	39,054	10,981
WARREN	15,913	5,600
WASHINGTON	13,633	5,600
WAYNE	19,328	5,600
WESTCHESTER	192,309	54,074
WYOMING	8,211	5,600
YATES	5,913	5,600
NEW YORK CITY	1,407,635	395,804
SENECA INDIAN RES.	1,608	5,600
ST. REGIS MOHAWK	447	5,600
Total	<u>3,684,203</u>	<u>\$1,121,000</u>

NEW YORK STATE OFFICE FOR THE AGING
HEALTH INSURANCE INFORMATION, COUNSELING, AND ASSISTANCE PROGRAM

PI: 15-PI-16

Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2016-17

<u>Area Agency</u>	<u>ACL Allocation</u>	<u>NYS Allocation</u>	<u>Total</u>
ALBANY	\$19,082	\$13,901	\$32,983
ALLEGANY	19,082	13,901	32,983
BROOME	19,082	13,901	32,983
CATTARAUGUS	19,082	13,901	32,983
CAYUGA	19,082	13,901	32,983
CHAUTAUQUA	19,082	13,901	32,983
CHEMUNG	19,082	13,901	32,983
CHENANGO	19,082	13,901	32,983
CLINTON	19,082	13,901	32,983
COLUMBIA	19,082	13,901	32,983
CORTLAND	19,082	13,901	32,983
DELAWARE	19,082	13,901	32,983
DUTCHESS	19,082	13,901	32,983
ERIE	50,422	13,901	64,323
ESSEX	19,082	13,901	32,983
FRANKLIN	19,082	13,901	32,983
FULTON	19,082	13,901	32,983
GENESEE	19,082	13,901	32,983
GREENE	19,082	13,901	32,983
HERKIMER	19,082	13,901	32,983
JEFFERSON	19,082	13,901	32,983
LEWIS	19,082	13,901	32,983
LIVINGSTON	19,082	13,901	32,983
MADISON	19,082	13,901	32,983
MONROE	31,131	13,901	45,032
MONTGOMERY	19,082	13,901	32,983
NASSAU	58,962	15,786	74,748
NIAGARA	19,082	13,901	32,983
ONEIDA	19,082	13,901	32,983
ONONDAGA	20,661	13,901	34,562
ONTARIO	19,082	13,901	32,983
ORANGE	19,082	13,901	32,983
ORLEANS	19,082	13,901	32,983
OSWEGO	19,082	13,901	32,983
OTSEGO	19,082	13,901	32,983
PUTNAM	19,082	13,901	32,983
RENSSELAER	19,082	13,901	32,983
ROCKLAND	19,082	13,901	32,983
ST. LAWRENCE	19,082	13,901	32,983
SARATOGA	19,082	13,901	32,983
SCHENECTADY	19,082	13,901	32,983
SCHOHARIE	19,082	13,901	32,983
SCHUYLER	19,082	13,901	32,983
SENECA	19,082	13,901	32,983
STEUBEN	19,082	13,901	32,983
SUFFOLK	53,838	14,414	68,252
SULLIVAN	19,082	13,901	32,983
TIOGA	19,082	13,901	32,983
TOMPKINS	19,082	13,901	32,983
ULSTER	19,082	13,901	32,983
WARREN/HAMILTON	38,164	13,901	52,065
WASHINGTON	19,082	13,901	32,983
WAYNE	19,082	13,901	32,983
WESTCHESTER	42,219	13,901	56,120
WYOMING	19,082	13,901	32,983
YATES	19,082	13,901	32,983
NYC	471,582	126,246	597,828
SENECA NATION	9,541	6,950	16,491
ST. REGIS	9,541	6,950	16,491
TOTAL	<u>\$1,721,079</u>	<u>\$921,000</u>	<u>\$2,642,079</u>

NEW YORK STATE OFFICE FOR THE AGING
CAREGIVER ASSISTANCE PROGRAM

PI: 15-PI-16

Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - SFY 2016-17

<u>CAREGIVER RESOURCE CENTERS:</u>	<u>Allocation</u>
Broome	\$19,611
Cattaraugus	19,611
Clinton	19,611
Cortland	19,611
Fulton	19,611
Genesee	19,611
Madison	19,611
Monroe	19,611
Nassau	19,611
Onondaga	19,611
Orange	19,611
Putnam	19,611
Rockland	19,611
Steuben	19,611
Sullivan	19,611
Tompkins	19,611
Westchester	<u>19,611</u>
Total of CRCs	\$333,387
Statewide Caregiver Program	<u>19,613</u>
Total	<u>\$353,000</u>

NEW YORK STATE OFFICE FOR THE AGING
 DIRECT CARE WORKER/
 DIRECT SUPPORT PROFESSIONAL

PI: 15-PI-16
 Date: 9/24/15

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2016-17

<u>County</u>	<u>Allocation</u>
Albany	\$123,270
Allegany	35,265
Broome	81,766
Cattaraugus	41,854
Cayuga	42,936
Chautauqua	64,038
Chemung	46,230
Chenango	36,204
Clinton	40,676
Columbia	41,623
Cortland	34,334
Delaware	37,382
Dutchess	97,004
Erie	354,818
Essex	34,748
Franklin	34,772
Fulton	37,103
Genesee	37,271
Greene	36,363
Herkimer	40,533
Jefferson	44,877
Lewis	26,982
Livingston	30,825
Madison	39,117
Monroe	238,598
Montgomery	36,491
Nassau	454,026
Niagara	85,991
Oneida	113,244
Onondaga	163,254
Ontario	50,877
Orange	121,766
Orleans	33,769
Oswego	49,652
Otsego	39,236
Putnam	37,541
Rensselaer	64,269
Rockland	98,937
St Lawrence	49,604
Saratoga	75,997
Schenectady	65,096
Schoharie	27,078
Schuyler	26,720
Seneca	27,070
Steuben	49,389
Suffolk	447,740
Sullivan	42,466
Tioga	29,385
Tompkins	41,050
Ulster	74,223
Warren/Hamilton	53,153
Washington	38,186
Wayne	45,490
Westchester	342,835
Wyoming	27,316
Yates	26,958
New York City	2,843,892
Seneca Nation	19,351
St Regis Mohawk	19,359
Total	\$7,400,000

NEW YORK STATE OFFICE FOR THE AGING
TITLE V

PI: 15-PI-16
Date: 9/24/15

OLDER AMERICAN COMMUNITY SERVICE EMPLOYMENT PROGRAM

TENTATIVE ALLOCATION SCHEDULE

PROGRAM PERIOD 7/1/2016 TO 6/30/2017

<u>COUNTY</u>	<u>POSITIONS</u>	<u>ALLOCATION</u>
Albany	10	\$92,055
Allegany	0	0
Broome	0	0
Cattaraugus	0	0
Cayuga	0	0
Chautauqua	4	36,822
Chemung	0	0
Chenango	0	0
Clinton	11	101,261
Columbia	0	0
Cortland	2	18,411
Delaware	0	0
Dutchess	0	0
Erie	30	276,166
Essex	6	55,233
Franklin	10	92,055
Fulton	3	27,617
Genesee	4	36,822
Greene	0	0
Herkimer	0	0
Jefferson	3	27,617
Lewis	4	36,822
Livingston	0	0
Madison	0	0
Monroe	18	165,700
Montgomery	0	0
Nassau	0	0
Niagara	4	36,822
Oneida	6	55,233
Onondaga	11	101,261
Ontario	3	27,617
Orange	0	0
Orleans	0	0
Oswego	0	0
Otsego	0	0
Putnam	0	0
Rensselaer	4	36,822
Rockland	6	55,233
St. Lawrence	2	18,411
Saratoga	5	46,028
Schenectady	3	27,617
Schoharie	0	0
Schuyler	0	0
Seneca	0	0
Steuben	0	0
Suffolk	0	0
Sullivan	3	27,617
Tioga	6	55,233
Tompkins	2	18,411
Ulster	0	0
Warren/Hamilton	0	0
Washington	0	0
Wayne	4	36,822
Westchester	34	312,989
Wyoming	2	18,411
Yates	4	36,822
New York City	385	3,544,136
Seneca Nation	0	0
St Regis Mohawk	0	0
TOTAL	589	\$5,422,066