

**NEW YORK STATE OFFICE FOR THE AGING**

2 Empire State Plaza, Albany, NY 12223-1251

Andrew M. Cuomo, Governor                      Greg Olsen, Acting Director  
An Equal Opportunity Employer

<b>PROGRAM INSTRUCTION</b>	<b>Number 16-PI-20</b>
	<b>Supersedes 15-PI-16</b>
	<b>Expiration Date</b>

**DATE:**            September 29, 2016

**TO:**                Area Agency on Aging Directors

**SUBJECT: 2017-18 Annual Update to the 2016-20 Four Year Plan**

.....  
**PURPOSE:**

To transmit the 2017-18 Annual Update to the 2016-20 Four Year Plan for the period 4/1/17-3/31/18 (hereafter referred to as the Annual Update) 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 documents.

**ACTION REQUESTED:**

AAAs must complete and submit the Annual Update including the Applications for Funding, Personnel Roster, Equipment Schedule, Rent Allocation Schedule, Contractor Roster and all appropriate Attachments by Friday, **December 9, 2016**.

**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. In New York, the Area Plan applies to a four year period and is updated annually.

The Plan 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 the Plan, and subsequent Annual Updates, must meet federal and state requirements.

### ***PUBLIC HEARINGS***

A formal public hearing must be held at least thirty (30) days prior to the date that the Annual Update is submitted to NYSOFA. Notice of the public hearing must be published at least twenty-one (21) days before the hearing. It is strongly encouraged that for those AAAs that conduct more than one public hearing that the notice of public hearing be published at least twenty one (21) days before the first public hearing. In addition, it is encouraged that AAAs hold all public hearings at least thirty (30) days prior to submission of the annual update.

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. It is strongly encouraged that AAAs provide a summary *prior* to the public hearing. To accomplish this AAAs may want to consider posting the documents on their website prior to the hearing. Another option is to mail the summary to your constituency or maybe work with a local newspaper to include the summary as part of a story.

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 Annual Update 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 CHANGES:***

This is the first Annual Update to the 2016-20 Four Year Plan. Since the Four Year Plan provided narrative information to capture AAA plans for the 2016-20 period, the Annual Update is a streamlined document to provide the necessary annual information. Annual Implementation Plans (AIPs) will no longer be issued or submitted between Four Year Plans as they have been replaced by the Annual Update.

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

- **NY Connects/ADRC and NY Connects Expansion/BIP:**  
All programmatic detail about NY Connects will be contained within the NY Connects applications and reporting. Inclusion in the Annual Update is limited to fiscal information so that NY Connects funding may be appropriately reflected in the AAA's overall budget. The Other NYSOFA Funding and Services page, which includes NY Connects programs, now indicates two budget line options: line 21 "Other Services" and line 22 "Planning/Implementation/Admin." Those are the only two budget lines where NY Connects funding should be included.
- **Other Services:** AAAs are required to include an entry 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 revised to include a drop-down menu of common Other Services. AAAs should select the service from the list that most closely matches what they provide; and write in another entry only when none of the menu options is appropriate.
- **Service Delivery and Resource Allocation Plan – State & All Other Programs –**  
When entering amounts in the 'All Other Programs' Funding Amount column, AAAs will be required to detail the individual amounts which make up the total estimated expenditures for that service. When completing the page online the cell will expand to allow AAAs to enter individual amounts for each of the up to 24 possible funding sources identified in the legend at the bottom of the page. The total will then be calculated and used to populate the cell. See directions on web based application page as well as the Annual Update training to be held in the Fall for more information.
- **Contractor Roster:** A for-profit contract certification form has been added to the Contractor Roster. It must be completed for all contracts with for-profit entities. AAA requirements regarding contracts with for-profit entities will be issued via a separate Program Instruction.

In addition to these changes, the **Standard Assurances** have been updated (e.g., Standard Assurances applicable to Title V have been revised to be consistent with the federal requirements applicable to this program and references to the Long Term Care Ombudsman Program have been omitted). Other changes were made to the list of federal and State laws and regulations and federal and State issuances. NYSOFA recommends that AAAs review all of the Standard Assurances.

#### **TENTATIVE ALLOCATIONS:**

Tentative allocation schedules for use in completing the 2017-18 Annual Update are included with this Program Instruction. The tentative allocations were prepared assuming that NYSOFA will receive the same amount of Federal and State funding for the following programs as in 2016-17 – Title III-C-2, III-E, EISEP, WIN, CSI, State Transportation, Direct Care Workers, HIICAP and Title V. The Title V allocations are subject to change if the United States Department of Labor (USDOL) revises the number of participant slots per

grantee. Area Agencies should note that although the CSE tentative allocation was prepared at the same level as 2016-17, the additional \$1,000,000 added to the CSE appropriation in 2016-17 is subject to inclusion in the final 2017-18 state budget.

The tentative allocations for Title III-B, Title III-C-1 and Title III-D have been reduced by 1% from the 2016-17 levels to reflect an expected reduction to New York State allocations for these programs. This reduction is a result of the changes to formula language in the 2016 Reauthorization of the Older Americans Act Sec. 304(a)(3)(D) which apply to Title III, Parts B,C & D. In addition, the Title III-B tentative allocation has been prepared with a set-aside for the full annual amount of the AAAs portion of the statewide PeerPlace Client Based reporting system

**Nutrition Services Incentive Program (NSIP) Rate:** AAAs should use a per meal rate of **73 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 2017 under these programs, prior to receiving their approved Annual Update.

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

1. The Annual Update 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 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. 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 Annual Update has received initial review and appears approvable, with relatively minor adjustment(s) and NYSOFA receives its Title III allotment from AoA/ACL for FFY 2017. 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 may not be granted.

**REVIEW OF COSTS PER UNIT OF SERVICE:**

NYSOFA staff will be reviewing Annual Update 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 Annual Update, NYSOFA fiscal and program staff will examine the proposed average CPUs contained in the Annual Update submission against the data from the current Four Year Plan. Staff will also compare the proposed Annual Update numbers to the SFY 2015-2016 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 Annual Update. AAAs will be able to enter their explanation for variances outside the acceptable range online and submit them with the Annual Update.

AAA personnel are encouraged to consult other resources when preparing the Annual Update documents. For example, Technical Assistance Memorandum 97-TAM-06 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 to help calculate various costs per unit. 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 15, 2016. AAAs may download instructions and forms from AAARIN.

**SUBMISSION REQUIREMENTS:**

On or before **December 9, 2016**, AAAs are required to submit the completed Annual Update including all funding applications and rosters via the web-based forms. AAAs are also required to submit the signed Review and Approval page as described in the Guide for Completion.

**PROGRAMS AFFECTED:**

- Title III-B                       Title III-C-1                       Title III-C-2
- Title III-D                       Title III-E                       CSE                       WIN                       Energy
- EISEP                       NSIP                       Title V                       HIICAP                       LTCOP
- Other: CSI, CRC, State Transportation

**CONTACT PERSON:**  
Aging Services Representatives

**TELEPHONE:**  
(518) 473-5108

**NEW YORK STATE OFFICE FOR THE AGING  
2017-18 ANNUAL UPDATE TO THE 2016-20 FOUR YEAR PLAN**

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## ANNUAL UPDATE 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 2017-18 Annual Update to the 2016-20 Four Year Plan (hereafter referred to as the Annual Update) 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, 2017 to December 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-C	January 1, 2017 to December 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-D	January 1, 2017 to December 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	January 1, 2017 to December 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title V	July 1, 2017 to June 30, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
WIN	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2017 to March 31, 2018	<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 Annual Update. I have read and agree to comply with all of the Standard Assurances (Attachment A) in the Annual Update. In addition, I certify that no amendments have been made nor will be made to the Standard Assurances in the Annual Update. Furthermore, I agree to comply with all attachments submitted as part of this Annual Update 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 Application 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

## ANNUAL UPDATE 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 2017-18 Annual Update to the 2016-20 Four Year Plan (hereafter referred to as the Annual Update) 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, 2017 to December 31, 2017	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title V	July 1, 2017 to June 30, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
WIN	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2017 to March 31, 2018	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2017 to March 31, 2018	<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 Annual Update. I have read and agree to comply with all of the Standard Assurances (Attachment A) in the Annual Update. In addition, I certify that no amendments have been made nor will be made to the Standard Assurances in the Annual Update. Furthermore, I agree to comply with all attachments submitted as part of this Annual Update 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 Application 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: \_\_\_\_\_

**2017-18 ANNUAL UPDATE TO THE 2016-20 FOUR YEAR PLAN  
APRIL 1, 2017-MARCH 31, 2018  
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 the applications and attachments, is an update, for the period April 1, 2017 through March 31, 2018, to the 2016-20 Four Year Plan and any previous amendments, modifications, or updates thereto approved by the New York State Office for the Aging.

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 Local Program Operations  
2 Empire State Plaza  
Albany, NY 12223-1251**

AAA: \_\_\_\_\_  
Original Date Submitted: \_\_\_\_\_  
Date Revised: \_\_\_\_\_  
Date Last Saved: \_\_\_\_\_ Last Saved By: \_\_\_\_\_

## PUBLIC HEARINGS/AREA AGENCY ON AGING ADVISORY COUNCIL

1a. Provide the following information on Public Hearing(s) held for the 2017-18 Annual Update 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 2017-18 Annual Update 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 the 2017-18 Annual Update?

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:

--

AAA: \_\_\_\_\_  
Original Date Submitted: \_\_\_\_\_  
Date Revised: \_\_\_\_\_  
Date Last Saved: \_\_\_\_\_ Last Saved By: \_\_\_\_\_

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.)

AAA: \_\_\_\_\_  
Original Date Submitted: \_\_\_\_\_  
Date Revised: \_\_\_\_\_  
Date Last Saved: \_\_\_\_\_ Last Saved By: \_\_\_\_\_

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 2017-18 Annual Update outside of the public hearings, e.g. written comments, virtual meetings? Please explain.

\_\_\_\_\_

7. List the major changes in the 2017-18 Annual Update resulting from input of interested parties.

\_\_\_\_\_

\_\_\_\_\_ Not applicable, no major change(s)

8. Provide the date the 2017-18 Annual Update was presented to the Area Agency Advisory Council as required for its review, before it was transmitted to NYSOFA. [9 NYCRR 6653.2 (f)]

**Date:** \_\_\_\_\_

Summarize the comments of the Advisory Council.

\_\_\_\_\_

AAA: \_\_\_\_\_  
 Original Date Submitted: \_\_\_\_\_  
 Date Revised: \_\_\_\_\_  
 Date Last Saved: \_\_\_\_\_ Last Saved By: \_\_\_\_\_

## 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
	MIPPA	Information & Assistance		13
		Outreach		14
		Public Information		21
	State Funded Transportation	Assisted Transportation		9
		Transportation		10
	NY Connects/ADRC	Various		21
		Planning/Implementation/Admin.		22
	NY Connects Expansion/BIP	Various		21
		Planning/Implementation/Admin.		22
	Direct Care Worker	Various		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	
DCW	
Other Lines	
<b>Total \$</b>	

AAA: \_\_\_\_\_  
 Original Date Submitted: \_\_\_\_\_  
 Date Revised: \_\_\_\_\_  
 Date Last Saved: \_\_\_\_\_ Last Saved By: \_\_\_\_\_

**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><b>Name/Description of Service/Program</b>  <u>(see drop-down menu of common entries; Other write-in option)</u></p> <p>Check all that apply:    <input type="checkbox"/> Directly Provided                      <input type="checkbox"/> Contracted</p> <p>Number of Units _____</p> <p>One Unit of Service Equals</p> <div style="border: 1px solid black; height: 20px; width: 400px; margin-top: 5px;"></div>		

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

Annual Update Period: 4/1/17 to 3/31/18 \*

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 <sup>(e)</sup>	
						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.

\* Application 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**

Annual Update Period: 4/1/17 to 3/31/18

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency: \_\_\_\_\_

Service Categories	EISEP		CSE		CSI		WIN		ALL OTHER PROGRAMS		
	Units	Funding \$	Units	Funding Amount	Funding Source*						
1. Personal Care Services											
a. Personal Care Level II		(a)									
b. Personal Care Level I		(a)									
2. Consumer Directed In-home Services		(a)									
3. Home Health Aide											
4. Home Delivered Meals		(a&b)									
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.											
<b>TOTAL</b>											

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

(b) See Guide for Completion for information regarding these EISEP services. (c) N/A

(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: 1/1/17 to 12/31/17

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.

Total APA Personnel expenses: \_\_\_\_

\*\*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.

Amount

Percentage %

\_\_\_\_\_

\_\_\_\_\_

\*\*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)

\_\_\_\_\_

\_\_\_\_\_

Supporting Budget Schedule-- Federal Programs -

Period: 1/1/17 to 12/31/17

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

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

<b>5. MAINTENANCE &amp; OPERATIONS</b>	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					
<b>6. OTHER EXPENSES</b>					
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

Period: 1/1/17 to 12/31/17

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

Original Date Prepared:

Date Revised:

Date Last Saved:

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)					
<b>13. FEDERAL FUNDS</b>					
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					
<b>14. MATCHING FUNDS</b>					
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**  
**Summary Budget for EISEP, CSE, CSI, WIN, CRC and State Transportation Programs**

Period: 4/1/17 to 3/31/18

Original Date Prepared:

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

Area Agency:

Period: 4/1/17 to 3/31/18

Original Date Prepared:

Date Revised:

Date Last Saved: Last Saved By:

<b>5. MAINTENANCE &amp; OPERATIONS</b>	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						
<b>6. OTHER EXPENSES</b>						
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

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

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

Period: 4/1/17 to 3/31/18

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

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)						
<b>14. MATCHING FUNDS</b>						
Source						
Check if In-Kind						
[ ]						
[ ]						
[ ]						
[ ]						
Volunteers as Match						
Contributions Used as Match						
Total Matching Funds						

2C

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

**HIICAP Period: 4/1/17 to 3/31/18**  
**Title V Period: 7/1/17 to 6/30/18**  
**Original Date Prepared:**  
**Date Revised:**  
**Date Last Saved:**  
**Last Saved By:**

**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			(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%).

Percent of Federal funds budgeted for administration: \_\_\_\_\_

Percent of Federal funds Enrollee wages and Fringe Benefits: \_\_\_\_\_

\_\_\_\_\_ (b)/(d)

\_\_\_\_\_ (c)/(d)

**Supporting Budget Schedule for HIICAP and Title V**

HIICAP Period: 4/1/17 to 3/31/18

Title V Period 7/1/17 to 6/30/18

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

<b>5. MAINTENANCE &amp; OPERATIONS</b>	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		
<b>6. OTHER EXPENSES</b>		
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		

**Supporting Budget Schedule for HIICAP and Title V cont**

HIICAP Period: 4/1/17 to 3/31/18

Title V Period 7/1/17 to 6/30/18

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		
[ ]		
[ ]		
[ ]		
[ ]		
Total Matching Funds		

3C







**Contractor Roster**  
Annual Update Period: 4/1/2017- 3/31/2018

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: <input type="checkbox"/> Contractor Type: _____ Contract is: Active: <input type="checkbox"/> Yes <input type="checkbox"/> No New: <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>III-B</b>	<b>III-C-1</b>	<b>III-C-2</b>	<b>III-D</b>	<b>III-E</b>	<b>EISEP</b>	<b>CSE</b>	<b>CSI</b>	<b>WIN</b>	<b>OTHER</b>	<b>TOTAL</b>
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	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: <input type="checkbox"/> Contractor Type: _____ Contract is: Active: <input type="checkbox"/> Yes <input type="checkbox"/> No New: <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>III-B</b>	<b>III-C-1</b>	<b>III-C-2</b>	<b>III-D</b>	<b>III-E</b>	<b>EISEP</b>	<b>CSE</b>	<b>CSI</b>	<b>WIN</b>	<b>OTHER</b>	<b>TOTAL</b>
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	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											

<b>Page Subtotal:</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Grand Total: (Complete on final page.)</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$

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 _____  |

## CERTIFICATION FORM – AAA CONTRACT/AGREEMENT WITH FOR-PROFIT ENTITY

### Instructions

This form must be completed for all new or existing contracts with for-profit entities.

Please see 16 PI XX for further instructions with regard to completing this form.

### Section 1

NYSOFA Contractor Code: _____	New Contract <input type="checkbox"/> Existing Contract <input type="checkbox"/>
Number of contracts with this entity: _____	
Name of AAA:	AAA Contact Person:
Contractor Name:	Contract Total:
Services to be provided:	Employer ID:
Contract Period Start Date:	Contract Period End Date:

### Section 2

Contractor Contact Information:		
Business Address: _____		
City : _____	State: _____	Zip: _____
Mailing Address: _____		
City: _____	State: _____	Zip: _____
Attention: _____	Phone #: _____	Fax #: _____

**CERTIFICATION FORM – AAA CONTRACT/AGREEMENT WITH FOR-PROFIT ENTITY**

**Section 3**

Rates for contracted services will be provided at the “prevailing market rate” (Fair Market Rate) for provision of such services in the relevant AAA geographic area? If no, please provide an explanation: _____ _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
This contract will continue the same level or increase the level of quality/quantity of services offered by the AAA? If no, please provide an explanation: _____ _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
This contract is consistent with the objective of serving the needs of older individuals? If no, please provide an explanation: _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
This contract contains appropriate targeting and language accessibility provisions? If no, provide an explanation: _____ _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
AAA has retained “program design authority”? If no, please provide an explanation: _____ _____	<input type="checkbox"/> YES <input type="checkbox"/> NO

**Section 4**

**Certification**

By checking this box, the AAA certifies that this contract with a for-profit entity complies with the requirements of 9 NYCRR 6652.10 and Section 212 of the Older Americans Act.

Name \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_

*For Office Use Only:*

*Form reviewed by:* \_\_\_\_\_ *Title:* \_\_\_\_\_

*Date Reviewed:* \_\_\_\_\_

*Certification Form Approved:* \_\_\_\_\_

*Corrective Action Plan Approved:* \_\_\_\_\_

AAA: \_\_\_\_\_  
Original Date Submitted: \_\_\_\_\_  
Date Revised: \_\_\_\_\_  
Date Last Saved: \_\_\_\_\_ Last Saved By: \_\_\_\_\_

## ATTACHMENT CHECK LIST

Check [✓] attachments included with this Annual Update.

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

04/01/17 – 03/31/18

**New York State Office for the Aging**

ATTACHMENT A  
ANNUAL UPDATE to the 2016-20 FOUR YEAR PLAN  
STANDARD ASSURANCES  
April 1, 2017- March 31, 2018

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)

The Standard Assurances included in this 2017-18 Annual Update to the 2016-20 Four Year Plan (hereafter collectively referred to as "Plan") shall be effective April 1, 2017.

### **Standard Assurances Applicable to All Programs**

1. **Statutes, Regulations, and Policies:** The area agency on aging (AAA) assures that all its activities under this 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 376 (*Nonprocurement Debarment and Suspension*)  
2CFR Part 382 (*Requirements for Drug-free Workplace (Financial Assistance)*)  
20 CFR Part 641 (*Provisions Governing the Senior Community Service Employment Program*)  
29 CFR Part 38 (*Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Innovation and Opportunity Act*)  
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-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*)  
Executive Law, Article 7-A (*Registration and reporting provisions required of Charitable Organizations*)  
All NYSOFA Program Instructions  
(<http://www.aaarin.ofa.state.ny.us/Issuances/Issuances.cfm?>)

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, and 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 if applicable, 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.
- 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 most 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 informed 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.
16. **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..

## **17. Equal Access to Services and Targeting:**

### **17.1 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.

**17.2 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.
18. **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.
19. **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.
20. **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.
21. **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, through the mechanism provided by NYSOFA, 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.

22. **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.
23. **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].
24. **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.
25. **Terminations:**
  - A. Any programs and funding under this Plan may be terminated at any time upon mutual written consent of 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.

26. **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**

27. 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" and 2 CFR Part 200 – Subpart F Audit Requirements.
- 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**

28. 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].

### **Standard Assurance Applicable to Title III-C**

29. **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#36.)

30. 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

#### 31. 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

#### 32. 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.

33. **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.

34. **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**

35. **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#30 and SA#5B).

36. 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**

37. 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 9 NYCRR §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.
38. **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**

39. 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**

40. 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**

41. 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**

- 42. **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**

- 43. **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**

44. **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**

45. **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 or in nearby communities;
  - 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 agrees that it will comply with the grievance procedures established by NYSOFA for programs operated under Title V of the OAA. 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 Innovation and Opportunity Act, at the applicant's or participants option such complaint may be directed or mailed to the Civil Rights Center of the USDOL or AAA and, if the latter, AAA will use the complaint processing procedures that meet the requirements of 29 CFR 38.70 through 38.80 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 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.
- O. 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).
- P. The AAA shall ensure that all reporting requirements are completed in accordance with NYSOFA requirements.

Q Durational 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.
- R. The AAA shall employ reasonable means to place each SCSEP participant into unsubsidized employment. The AAA will develop a system to transition participants to unsubsidized employment or other assistance before each participant's maximum enrollment duration has expired.
  - S. The AAA will provide a 30-day written notice for all terminations that states the reason for termination and informs the participants of grievance procedures and right to appeal. The AAA will maintain written termination policies in effect and provide to participants at enrollment for:
    - 1) Provision of false eligibility information by the participant
    - 2) Incorrect initial eligibility determination at enrollment
    - 3) Income ineligibility determined at recertification
    - 4) Participant has reached individual durational limit
    - 5) Participant has become employed while enrolled
    - 6) IEP-related termination
    - 7) Cause (must be approved by NYSOFA prior to implementation)
  - T. The AAA will manage over-enrollment to minimize impact on participants and avoid layoffs.
  - U. The AAA will ensure full implementation and monitoring of requirements for customer satisfaction surveys, including participant, host agency and employer surveys.

- V. The AAA will develop a written plan for both disaster response and recovery so that SCSEP may continue to operate and provide services under emergency circumstances.
  
- W. The AAA will provide supportive services, as needed, to help participants participate in their community service assignment and to obtain and retain unsubsidized employment. The AAA will establish criteria to assess the need for supportive services and to determine when participants will receive supportive services, including after obtaining unsubsidized employment.

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

46. 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 responsibility 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. .
- 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 to NYSOFA program information and other reports as required, in the format and at the timing specified by NYSOFA, on activities provided under the current HIICAP grant.
- U. 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, 2015- September 30, 2016, submit this completed and certified report with the 2017-18 Annual Update. Area Agencies may use their CAARS reports to assist with completing this page (click [here](#) (on electronic document)); select beginning period October 1, 2015; select ending period of September 30, 2016; 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)}
<b>1. Access 20.0%</b>			[S]		
<b>2. In-Home 2.5%</b>			[H]		
<b>3. Legal 7.0%</b>					
<b>4. All Other Services</b>					
<b>5. Subtotal</b>					
<b>6. Over Match (-)</b>					
<b>7. Total</b>					[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 future periods(e.g. an RFP to be held in SFY 2017-2018 that will result in a major change in services or providers in SFY 2018-2019).

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 2017-2018 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 future periods 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 4/1/2017-3/31/2018.

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 4/1/2017 – 3/31/2018 period that may result in future program design modifications(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: \_\_\_\_\_

## CERTIFICATION

One of the certifications below must be checked.

- 1) The AAA certifies that there are no planned program design modifications beyond those specified in this Attachment C that may occur during the 2017-2018 Program Year or a Future Program Year and that: If any change to its programs or services does occur during the 2017-18 Program Year or a future Program Year that causes or can be expected to cause a significant impact or major change in its programs or services, the Area Agency on Aging will notify the State Office for the Aging as soon as it becomes aware of such change and will submit an amended Attachment C for the then current Program Year.

OR

- 2) The AAA certifies that it is not making any program design modifications in this Attachment C and that: If any change to its programs or services does occur during the 2017-18 Program Year or a future Program Year that causes or can be expected to cause a significant impact or major change in its programs or services, the Area Agency on Aging will notify the State Office for the Aging as soon as it becomes aware of such change and will submit an amended Attachment C for the then current Program Year.

---

## ADVISORY COUNCIL REVIEW AND COMMENT

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

## MULTIPURPOSE SENIOR CENTERS

Please describe any multipurpose senior centers that will be acquired and/or constructed using Title III-B funds for the 4/1/2017 – 3/31/2018 period or 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:** Include below the current fringe benefit rate for employees. Describe any changes from the Fringe Benefit policy submitted with the 2016-20 Four Year Plan. 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.

2017-2018 Fringe Benefit Rate: \_\_\_\_\_%

► **Travel Reimbursement Policy:** Describe below any changes from the Travel Reimbursement Policy submitted with the 2016-2020 Four Year Plan.

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



**Guide for Completion  
of the 2017-18 Annual Update  
to the 2016-20 Four Year Plan**

**under**

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

**and the**

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

Andrew M. Cuomo, Governor

Greg Olsen, Acting Director

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## GUIDE FOR COMPLETION

### INTRODUCTION

These instructions are designed to assist Area Agency on Aging (AAA) staff in completing the 2017-18 Annual Update to the 2016-20 Four Year Plan (which includes the annual applications for funding), hereafter referred to as the Annual Update. Also included in this *Guide for Completion*, hereafter referred to as the *Guide*, are instructions for the **PERSONNEL ROSTER, EQUIPMENT SCHEDULE, RENT ALLOCATION SCHEDULE, CONTRACTOR ROSTER, and VOLUNTEERS USED AS MATCH SCHEDULE.**

### OVERVIEW

#### 1. Technology

All forms are web-based and will be available on the NYSOFA Budgeting and Reporting System on or about October 1, 2016. AAAs must complete these forms online and transmit them to NYSOFA through the same medium. The only document that needs to be downloaded and printed is the **REVIEW AND APPROVAL** page for signature.

#### 2. Submission

AAAs are required to submit a scanned copy of the signed **REVIEW AND APPROVAL** page in PDF format to their NYSOFA Aging Services Representative (ASR) and/or Fiscal Team via email. If the AAA is unable due to technological or other logistical reasons to submit the signed Review and Approval page in PDF format, the AAA may submit a hardcopy of the Review and Approval page. If the AAA is submitting the Review and Approval page in hardcopy, the document must bear an original signature in ink.

#### 3. Content

### OVERVIEW OF PLAN CHANGES

The content of the Annual Update is significantly trimmer than the past annual document (the Annual Implementation Plan). This was made possible by the enhancement of the Four Year Plan to truly be a plan for four years. See the Program Instruction (PI) issued with the Annual Update for a summary of other differences.

### GENERAL COMMENTS

Accuracy and Completeness: Applicants should read this *Guide* thoroughly to make certain all questions on the documents are answered completely and in sufficient detail. If you have additional questions concerning the completion of any item(s), you should contact the ASR or the Fiscal Team assigned to your AAA.

# ANNUAL UPDATE

## TABLE OF CONTENTS

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

### REVIEW AND APPROVAL

Choose the appropriate page. AAA's will have the option of using the standard **REVIEW AND APPROVAL** page (Program Periods are already filled out) or the optional **REVIEW AND APPROVAL** page (AAA's will enter their Program Periods for Title III-B, III-C and III-E).

- Check (√) appropriate box for each program for which the AAA is applying for funds.
- The AAA director must sign and date in ink on the line indicated.
- For those AAAs sponsored by an organization other than county, City of NY or Native American Organization, the Chief Officer of the Governing Body of the Sponsoring Organization must also sign and date on the line indicated.
- It is preferred that the **REVIEW AND APPROVAL** be signed, scanned and submitted to NYSOFA in PDF format. Submission is via email to the NYSOFA Senior Accountant/Grants Administrator 1 and Aging Services Representative assigned to the AAA.
- If you cannot submit the **REVIEW AND APPROVAL** in PDF format, it is acceptable to submit a signed hard copy of the form to NYSOFA.
- Regardless of the manner in which the **REVIEW AND APPROVAL** is submitted to NYSOFA, the form should be signed in ink and the original or a duplicate original form should be retained by the AAA for seven (7) years.

### LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL

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

- On the first blank, enter the name of the Chief Executive Officer/Chairman of the Governing Board of the county, City of NY or Native American Organization.
- On the second blank, enter the names of the County/City of New York/Native American Organization.
- On the third blank, enter name of the AAA.
- Check (√) the box for the program(s) for which the AAA is applying.
- Obtain the signature, in ink, of the individual listed on the first blank, and date.
- It is preferred that the **LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL** be signed, scanned and submitted to NYSOFA in PDF format. Submission is via email to the NYSOFA Senior Accountant/Grants Administrator 1 and Aging Services Representative assigned to the AAA.
- If you cannot submit the Review and Approval in PDF format, it is acceptable to submit a signed hard copy of the form to NYSOFA.
- Regardless of the manner in which the **LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL** is submitted to NYSOFA, the form should be signed in ink and the original or a duplicate original form should be retained by the AAA for seven (7) years.

## COVER PAGE

Complete the following:

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

## PUBLIC HEARINGS AND AREA AGENCY ON AGING ADVISORY COUNCIL

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

1. a. List the location, date and number of individuals attending each of the public hearings which were conducted for the Annual Update.  
  
b.- d. Provide requested information.  
  
e. **For New York City only**, please note that section 214 of the Elder Law requires that at least one public hearing be held within each county (borough) contained within the City of New York.
2. Summarize efforts undertaken by the AAA to obtain input from older adults who lack access to public hearings or other opportunities to provide feedback to the AAA on available services, service priorities, etc. In particular, note outreach efforts to obtain feedback from those unserved and underserved older adults in greatest social or economic need, particularly those individuals who are: low income; low income minorities (includes Hispanics, Alaskan Natives, Asians, Blacks and Native Hawaiians/Pacific Islanders); frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.) rural residents; limited English proficiency; Native Americans; institutionalized/at risk of institutionalization; homebound; or lesbian, gay, bisexual, and transgender (LGBT).
3. a. – e. Self-explanatory
4. Describe how the AAA notified older adults, service providers and the general public of its public hearing(s) in conjunction with the Annual Update. Note, too, efforts made to provide interested parties with the opportunity to testify (for example, holding a hearing during evening hours to provide employed caregivers with an opportunity to testify).
5. – 8. Self-explanatory

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

## OTHER NYSOFA FUNDING and SERVICES

Check (√) the appropriate box for each NYSOFA funded program the AAA administers and enter the amount of funding anticipated for SFY 2017-18 on the line provided. For NYS funded Grants-in-Aid (GIA) programs, Direct Care Worker and 'Other: specify' programs, the AAA must indicate on which line(s) number(s) these funds are included in the 'All Other Programs' column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** page. For all other programs listed, the appropriate line number(s) on which to include the various program funds is indicated in the far right column.

Although the NY Connects/ADRC and NY Connects/BIP programs provide some services, such as Information and Assistance, which are similar to other AAA funded services, services under these programs do not meet the regular Standard Definition for these services. Therefore, AAAs are instructed to include all service costs for these programs on Line 21, Other Services and all administrative costs for these programs on Line 22, Administration.

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

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

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

## OTHER SERVICES

Enter the information for additional services provided by the AAA which will be included on Line 21 of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** pages. These are services that are not listed in the preprinted service categories (Lines 1-20) of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** pages. For each entry follow the format provided. Be sure to include all required information. The online version of this section will allow an unlimited number of entries for this section. Common 'Other Services' are now pre-populated into a drop-down menu. Please select a service from the menu provided wherever possible; limit writing-in to services that are unable to be captured by one of the pre-populated choices. Include here services purchased from the AAA by other entities (which are not listed in the preprinted service categories (Lines 1-20) of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** pages.) AAAs must also include Line 21, 'Other Services' entries for all Line 21 services included on the 'Other NYSOFA Funding and Services' page, e.g. there must be an entry for Title V program operators for 'Employment Services' to be included on Line 21 of the Service Delivery and Resource Allocation Plan page.

The total funding included for these services must equal the amount included on Line 21 'Grand Total Funding \$' column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** Federal Program page. An electronic error check has been added to compare the total amount on the **OTHER SERVICES** page to the total of Line 21 'Grand Total Funding \$' column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** Federal Program page.

## SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN

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

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

**Note:** *Fiscal Page 1 contains a 'Grand Total' column for units and a 'Grand Total' column for funding and a column for 'Number of Individuals to be Served'. Entries in these columns must be the grand total of all of the columns on BOTH pages combined. That is, the grand totals should include all federal, state and other sources combined.*

For each service to be provided:

- In the columns provided on Fiscal Page 1, indicate with a check (√) mark whether each service will be directly provided (Dir) by the AAA using paid and/or volunteer staff or the service will be provided through a contract (Con). If a service is to be provided by both methods, check (√) both boxes for that service. AAAs must provide justification for any new directly provided services on **ATTACHMENT C** (except for EISEP-funded Case Management Services).
- In the column provided on Fiscal Page 1 estimate and enter the number of **unduplicated** individuals to be served for each service to be provided by the AAA.
- Estimate the number of units of service to be provided **by each funding stream**. These projections should be as accurate as possible and, where applicable, be based on experience. These projections are used as benchmarks for the Consolidated Area Agency Reporting System (CAARS), electronic Client Data System, and annual evaluations. Please refer to the Standard Definitions for Services and Units of Service, Program Instruction 14-PI-02, when completing these pages. The units of service and persons served are to reflect AAA administered (including contracted) services only.
- For all services on Fiscal Pages 1 & 2, estimate the total cost of providing each service under each funding stream. Planned expenditures must be allocated to each program under which the AAA expects to provide services. Allocation of costs should be reasonable and consistent with the AAA's methods for allocating costs when requesting reimbursement. To determine reasonableness of cost, divide the cost of the service allocated to each funding stream by the units projected to be served by that funding stream. Generally, the unit costs should be the same for all funding streams. Make adjustments to projected units or funds as appropriate.
- For the 'EISEP' column - the units and funding \$ cells in the 'EISEP' column are open for many services to accommodate the changes that were made in the regulations for ancillary services that allow an expanded array of services to be funded. The additional services that can be provided as an EISEP- funded ancillary service are as follows:
  - Line 4. Home Delivered Meals
  - Line 5. Adult Day Services
  - Line 7. Congregate Meals
  - Line 8. Nutrition Counseling

- Line 9. Assisted Transportation
  - Line 10. Transportation
  - Line 17. Health Promotion
  - Line 21. Other Services
- ‘All Other Programs’ column (Fiscal Page 2) - include the planned number of units of service and related funding for all other AAA administered funding and the funding source for each NYSOFA service category, regardless of the source. To assist in the completion of the ‘All Other Programs’, ‘Funding Source’ column, a legend has been added to the bottom of this page. AAAs must enter the number(s) from the legend which corresponds to the funding utilized on each service line. Cells 15 through 24 of the legend should be completed for AAA specific funding sources. **PLEASE NOTE: when completing the Annual Update online AAAs will only be required to complete the legend once. The same legend must be utilized for the State & All Other Programs – Service Delivery and Resource Allocation page as well as all four of the rosters. For ease of reference the legend will appear in the view and print versions of each of the pages for which it is utilized.**

For the ‘Other All Programs’ – Funding Amount column, AAAs are required to provide detail of the funding that will be utilized to make up the total amount budgeted for each service line. Although not evident on the hard copy of the document, the online version provides a drop down similar to the legend at the bottom of the form with cells to enter individual amounts for each funding stream which will be utilized to fund each service line.

Be sure to include on the appropriate lines the number(s) from the legend associated with the other NYSOFA funded services listed in the **OTHER NYSOFA FUNDING AND SERVICES** section and the amount of funds for all ‘Other Services’, Line 21 from the **OTHER SERVICES** section not included in one of the program columns.

- For services provided by the AAA and purchased by other entities, for example, meals sold to a Nursing Facility or a Managed Long Term Care (MLTC) program - the AAA must first determine if the service meets the NYSOFA standard definition for that service. If it does, the additional services should be included on the appropriate service line in the ‘All Other Programs’ column, with the reimbursement source noted as the funding source. In the case of the example of meals purchased by an MLTC program, those meals should be entered on the “NSIP Ineligible” line under the applicable service - HDM or Congregate. If the AAA is providing a service which does not meet one of the NYSOFA standard definitions, this service must be described in the **OTHER SERVICES** section and the funding included on Line 21, ‘Other Services’ of the ‘All Other Programs’ column. The reimbursement source for these services is included with the description for this service in the **OTHER SERVICES** section.

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

The units of service, related expenditures and income for meals purchased by a MLTC, Long Term Home Health Care Program (LTHHCP), or any other buy/sell arrangements for meals, may be included in the AAA’s Annual Update in the ‘All Other Programs’ column of the Service Delivery and Resource Allocation Plan page. Meals sold to a MLTC, LTHHCP, or any other buy/sell arrangements, are not

eligible for NSIP reimbursement. AAAs must include the number of LTHHCP (or other non-NSIP eligible buy/sell meals) on the NSIP Ineligible Meals line provided under both HDM and Congregate Meals.

AAAs that provide LTHHC meals, MLTC services or enter into any other buy/sell arrangements for their services must ensure that they are receiving reimbursement for the full cost of the service(s). No state or federal funds provided by NYSOFA may be used to supplement the cost of service(s) covered by Medicaid, other grant funds or buy/sell arrangements.

Totals and tie-ins:

On the **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN - FEDERAL** (Fiscal Page 1), entries in the 'Grand Total Units' and 'Grand Total Funding' columns represent the total of the individual program units and funding for each service added across all of the programs (i.e., federal, state and all other funding).

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

The total funding for each of the EISEP, CSE, CSI and WIN programs **must** equal the total amounts budgeted on the **APPLICATION FOR FUNDING, SUMMARY BUDGET FOR EISEP, CSE, CSI, WIN, CRC, & STATE TRANSPORTATION** (Fiscal Page 2A) , Line 9 - Total Budget.

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

- The amount included in the 'All Other Programs' column for LTCOP services, Line 20, must be greater than or equal to the total funding indicated for Title VII and State LTCOP in the **OTHER NYSOFA FUNDING AND SERVICES** section.
- The amount included in the 'All Other Programs' column for Information and Assistance, Line 13, must be greater than or equal to the amount of funding indicated for the Line 13 portion(s) of HIIICAP, MIPPA and CRC in the **OTHER NYSOFA FUNDING AND SERVICES** section. The amount included for CRC services, Line 19, must be greater than or equal to the Line 19 funding amount indicated for State funded CRC in the **OTHER NYSOFA FUNDING AND SERVICES** section.

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

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

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

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

Due to the risk of disallowances for overcharges, NYSOFA strongly encourages AAAs to consider implementing alternative approaches for funding access and supportive services during SFY 2017-18 and beyond.

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

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

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

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

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

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

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

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

- a) those that maintain or promote the individual's independence such as:
  - purchasing/renting of equipment or assistive devices;
  - purchasing/renting, maintaining and repair of appliances;
  - personal and household items;
  - social adult day services; and
  - transportation to needed medical appointments, community services and activities;

- b) those that maintain, repair or modify the individual's home so that it is a safe and adequate living environment, such as:
  - home maintenance and chores;
  - heavy house cleaning; and
  - removal of physical barriers;
- c) those that address everyday tasks, such as:
  - house cleaning;
  - laundry;
  - grocery shopping, shopping for other needed items and other essential errands;
  - bill paying and other essential activities;
  - providing meals; and
  - escort to appointments and other community activities.

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

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

Please note the EISEP related footnotes (d) & (e) at the bottom of Fiscal Page 2. Because adult day services can be provided as a non-institutional respite service or an ancillary service, and some services included under in-home contact and support can be provided as non-institutional respite and some as ancillary services, each AAA that includes adult day services and/or in-home contact and support in their Plan or Annual Update **must complete the footnotes** and indicate the amount of planned funds for each of these services that will be provided as non-institutional respite and the amount that will be provided as ancillary service. This is necessary for the automatic calculation check of the percentage of planned expenditures for ancillary services on Fiscal Page 2A. Please note that the sum of the adult day services funds allocated to non-institutional respite and ancillary services must equal the amount on Line 5 in the 'EISEP' column, and the sum of in-home contact and support allocated to non-institutional respite and ancillary services must equal the amount on Line 15 in the 'EISEP' column.

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

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

Specific Program Requirements:

1. Enter the amount budgeted for Title III-E Grandparents Caring for Children (do not include expenditures for grandparents and other older relatives caring for individuals with disabilities between ages 19-59) and Title III-E Supplemental Services at the bottom of Fiscal Page 1A .
2. The Federal Funds budgeted for 'Area Plan Administration' at the bottom of Fiscal Page 1A will be automatically calculated on the web-based version.
3. The In-Home Services and Ancillary Services percentages for EISEP at the bottom of Fiscal Page 2A will be automatically calculated on the web-based version. (For information on how to manually calculate these percentages see EISEP Services Worksheet in this *Guide*.)

Each page contains a space entitled "Date Revised" on the upper right corner which is automatically populated when the cluster including that page is submitted to NYSOFA.

The summary budget information is obtained from additional **SUPPORTING BUDGET** pages (except for travel and food costs – see instructions below), two each for federal (Fiscal Pages 1B & 1C), state (Fiscal Pages 2B & 2C) and the HIICAP/Title V funded program (Fiscal Pages 3B & 3C), as well as the **PERSONNEL ROSTER, EQUIPMENT SCHEDULE AND CONTRACTOR ROSTER**. The **Supporting Budget pages, Maintenance and Operations, Line 5a.**, is populated with information from the **Rent Allocation Schedule**.

Enter the budgeted amounts for each program from the following categories on the **SUMMARY BUDGET**.

1. **Personnel**

The personnel amounts for the applications for funding are taken directly from the **PERSONNEL ROSTER** and are not shown on the **SUPPORTING BUDGET SCHEDULES**.

**PERSONNEL ROSTER**

The roster must reflect all AAA and sponsor positions funded either totally or in part through grants administered by NYSOFA. In-kind positions should be included on the roster. (Use an asterisk to identify in-kind personnel.) Title V (SCSEP) administrative staff should also be included; however, Title V enrollees should not be included. The roster reflects salary only; do not include fringe benefits. The roster period is the same as the fiscal year of the AAA. For example, if the AAA is sponsored by a county government which uses the calendar year as its fiscal year, then the roster period would be 1/1/17-12/31/17.

When completing the distribution of personal services costs to the various funding streams and cost categories, (i.e., between administration and services), the AAA must utilize the results of their monthly personal services time studies as a basis for the distributions. AAAs should be careful to charge only appropriate personal services to the various categories regardless of any funding limitations for the various programs. If the results of time studies indicate that an AAA is over the allocation level (services, administration, or total) of a particular program, you may consider charging those additional costs to local funds or the more general Title III-B and CSE programs, if appropriate. If the results of time studies indicate that an AAA has more than allowable administrative costs under a particular program, you will

need to absorb these costs at the local level or re-examine the number of positions or amount of effort spent on administrative activities.

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

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

Instructions for Completion of the **PERSONNEL ROSTER**

For each employee, list his or her name (names should be entered as follows: surname, first name – please include the comma), select from the drop down list the most appropriate title for the individual, and enter annual salary. Please note: titles must be entered using the drop down box provided. (While we recognize that these titles may not exactly match the title within the AAA, please select a title that most closely reflects the individual’s position and duties. The ‘Other-specify’ selection should only be used when an employee’s duties cannot be approximated by a predefined title in the drop down menu.) If a position is vacant, list the title and annual salary. The annual salary is the salary in effect at the beginning of the roster period. Pay raises scheduled to occur during the roster period will be reflected in the summary budgets under ‘Adjustments to Personnel Roster’. Indicate, by checking the box provided, AAA staff designated or responsible for nutrition program oversight and/or operations.

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

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

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

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

### Tie-in to Applications for Funding

When the roster is completed, the information is then used in the preparation of the **APPLICATIONS FOR FUNDING** as follows:

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

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

### **2. Fringe Benefits**

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

### **3. Equipment**

The equipment amounts for the Applications for Funding are taken directly from the **EQUIPMENT SCHEDULE** and are not shown on the **SUPPORTING BUDGET SCHEDULES**.

### **EQUIPMENT SCHEDULE**

This schedule must reflect all AAA equipment funded either totally or in part through grants administered by NYSOFA. (The **EQUIPMENT ROSTER** should not include items purchased for clients as ancillary services under EISEP.) The schedule period is the same as the fiscal year of the AAA. For example, if the AAA is sponsored by a County government that uses the calendar year as its fiscal year, then the schedule period would be 1/1/17-12/31/17. Funds may be used to purchase or lease equipment essential to the operation of the project. To be classified as equipment, an item must have a useful life of more than one year and a unit cost of \$1,000 or more. Transportation and delivery charges are a

proper part of equipment costs. In the case of leased equipment include only those items for which the annual rental cost equals or exceeds \$1,000.

The budgeted cost for purchases of equipment items with a unit cost of less than \$1,000 must be aggregated and entered on the Maintenance and Operation section of the appropriate **SUPPORTING BUDGET SCHEDULE**, Line 5D, 'Equipment Costing Less than \$1,000'.

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

Instructions for Completion of **EQUIPMENT SCHEDULE**

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

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

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

Tie-in to Applications for Funding

When the **EQUIPMENT SCHEDULE** is completed, the information is then used in the preparation of the applications for funding. The totals from the **EQUIPMENT SCHEDULE** are carried forward to Line 3, 'Equipment' on the **SUMMARY BUDGET** for each program.

**4. Travel**

The travel category is not included on the **SUPPORTING BUDGET SCHEDULES** for any of the programs. Enter the total amount budgeted for travel costs including mileage, lodging, meals, public transportation, gas and oil and other travel costs under each program on the Summary Budget pages. The AAA's written policies governing travel reimbursement for employees, volunteers and advisory committee members must be submitted to the State Office for the Aging with the Four Year Plan. **ATTACHMENT E** must be completed to explain changes to the AAA's travel reimbursement policy during any of the Annual Updates. Note: The meal portion of any staff travel, even if it is included as part of a per diem reimbursement, may not be charged to HIICAP.

## 5. Maintenance and Operations (M & O)

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

- Rental costs from the **RENT ALLOCATION SCHEDULE** must be included on Line 5A (Note: the web based version of the Annual Update automatically populates this field.)
- Any adjustments to rent costs such as expected rent increases, vacancy or increases in maintenance charges must be included on Line 5B
- The aggregate cost of all equipment costing less than \$1,000 must be included on Line 5D
- Additional anticipated expenses not pre-printed on Lines 5A - 5J must be included on Lines 5K, 5L or 5M and must be specified as to the type of cost

### Rental Costs (Lines 5A and 5B)

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

The **RENT ALLOCATION SCHEDULE** must reflect all AAA rentals and related costs, i.e., rent, maintenance-in-lieu of rent (including utilities /janitorial services), funded either totally or in part through grants administered by NYSOFA. The schedule period is the same as the fiscal year of the AAA. For example, if the AAA is sponsored by a county government which uses the calendar year as its fiscal year, then the schedule period would be 1/1/17-12/31/17.

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

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

**In-kind rentals.** In order for donated premises to be considered as in-kind, the usage must be contributed by a third party (a party outside the aging network) without charge to the AAA or its

contractors. (For example, space in a county-owned building that is used by the county office for the aging cannot be in-kind.) Under the following conditions, rent or maintenance-in-lieu of rent for donated premises may be considered as part of the in-kind local match:

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

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

**Instructions for Completion of RENT ALLOCATION SCHEDULE**

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

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

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

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

**Tie-in to Applications for Funding**

When the Rent Allocation Schedule is completed, the grand totals are carried forward to Line 5A, of the ‘Maintenance and Operations’ category in the **SUPPORTING BUDGET SCHEDULES**. **Note:** The M&O

Supporting Budget Schedule includes estimates of individual items of cost expected to be incurred in this category. Budgets will be monitored and budget modifications required based on the total M&O category for each program, not the individual budget items.

The total, 'Maintenance & Operations' line from the **SUPPORTING BUDGET SCHEDULE** for each program must be entered in the 'M&O' line of the **SUMMARY BUDGET** for each program.

## 6. **Other Expenses**

Before listing an amount for 'Other Expenses' on the **SUMMARY BUDGET**, the **SUPPORTING BUDGET SCHEDULE** must be completed to identify the costs to be charged under 'Other Expenses'. This schedule includes a number of the most common charges incurred.

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

Examples are:

- a) Audits
- b) Bonding
- c) Conference, meeting, seminar and training sessions conducted or attended by the applicants which are directly related to assisting the applicant in carrying out AAA responsibilities. (Note: Mileage and per diem reimbursements for these activities should be budgeted under the Travel category).
- d) Membership dues in organizations directly related to AAA activities and subscriptions. (Note: Membership and subscriptions must be for the applicant agency and not for individuals.)
- e) Minor alterations or renovations.
- f) Language Access Services-Note: The total allocated to all NYSOFA programs in the 'Other Expense' category must be reflected in question 5c. of the **DEMOGRAPHIC DATA AND TARGETING OBJECTIVES** section.
- g) Other anticipated costs - list the type of cost in the space provided. In the 'EISEP Services' column, include Ancillary Services (equipment, assistive devices, PERS and/or Other) not provided under a contract.
- h) Other - Same as g above.

Note: when entering an anticipated cost as "other (specify)" please be as specific as possible in identifying the expense.

## 7. **Contracts**

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

## CONTRACTOR ROSTER

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

- Review the list of contractors and check (√) if the contractor will be active or inactive during the Annual Update period.
- If a new contractor is replacing an existing one or if a contractor changes its name, use the same line and replace the name. (Do not block out the name so that it is unreadable.)
- Complete the 9-digit Employer ID number if not already listed. In the case of individuals **do not** use their social security number, **fill in this field with an alternative 9 digit number, e.g. use zeros.** For businesses and other organizations, this should be their tax identification number.
- Enter the contractor's E-Mail address.
- Enter the number of active contracts with this contractor. (e.g., a contractor may have a separate contract for Title III-B, Title III-C-1 and CSE and be counted 3 times or have one contract using these funds and be counted once.)
- Complete all of the appropriate check box(es) to indicate:  
Contractor type – For-Profit, Not-for-Profit, Other Gov't.

**NOTE:** it is critical to meet Federal requirements that all For-Profit contractors be noted as such; AAAs must take care to correctly categorize all contractors.

**NOTE:** Contracts with For-Profit entities will now require the completion of a For-Profit Certification form in the system. Completion of these certifications will be required before the Annual Update can be submitted. Further guidance will be provided in a PI on the For-Profit Certification as well as during the Annual Update Training in the Fall.

MWBE – a minority or women owned business enterprise  
Rural contractor  
RD – registered dietitian  
Consultant

- Complete the check box to indicate if the contractor will or will not subcontract, subgrant or enter into a MOU with any other organization to provide direct services to clients.
- Enter the dollar amount of the contract (include all sources of funds, i.e., federal, state, local and income) allocated to each funding stream.
- Enter the total dollar amount for each contractor in the cell labeled 'Total'. Determine the 'Grand Total' for each funding stream and carry it forward to the summary budget. The total 'Contract' amount on Line 7 of each **SUMMARY BUDGET** must equal the 'Grand Total' amount for that program from the **CONTRACTOR ROSTER**.  
**NOTE:** The web-based version of the Annual Update automatically calculates this field.

- For **new** contractors, complete all of the required contractor information:
  - Contractor name,
  - Contractor address,
  - Assign the contractor Code – this should be the next chronological number after the current highest contractor code,
  - Enter the Employer ID number (9 digits),
  - Enter the contractor's E-Mail address.
  - Enter the number of contracts with this contractor,
  - Indicate the contractor type,
  - Indicate Active and New,
  - Indicate if Minority and Women-owned Business Enterprise (MWBE) or Rural contractor,
  - Enter the appropriate amount of funding under each funding stream used to reimburse the contractor, and
  - Enter the service(s) and the amount of funding for each service.
  - Title III-E only: For contractors providing services for Grandparents/Older Relative programs, indicate those contractors and the service(s) provided by checking (✓) the box(es) provided on the 'Services' pop-up screen

Some of these fields are not shown on the hard copy of the **CONTRACTOR ROSTER**; however all of this information is required on the web-based version.

- Where the contractor is not yet known, indicate as "To Be Determined" (TBD). Where multiple contractors will be providing the same service but are not known, a single line marked TBD may be used.
- List all services to be provided. Services should be listed using the standard definitions and should relate to the **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN**.

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

#### **8. Food**

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

Do not include in Line 8 the raw food cost for contractor prepared meals; they are incorporated within the contract.

#### **9. Total Budget**

Line 9 of the **SUMMARY BUDGET** is the total budgeted costs for each program.

#### **10. Anticipated Income**

Before listing an amount for Anticipated Income on the Summary Budget, the Supporting Budget Schedule must be completed to estimate anticipated program income by source. In accordance with program regulations, older adults participating in the CSI, WIN, State Transportation Program, Title III-B, Title III-C, Title III-D, Title III-E, HIICAP, and non-cost sharing clients in the EISEP and CSE programs must be afforded an opportunity to contribute to part or all of the cost of the service received. Anticipated contributions and/or cost share must be included for each program. AAAs that do not include contributions in one or more program budgets must explain this omission. NYSOFA regulations allow for

two acceptable methods of using contributions: AAAs may use contributions to provide additional services under the program that generated the contributions or, under State funded programs only, the AAAs may use the contributions to meet matching requirements for the program that generated the contributions. For State funded programs, if any of the contributions are to be used as local match, that amount is entered on the line provided and subtracted from the total income. Contributions may only be used as match when necessary for the AAA to meet the minimum match requirements of a particular program and must be approved by NYSOFA via the application process. AAAs may not use contributions to meet matching requirements under Federal OAA funded programs.

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

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

Cost-sharing revenues can be transferred from EISEP to CSE but cannot be transferred from CSE to EISEP. A separate line within the CSE income section is provided to show the amount transferred from EISEP. Cost-sharing revenues cannot be used as matching funds for either EISEP or CSE. AAAs are encouraged to use the cost-share transfer feature allowed under EISEP if they have or may have difficulty expending all of their EISEP funds in a given program period or if they have greater need for services allowed under CSE which are not allowed under EISEP. Transferring the cost-share received under EISEP to CSE allows AAAs to expend these funds on all allowable CSE services.

The **SUPPORTING BUDGET SCHEDULE** includes a place for ‘Other Income’, that is income other than participant contributions and cost share. Examples of appropriate income to be included on this line are as follows: proceeds from the sale of equipment and supplies, interest earned on advances of grant funds, royalties and other income earned from a copyrighted work and royalties or equivalent income earned from patents or inventions. Other income must be used to offset program expenditures. Proceeds from fund raising activities, general unrestricted donations to the AAA or miscellaneous grants that are not generated directly from approvable program activities must be appropriately considered as local matching funds or may be included in the ‘Other’ column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION** page.

Enter the ‘Total Income’ amounts from Line 10 of the **SUPPORTING BUDGET SCHEDULE** on the corresponding line of the **SUMMARY BUDGET** pages for each program. **NOTE:** The web-based version of the Annual Update automatically calculates this field.

#### 11. **Nutrition Services Incentive Program (NSIP)**

Indicate the dollar amount of NSIP funds projected to be earned based on the number of NSIP eligible meals expected to be served during the program year. Include Adult Day Services meals, but not LTHHCP or MLTC meals (see 14-PI-02, Standard Definitions.) LTHHCP or MLTC Meals and related expenditures may only be included in the ‘Other’ column of the **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN**, not within NYSOFA program budgets.

On Line 11, do not include costs associated with ineligible meals for NSIP reimbursement. Ineligible meals are meals served to paid staff and guests under 60. Enter the number of ineligible meals on the **SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN** (Fiscal Pages 1 & 2).

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

## 12. Net Total

Total Budget less anticipated income.

## 13. Federal/State Funds Requested

Before listing an amount for federal resources on the **SUMMARY BUDGET**, complete the **SUPPORTING BUDGET** Schedules as follows:

Titles III-B, III-C-1, III-C-2: Indicate the amount of carryover funds (Line 13A) from the previous year, the base allocation (Line 13B) for the year the application is being written, any transfer funds (Lines 13C-E), and any supplemental funds (Line 13F). The AAA may request approval for the transfer of funds between the Title III-B and Title III-C programs and between Titles III-C-1 and III-C-2 programs. Note only current year funds may be transferred.

**Note** for Titles III-B and III-C: A brief programmatic justification must be submitted on Attachment D for any Title III transfers and for Title III carryovers that exceed 7.5% of the previous year's total Federal award. See Program Instruction 88-PI-17 (3/24/88) regarding Title III carryover. As indicated in 88-PI-17 (3/24/88) the 7.5% applies to the combined carryover for Title III-C-1 and Title III-C-2. For carryovers that exceed 7.5%, the justification should include the reasons why the carryover occurred and the manner in which the carryover is to be utilized such that the annualized level of program operations is kept to a level that can be reasonably sustained in future program years. The description must identify how these funds will be targeted to the priority populations (see 12-PI-08, dated 7/17/12.) As indicated in 93-PI-48, dated 12/29/93, NYSOFA may recoup funds from an AAA's current allocation in instances where excess carryover exists this year and is determined to be a continuing issue. For transfers, describe the purpose for the transfer. Transfer requests between Titles III-B and III-C cannot exceed 30% of the AAA's Title III-B or Title III-C FFY 2012 allocation. Transfer requests between Title III-C-1 and Title III-C-2 should not exceed 40% of the AAA's Title III-C-1 or Title III-C-2 FFY 2014 allocation.

Title III-D: Indicate the amount of carryover funds (Line 13A) from the previous year, the base allocation (Line 13B) for the year the application is being written and any supplemental funds. Justification must be provided in **ATTACHMENT D** for Title III-D carryover amounts in excess of 25% of the prior year's Federal allocation.

Title III-E: Indicate the amount of carryover funds (Line 13A) from the previous year, the base allocation (Line 13B) for the year the application is being written and any supplemental funds. Justification must be provided in **ATTACHMENT D** for Title III-E carryover amounts in excess of 7.5% of the prior year's Federal allocation.

For state funded programs list the following on the State Funds Requested, Line 13 of the Summary Budget:

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

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

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

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

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

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

For the HIICAP and Title V programs, before listing an amount for funding on the **SUMMARY BUDGET**, complete the **SUPPORTING BUDGET SCHEDULE** as follows:

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

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

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

#### **14. Local Matching Funds**

Before listing an amount on the **SUMMARY BUDGET**, indicate each source and amount of local matching funds on the **SUPPORTING BUDGET** Schedules. For the State funded CSE, EISEP and CSI programs contributions may be used as local match in certain circumstances and must be indicated on the appropriate line. When contributions are used as local match, the total local match shown, including match from other sources, should meet the minimum match requirement only. In accordance with NYSOFA policy, when submitting reimbursement claims, all other sources of matching funds must be utilized before contributions are used as match. As noted above, contributions may not be used as local match for any of the federally funded OAA programs. Be sure to identify all in-kind matching funds (see Personnel Roster and Maintenance and Operations Sections of this *Guide* for information regarding allowable in-kind funds) in the space provided. For Titles III-B, III-C-1, III-C-2, III-D and III-E note that Federal funds may not be used to earn Federal funds; State funds may not be used to earn State funds; nor can the same local funds be used as local match under more than one program. Refer to the appropriate regulations for more information on what comprises allowable local match.

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

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

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

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

### SUMMARY BUDGET

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

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

## **Area Plan Administration/Planning & Implementation Costs**

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

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

- Under the Title III programs, an AAA may budget up to 10% of their total for Titles III-B, III-C-1, III-C-2, III-D and III-E allocations for Administration. However, all administration costs must be budgeted under Titles III-B, III-C-1, III-C-2 and/or III-E. While the Title III-D allocation is used to compute the maximum allowable Title III administrative funds, no administrative costs may be budgeted under Title III-D.
- Under WIN, the maximum allowable amount budgeted and expended for administration is 5% of the total State funds available.
- Under CSE Planning and Implementation and EISEP Implementation, funds are limited to the specific allocation amount included on the respective tentative allocation schedules. Refer to the tentative allocation schedules for your AAA's allocations.
- Under CSI, the maximum allowable amount budgeted and expended for administration is 5% of the total State funds requested.
- Under Title V, the maximum allowable amount budgeted and expended for administration is 9.45% of the total Federal funds requested.

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

### **EISEP Services Worksheet Instructions**

On Line 1 enter the number of units of each in-home service expected to be provided using EISEP funds (i.e., state aid, local match and anticipated income from cost sharing and contributions) during the year. In estimating the number of units, use the most up-to-date rate information available to your AAA when projecting the number of units to be provided during SFY 2017-18. If the AAA has not yet negotiated personal home care rates for 2017 at the time this Annual Update is being completed, NYSOFA suggests that AAAs use the rate(s) they currently use to reimburse their home care providers. This is for planning purposes only, and the actual final reimbursement rates for personal care services may be higher or lower than this amount. The in-home service costs must take into account variations, if any,

between rates expected to be charged by different contractors, any rates other than the basic rates the AAA anticipates paying for in-home services and the costs of supervision of the aides. The service costs must include direct costs, if any, to the AAA, as well as the amounts paid to contractors. (NYSOFA does not anticipate that many AAAs will have direct costs for in-home services, except that there may be a few AAAs directly providing in-home services or providing supervision of aides. Contact your ASR or Fiscal Team for instructions on documenting the supervision cost if the AAA pays the provider for supervision by adding a surcharge to the cost of each unit.)

## EISEP SERVICES WORKSHEET

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

### Calculation of Required Percentages

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

From **SUMMARY BUDGET** for EISEP:

Total EISEP Budget column, Line 9, Total Budget	\$ _____
Less: Total EISEP Budget column, Line 10, Anticipated Income	- _____
Subtotal	\$ _____
Less: EISEP Implementation column, Line 12	- _____
Net Total	
Total EISEP State & Local Services Costs	\$ _____ [e]

#### In-Home Services Percentage (must be at least 33%)

Total In-Home Services Cost [a + b + c] \$ \_\_\_\_\_

divided by Total State & Local Services Costs[e] \_\_\_\_\_ = \_\_\_\_\_%

#### Ancillary Services Percentage (cannot exceed 33%)

Total Ancillary Services Cost [d] \$ \_\_\_\_\_

divided by Total State & Local Services Costs[e] \_\_\_\_\_ = \_\_\_\_\_%

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

## ATTACHMENTS

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

AAA directors must review the Standard Assurances; substantive revisions to the content are described in the Program Instruction for the Annual Update.

AAAs may not modify the Standard Assurances.

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

The October 1, 2015 - September 30, 2016 Priority Services Expenditure Report must be submitted with, and made part, of the Annual Update. The minimum percentages for the three priority services are as follows:

Access	20%
In-Home	2.5%
Legal	7%

These minimum percentages are applicable to the total of each AAA's Title III-B FFY 2016 federal services expenditures, the local match required for those expenditures and program income. Note that Area Plan Administration costs are not included for the purposes of these calculations and that allowable CSE and WIN expenditures may be used to meet the percentage requirements. For the purposes of completing this Attachment, expenditures from these two programs should only be included where necessary to meet the minimum percentages. For additional Access costs you may use WIN expenditures for transportation, outreach, information & assistance, or case management; for additional In-home costs you may use expenditures for CSE home health aide, in-home contact & support or caregiver services. To the extent that CSE and WIN expenditures are included under priority services, as defined in the OAA Amendments and also meet Title III-B statutory requirements, (i.e., no means test and must allow voluntary contributions) these expenditures can be used to meet the priority service minimum percentages on this page.

In accordance with federal statutory requirements, priority services are defined as follows:

- Access - Transportation, Outreach, Information & Assistance and Case Management
- In-Home - Personal Care Levels I and II, Home Health Aide, Consumer Directed In-home Services, In-Home Contact and Support and Caregiver Services
- Legal - Legal advice and representation by an attorney (including, to the extent feasible, counseling or other appropriate assistance by a paralegal or law student under the supervision of an attorney), and includes counseling or representation by a non-lawyer where permitted by law, to older adults with economic or social needs.

Note that this report asks for actual expenditures for the latest completed federal fiscal year (10/1/15 through 9/30/16). The following will help in the completion of the form:

To determine Line 6 Over Match:

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

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

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

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

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

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

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

The on-line expenditure report can be obtained via the reporting system following these steps: [1] choose CAARS Quarterly and select any period, [2] under "Tools", click on "Go To Reports", [3] select beginning period, October 01, 2015, [4] select ending period of September 30, 2016, and [5] click on "Expenditures Report".

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

**Note:** Footnotes referenced in the above chart are described on the Attachment B page of the Annual Update.

**ATTACHMENT C: Program Design Modifications**

**This attachment must be completed by all AAAs even if no changes are contemplated at this time. Consult 15-TAM-01 for additional information.**

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

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

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

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

The AAA Director must complete one of the certification sections of **ATTACHMENT C** by checking the appropriate box. If the AAA is not making any program design modifications in the **Attachment C**, the second box must be checked. Any Program Design Modifications proposed by the AAA must be approved by NYSOFA before any expenditures can be obligated for such plans.

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

## DEFINITIONS

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

**Major Change:** Refers to a proposed change(s) in program design for SFY 2017-2018 from what NYSOFA has approved in previous program periods that will significantly impact older adults. It also refers to any planned change(s) for periods covered by future Plans or Annual Updates that will have a significant impact on service delivery to older adults. A significant impact is characterized by the discontinuance of any service, or major changes in:

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

If the change is a re-organization, consolidation, or an agency merger, the AAA must provide the proposed organizational chart. The chart is to include the structure of the AAA, including staff positions by title, and the AAA's relationship to other county agencies, the chief elected official in the county and the AAA Advisory Council. Also include NY Connects within your organizational chart or provide a separate organizational chart if that format is more appropriate.

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

Examples of Major Changes include the following:

- The reduction of services under the Plan or Annual Update due to county government ordered across-the-board cuts.
- A senior center, adult day service program closes or moves, thereby reducing access to needed services which may have a negative impact on targeted populations including low-income, cultural or ethnic minorities.
- An AAA whose Plan or Annual Update focuses more on low-income population, less on 75 or 85 plus, less on ethnic and cultural minorities, decides that all CSE funding should be allocated for transportation - reduces EISEP and WIN clients, legal services reduced, etc.
- The AAA changes the method of delivering home delivered meals from hot to frozen.
- New implementation of consumer directed in-home services
- New implementation of consumer directed respite services

- The AAA is planning to expand their personal emergency response program thanks to a local grant, which will provide many more units to eligible older adults, increasing units of service more than 20%.
- The AAA is notified by the county that it plans to combine the AAA with the local department for youth. Planning for this to happen may or may not be in the immediate Plan or Annual Update period.

Examples of actions that would NOT constitute a Major Change:

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

**New Direct Service:** Refers to any service to be provided by the AAA directly (as opposed to being provided by a contractor) that has not been provided by the AAA and included in the AAA's NYSOFA approved Plan and any Annual Updates.

Example of New Direct Service includes the following:

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

**New Activity:** Refers to any new service or program and changes, including but not limited to, new non-direct services, large scale program restructuring or agency merger or consolidation. These new activities have not been offered or conducted by the AAA or its contractors and have not been included in the NYSOFA approved Four Year Plan, including updates through the 4/1/2016 – 3/31/2017 Plan.

Examples of New Activities include:

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

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

## **INSTRUCTIONS**

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

### **ATTACHMENT D: Justification for Title III Carryovers and Title III Transfers**

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

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

**Carryover:** AAAs must provide justification for Title III-B, Title III-C and Title III-E carryovers in excess of 7.5% and for Title III-D carryover in excess of 25%, in the spaces provided. See Program Instruction 88-PI-17, dated 3/24/88, regarding Title III carryover. As indicated in 88-PI-17 the 7.5% applies to the combined carryover for Title III-C-1 and Title III-C-2. For carryovers that exceed the allowable percentage, the justification should include the reasons why the carryover occurred and the manner in which the carryover is to be utilized such that the annualized level of program operations is not built up to a level that cannot be reasonably sustained in future program years. The description must identify how the carryover funds will be targeted to the priority populations (see 12-PI-08, dated 7/17/12, for further guidance).

Describe how excess carryover funds will be used for targeting (Reference –12-PI-08) those unserved and underserved older adults individuals in greatest social or economic need, particularly those who are low income, low income minorities, rural residents, older adults with limited English proficiency, Native Americans, and frail/persons with disabilities (e.g., blind, deaf, visually and/or hearing impaired, etc.). For example, the following activities represent possible efforts to improve achievement of targeting goals: provision of linguistic interpretation services to persons with limited English proficiency or deaf persons, translation of informational materials for persons with limited English proficiency or development of Braille and audio materials for persons who are visually impaired, etc. **Where the AAA targeting goals have not been met and the AAA will not use carryover funds for additional or expanded targeting efforts, please provide a justification including a description of the specific activities implemented by the AAA to meet targeting goals and outcomes.**

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

2014 Award levels:

	Title III-C-1	Title III-C-2	Total
Carryover (from 2013)	\$ 5,000	\$ 1,500	\$ 6,500
Base Allocation	70,000	15,000	85,000
Transfer(s)	(2,000)	2,000	-0-
Supplement	-0-	500	500
Total Funding	\$73,000	\$19,000	\$92,000

Projected carryover into 2015:

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

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

### **ATTACHMENT E: Fringe Benefit and Travel Reimbursement Policies**

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

Under the Fringe Benefit Policy section:

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

Under both sections:

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

### **PERSONNEL ROSTER and RENT ALLOCATION SCHEDULE Adjustments**

Include a complete description of any adjustments made to the personnel or rental costs included on the **PERSONNEL ROSTER** and /or **RENT ALLOCATION SCHEDULE**.

## **Cost Per Unit**

In the SFY 2017-2018 Annual Update, AAAs will be able to review and explain average cost per unit (CPU) information for each of seven major services: transportation, personal care levels I and II, congregate meals, home delivered meals, case management and adult day services prior to submission of the Annual Update to NYSOFA.

During the initial review of the Annual Update, NYSOFA fiscal and program staff will examine the proposed CPUs contained in the AAA's SFY 2017-2018 submission against the data from SFY 2016-2017 Plan projection and your SFY 2016-2017 Plan to CAARS data from July 1, 2014 to June 30, 2015 expenditure report. Any average CPUs that vary by 10% or more in the respective areas will be highlighted upon entering your SFY 2017-2018 entries and NYSOFA staff will be reviewing your explanation(s) for the variance(s).

## **Interpreting the form**

The first column is the AAA's CPU projection from the SFY 2016-2017 Plan. The second column represents the CPU projection from the proposed SFY 2017-2018 Annual Update. The third column will calculate the variance between SFY 2016-2017 and the SFY 2017-2018 Annual Update. Variances of 10% or more will be represented in color; the AAA will be asked to explain the reason for the variance. The fourth column represents the CPU for each service for the period July 1, 2015 to June 30, 2016, as calculated using actual CAARS and client data. The fifth column represents the variance between SFY 2017-2018 Annual Update and the CAARS expenditures information. Variances of 10% or more will be represented in color; the AAA will be asked to explain the reason for the variance.

## **ATTACHMENT F: Volunteers Used as Match**

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

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

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

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

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

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

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

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

## 2017 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$273,227	1.367%
ALLEGANY	0.254%	50,262	0.251%
BROOME	1.059%	213,035	1.066%
CATTARAUGUS	0.389%	79,066	0.396%
CAYUGA	0.403%	81,580	0.408%
CHAUTAUQUA	0.760%	151,560	0.758%
CHEMUNG	0.464%	105,305	0.527%
CHENANGO	0.295%	58,155	0.291%
CLINTON	0.381%	75,108	0.376%
COLUMBIA	0.345%	68,011	0.340%
CORTLAND	0.227%	45,042	0.225%
DELAWARE	0.300%	62,635	0.313%
DUTCHESS	1.267%	249,767	1.249%
ERIE	4.824%	1,010,077	5.053%
ESSEX	0.214%	44,313	0.222%
FRANKLIN	0.245%	50,455	0.252%
FULTON	0.294%	61,654	0.308%
GENESEE	0.303%	59,730	0.299%
GREENE	0.283%	55,789	0.279%
HERKIMER	0.371%	78,100	0.391%
JEFFERSON	0.460%	91,053	0.456%
LEWIS	0.136%	44,313	0.222%
LIVINGSTON	0.293%	57,761	0.289%
MADISON	0.331%	65,251	0.326%
MONROE	3.431%	676,364	3.383%
MONTGOMERY	0.296%	63,602	0.318%
NASSAU	5.863%	1,181,162	5.908%
NIAGARA	1.175%	231,630	1.159%
ONEIDA	1.295%	255,757	1.279%
ONONDAGA	2.161%	426,005	2.131%
ONTARIO	0.521%	102,706	0.514%
ORANGE	1.430%	281,900	1.410%
ORLEANS	0.204%	44,313	0.222%
OSWEGO	0.518%	102,458	0.513%
OTSEGO	0.328%	64,659	0.323%
PUTNAM	0.371%	73,137	0.366%
RENSSELAER	0.679%	133,852	0.670%
ROCKLAND	1.308%	257,851	1.290%
ST. LAWRENCE	0.564%	111,183	0.556%
SARATOGA	0.923%	181,954	0.910%
SCHENECTADY	0.739%	147,887	0.740%
SCHOHARIE	0.185%	44,313	0.222%
SCHUYLER	0.097%	44,313	0.222%
SENECA	0.188%	44,313	0.222%
STEUBEN	0.530%	104,480	0.523%
SUFFOLK	6.000%	1,182,800	5.917%
SULLIVAN	0.420%	84,093	0.421%
TIOGA	0.260%	51,255	0.256%
TOMPKINS	0.353%	69,588	0.348%
ULSTER	0.927%	182,742	0.914%
WARREN/HAMILTON	0.385%	88,625	0.443%
WASHINGTON	0.312%	61,505	0.308%
WAYNE	0.443%	87,330	0.437%
WESTCHESTER	4.394%	866,204	4.333%
WYOMING	0.190%	44,313	0.222%
YATES	0.129%	44,313	0.222%
NEW YORK CITY	48.012%	9,464,758	47.344%
SENECA INDIAN RES	0.058%	29,470	0.147%
ST. REGIS MOHAWK	0.026%	29,470	0.147%
TOTAL	99.999%	\$19,991,554	100.000%

NEW YORK STATE OFFICE FOR THE AGING  
**TITLE III-C-1**  
 2017 FFY TENTATIVE ALLOCATION SCHEDULE

PI: 16-PI-20  
 Date: 9.29.16

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$370,880	1.368%
ALLEGANY	0.254%	68,331	0.252%
BROOME	1.059%	289,620	1.068%
CATTARAUGUS	0.389%	107,490	0.396%
CAYUGA	0.403%	110,908	0.409%
CHAUTAUQUA	0.760%	206,047	0.760%
CHEMUNG	0.464%	124,836	0.460%
CHENANGO	0.295%	78,938	0.291%
CLINTON	0.381%	101,951	0.376%
COLUMBIA	0.345%	92,319	0.341%
CORTLAND	0.227%	70,065	0.258%
DELAWARE	0.300%	85,151	0.314%
DUTCHESS	1.267%	339,037	1.250%
ERIE	4.824%	1,373,199	5.064%
ESSEX	0.214%	59,659	0.220%
FRANKLIN	0.245%	69,018	0.255%
FULTON	0.294%	82,260	0.303%
GENESEE	0.303%	81,080	0.299%
GREENE	0.283%	75,728	0.279%
HERKIMER	0.371%	106,177	0.392%
JEFFERSON	0.460%	123,785	0.457%
LEWIS	0.136%	54,502	0.201%
LIVINGSTON	0.293%	78,404	0.289%
MADISON	0.331%	88,572	0.327%
MONROE	3.431%	918,102	3.386%
MONTGOMERY	0.296%	86,466	0.319%
NASSAU	5.863%	1,605,789	5.922%
NIAGARA	1.175%	314,418	1.160%
ONEIDA	1.295%	347,702	1.282%
ONONDAGA	2.161%	578,262	2.133%
ONTARIO	0.521%	139,414	0.514%
ORANGE	1.430%	382,653	1.411%
ORLEANS	0.204%	54,588	0.201%
OSWEGO	0.518%	139,291	0.514%
OTSEGO	0.328%	87,769	0.324%
PUTNAM	0.371%	99,276	0.366%
RENSSELAER	0.679%	181,694	0.670%
ROCKLAND	1.308%	350,008	1.291%
ST. LAWRENCE	0.564%	150,921	0.557%
SARATOGA	0.923%	246,985	0.911%
SCHENECTADY	0.739%	201,053	0.742%
SCHOHARIE	0.185%	54,502	0.201%
SCHUYLER	0.097%	54,502	0.201%
SENECA	0.188%	54,502	0.201%
STEUBEN	0.530%	141,823	0.523%
SUFFOLK	6.000%	1,605,539	5.921%
SULLIVAN	0.420%	114,323	0.422%
TIOGA	0.260%	69,573	0.257%
TOMPKINS	0.353%	94,459	0.348%
ULSTER	0.927%	248,055	0.915%
WARREN/HAMILTON	0.385%	111,535	0.411%
WASHINGTON	0.312%	83,488	0.308%
WAYNE	0.443%	118,542	0.437%
WESTCHESTER	4.394%	1,175,790	4.336%
WYOMING	0.190%	54,502	0.201%
YATES	0.129%	54,502	0.201%
NEW YORK CITY	48.012%	12,847,517	47.382%
SENECA INDIAN RES	0.058%	54,502	0.201%
ST. REGIS MOHAWK	0.026%	54,502	0.201%
TOTAL	99.999%	\$27,114,506	100.000%

## 2017 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$174,490	1.371%
ALLEGANY	0.254%	31,978	0.251%
BROOME	1.059%	133,323	1.048%
CATTARAUGUS	0.389%	48,973	0.385%
CAYUGA	0.403%	50,735	0.399%
CHAUTAUQUA	0.760%	95,680	0.752%
CHEMUNG	0.464%	58,415	0.459%
CHENANGO	0.295%	37,139	0.292%
CLINTON	0.381%	47,966	0.377%
COLUMBIA	0.345%	43,433	0.341%
CORTLAND	0.227%	28,911	0.227%
DELAWARE	0.300%	38,483	0.302%
DUTCHESS	1.267%	159,509	1.253%
ERIE	4.824%	620,596	4.877%
ESSEX	0.214%	28,911	0.227%
FRANKLIN	0.245%	31,000	0.244%
FULTON	0.294%	37,177	0.292%
GENESEE	0.303%	38,147	0.300%
GREENE	0.283%	35,628	0.280%
HERKIMER	0.371%	47,985	0.377%
JEFFERSON	0.460%	57,911	0.455%
LEWIS	0.136%	28,911	0.227%
LIVINGSTON	0.293%	36,887	0.290%
MADISON	0.331%	41,671	0.327%
MONROE	3.431%	431,946	3.394%
MONTGOMERY	0.296%	39,078	0.307%
NASSAU	5.863%	738,123	5.800%
NIAGARA	1.175%	147,927	1.162%
ONEIDA	1.295%	163,034	1.281%
ONONDAGA	2.161%	272,059	2.138%
ONTARIO	0.521%	65,591	0.515%
ORANGE	1.430%	180,030	1.415%
ORLEANS	0.204%	28,911	0.227%
OSWEGO	0.518%	65,213	0.512%
OTSEGO	0.328%	41,294	0.325%
PUTNAM	0.371%	46,707	0.367%
RENSSELAER	0.679%	85,483	0.672%
ROCKLAND	1.308%	164,671	1.294%
ST. LAWRENCE	0.564%	71,005	0.558%
SARATOGA	0.923%	116,201	0.913%
SCHENECTADY	0.739%	93,037	0.731%
SCHOHARIE	0.185%	28,911	0.227%
SCHUYLER	0.097%	28,911	0.227%
SENECA	0.188%	28,911	0.227%
STEUBEN	0.530%	66,724	0.524%
SUFFOLK	6.000%	755,371	5.936%
SULLIVAN	0.420%	52,876	0.416%
TIOGA	0.260%	32,732	0.257%
TOMPKINS	0.353%	44,441	0.349%
ULSTER	0.927%	116,704	0.917%
WARREN/HAMILTON	0.385%	57,821	0.454%
WASHINGTON	0.312%	39,279	0.309%
WAYNE	0.443%	55,772	0.438%
WESTCHESTER	4.394%	553,183	4.347%
WYOMING	0.190%	28,911	0.227%
YATES	0.129%	28,911	0.227%
NEW YORK CITY	48.012%	6,044,476	47.497%
SENECA INDIAN RES	0.058%	28,911	0.227%
ST. REGIS MOHAWK	0.026%	28,911	0.227%
TOTAL	99.999%	\$12,725,925	100.000%

## 2017 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.475%	\$17,355	1.434%
ALLEGANY	0.270%	3,257	0.269%
BROOME	1.127%	13,260	1.096%
CATTARAUGUS	0.414%	4,883	0.404%
CAYUGA	0.429%	5,048	0.417%
CHAUTAUQUA	0.809%	9,518	0.787%
CHEMUNG	0.494%	5,812	0.480%
CHENANGO	0.152%	3,094	0.256%
CLINTON	0.190%	3,094	0.256%
COLUMBIA	0.367%	4,318	0.357%
CORTLAND	0.242%	3,257	0.269%
DELAWARE	0.319%	3,868	0.320%
DUTCHESS	1.349%	15,872	1.312%
ERIE	5.135%	62,362	5.154%
ESSEX	0.228%	3,257	0.269%
FRANKLIN	0.130%	3,257	0.269%
FULTON	0.313%	3,745	0.310%
GENESEE	0.145%	3,094	0.256%
GREENE	0.302%	3,553	0.294%
HERKIMER	0.395%	4,826	0.399%
JEFFERSON	0.490%	5,766	0.477%
LEWIS	0.145%	3,257	0.269%
LIVINGSTON	0.312%	3,671	0.303%
MADISON	0.153%	3,094	0.256%
MONROE	3.652%	42,969	3.551%
MONTGOMERY	0.160%	3,257	0.269%
NASSAU	6.241%	73,431	6.069%
NIAGARA	1.251%	14,719	1.217%
ONEIDA	1.379%	16,225	1.341%
ONONDAGA	2.300%	27,062	2.237%
ONTARIO	0.554%	6,518	0.539%
ORANGE	1.522%	17,908	1.480%
ORLEANS	0.217%	3,257	0.269%
OSWEGO	0.551%	6,483	0.536%
OTSEGO	0.349%	4,107	0.339%
PUTNAM	0.145%	3,094	0.256%
RENSSELAER	0.723%	8,507	0.703%
ROCKLAND	1.392%	16,378	1.354%
ST. LAWRENCE	0.601%	7,072	0.585%
SARATOGA	0.374%	4,400	0.364%
SCHENECTADY	0.787%	9,260	0.765%
SCHOHARIE	0.091%	3,094	0.256%
SCHUYLER	0.103%	3,257	0.269%
SENECA	0.200%	3,257	0.269%
STEUBEN	0.564%	6,636	0.549%
SUFFOLK	2.451%	28,839	2.384%
SULLIVAN	0.447%	5,259	0.435%
TIOGA	0.119%	3,094	0.256%
TOMPKINS	0.376%	4,424	0.366%
ULSTER	0.987%	11,613	0.960%
WARREN/HAMILTON	0.410%	6,513	0.538%
WASHINGTON	0.332%	3,906	0.323%
WAYNE	0.204%	3,671	0.303%
WESTCHESTER	4.677%	55,030	4.548%
WYOMING	0.202%	3,257	0.269%
YATES	0.059%	3,094	0.256%
NEW YORK CITY	51.106%	601,314	49.698%
SENECA INDIAN RES	0.061%	3,257	0.269%
ST. REGIS MOHAWK	0.028%	3,257	0.269%
TOTAL	100.000%	\$1,209,937	100.000%

## 2017 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.540%	\$129,889	1.509%
ALLEGANY	0.268%	24,529	0.285%
BROOME	1.194%	100,707	1.170%
CATTARAUGUS	0.408%	35,706	0.415%
CAYUGA	0.431%	36,582	0.425%
CHAUTAUQUA	0.801%	67,835	0.788%
CHEMUNG	0.511%	43,099	0.501%
CHENANGO	0.303%	25,556	0.297%
CLINTON	0.390%	32,894	0.382%
COLUMBIA	0.380%	32,051	0.372%
CORTLAND	0.234%	24,529	0.285%
DELAWARE	0.318%	26,821	0.312%
DUTCHESS	1.400%	118,081	1.372%
ERIE	5.256%	457,663	5.316%
ESSEX	0.237%	24,529	0.285%
FRANKLIN	0.232%	24,529	0.285%
FULTON	0.314%	27,914	0.324%
GENESEE	0.332%	28,002	0.325%
GREENE	0.282%	24,529	0.285%
HERKIMER	0.389%	34,752	0.404%
JEFFERSON	0.469%	39,557	0.460%
LEWIS	0.149%	24,529	0.285%
LIVINGSTON	0.310%	26,146	0.304%
MADISON	0.342%	28,845	0.335%
MONROE	3.723%	314,011	3.648%
MONTGOMERY	0.325%	30,220	0.351%
NASSAU	7.370%	621,614	7.221%
NIAGARA	1.250%	105,430	1.225%
ONEIDA	1.412%	119,922	1.393%
ONONDAGA	2.361%	199,136	2.313%
ONTARIO	0.563%	47,486	0.552%
ORANGE	1.476%	124,492	1.446%
ORLEANS	0.214%	24,529	0.285%
OSWEGO	0.530%	44,702	0.519%
OTSEGO	0.353%	29,773	0.346%
PUTNAM	0.387%	32,641	0.379%
RENSSELAER	0.757%	63,849	0.742%
ROCKLAND	1.450%	122,298	1.421%
ST. LAWRENCE	0.575%	48,498	0.563%
SARATOGA	0.968%	81,645	0.948%
SCHENECTADY	0.843%	73,559	0.855%
SCHOHARIE	0.185%	24,529	0.285%
SCHUYLER	0.107%	24,529	0.285%
SENECA	0.200%	24,529	0.285%
STEUBEN	0.558%	47,063	0.547%
SUFFOLK	6.850%	577,755	6.711%
SULLIVAN	0.401%	33,821	0.393%
TIOGA	0.271%	24,529	0.285%
TOMPKINS	0.379%	31,967	0.371%
ULSTER	0.972%	81,982	0.952%
WARREN/HAMILTON	0.411%	49,057	0.570%
WASHINGTON	0.333%	28,086	0.326%
WAYNE	0.465%	39,220	0.456%
WESTCHESTER	5.001%	421,803	4.900%
WYOMING	0.188%	24,529	0.285%
YATES	0.139%	24,529	0.285%
NEW YORK CITY	42.431%	3,578,781	41.571%
SENECA INDIAN RES	0.018%	24,529	0.285%
ST. REGIS MOHAWK	0.043%	24,529	0.285%
TOTAL	99.999%	\$8,608,846	100.000%

**EXPANDED IN-HOME SERVICES FOR THE ELDERLY PROGRAM**

## TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2017-18

County	Population	Implementation	Total Services Allocation			TOTAL STATE AID
			State Services Base Alloc.	Local Share	Total	
Albany	60,195	\$60,195	\$764,470	\$254,824	\$1,019,294	\$824,665
Alegany	10,426	20,000	158,749	52,917	211,666	178,749
Broome	44,485	44,485	564,955	188,319	753,274	609,440
Cattaraugus	15,918	20,000	202,157	67,386	269,543	222,157
Cayuga	17,062	20,000	216,686	72,229	288,915	236,686
Chautauqua	30,565	30,565	388,172	129,391	517,563	418,737
Chemung	19,339	20,000	245,603	81,868	327,471	265,603
Chenango	11,797	20,000	158,749	52,917	211,666	178,749
Clinton	15,552	20,000	197,509	65,837	263,346	217,509
Columbia	16,219	20,000	205,980	68,660	274,640	225,980
Cortland	9,246	20,000	158,749	52,917	211,666	178,749
Delaware	12,947	20,000	164,426	54,809	219,235	184,426
Dutchess	57,062	57,062	724,682	241,561	966,243	781,744
Erie	197,246	75,000	2,505,004	835,002	3,340,006	2,580,004
Essex	9,835	20,000	158,749	52,917	211,666	178,749
Franklin	9,358	20,000	158,749	52,917	211,666	178,749
Fulton	12,488	20,000	158,749	52,917	211,666	178,749
Genesee	12,908	20,000	163,930	54,644	218,574	183,930
Greene	11,971	20,000	158,749	52,917	211,666	178,749
Hamilton	1,568	20,000	158,749	52,917	211,666	178,749
Herkimer	15,022	20,000	190,778	63,593	254,371	210,778
Jefferson	18,408	20,000	233,780	77,927	311,707	253,780
Lewis	5,557	20,000	158,749	52,917	211,666	178,749
Livingston	12,840	20,000	163,067	54,356	217,423	183,067
Madison	14,426	20,000	183,209	61,070	244,279	203,209
Monroe	145,640	75,000	1,849,613	616,538	2,466,151	1,924,613
Montgomery	11,394	20,000	158,749	52,917	211,666	178,749
Nassau	283,610	75,000	3,601,818	1,200,606	4,802,424	3,676,818
Niagara	47,641	47,641	605,036	201,679	806,715	652,677
Oneida	52,282	52,282	663,976	221,326	885,302	716,258
Onondaga	91,166	75,000	1,157,799	385,933	1,543,732	1,232,799
Ontario	23,803	23,803	302,296	100,766	403,062	326,099
Orange	59,933	59,933	761,143	253,715	1,014,858	821,076
Orleans	8,698	20,000	158,749	52,917	211,666	178,749
Oswego	22,299	22,299	283,195	94,399	377,594	305,494
Otsego	14,323	20,000	181,901	60,634	242,535	201,901
Putnam	18,429	20,000	234,046	78,016	312,062	254,046
Rensselaer	31,155	31,155	395,665	131,889	527,554	426,820
Rockland	59,153	59,153	751,237	250,413	1,001,650	810,390
St. Lawrence	21,907	21,907	278,217	92,739	370,956	300,124
Saratoga	43,943	43,943	558,072	186,024	744,096	602,015
Schenectady	31,758	31,758	403,323	134,441	537,764	435,081
Schoharie	7,560	20,000	158,749	52,917	211,666	178,749
Schuyler	4,386	20,000	158,749	52,917	211,666	178,749
Seneca	7,717	20,000	158,749	52,917	211,666	178,749
Steuben	21,915	21,915	278,318	92,773	371,091	300,233
Suffolk	285,071	75,000	3,620,373	1,206,791	4,827,164	3,695,373
Sullivan	16,666	20,000	211,656	70,552	282,208	231,656
Tioga	11,221	20,000	158,749	52,917	211,666	178,749
Tompkins	16,042	20,000	203,732	67,911	271,643	223,732
Ulster	39,054	39,054	495,982	165,328	661,310	535,036
Warren	15,913	20,000	202,093	67,365	269,458	222,093
Washington	13,633	20,000	173,138	57,713	230,851	193,138
Wayne	19,328	20,000	245,464	81,822	327,286	265,464
Westchester	192,309	75,000	2,442,305	814,102	3,256,407	2,517,305
Wyoming	8,211	20,000	158,749	52,917	211,666	178,749
Yates	5,913	20,000	158,749	52,917	211,666	178,749
New York City	1,407,635	375,000	17,876,813	5,958,938	23,835,751	18,251,813
Seneca Nation	1,608	20,000	158,749	52,917	211,666	178,749
St. Regis Mohawk	447	20,000	158,749	52,917	211,666	178,749
<b>TOTAL</b>	<b>3,684,203</b>	<b>\$2,212,150</b>	<b>\$47,907,850</b>	<b>\$15,969,312</b>	<b>\$63,877,162</b>	<b>\$50,120,000</b>

NEW YORK STATE OFFICE FOR THE AGING  
**COMMUNITY SERVICES FOR THE ELDERLY PROGRAM**  
 TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2017-18

PI: 16-PI-20  
 Date: 9.29.16

County	2010 Population 60+	Planning Implemen- tation	Community Services Project Funding			TOTAL State	
			State Services Base Alloc.	Local	Add'l \$3.5 million		
ALBANY	60,195	\$60,195	\$376,410	\$125,470	\$56,735	\$558,615	\$493,340
ALLEGANY	10,426	20,000	65,195	21,732	9,827	96,754	95,022
BROOME	44,485	44,485	278,173	92,725	41,928	412,826	364,586
CATTARAUGUS	15,918	20,000	99,539	33,180	15,003	147,722	134,542
CAYUGA	17,062	20,000	106,691	35,564	16,081	158,336	142,772
CHAUTAUQUA	30,565	30,565	191,128	63,710	28,808	283,646	250,501
CHEMUNG	19,339	20,000	120,931	40,311	18,227	179,469	159,158
CHENANGO	11,797	20,000	73,768	24,590	11,119	109,477	104,887
CLINTON	15,552	20,000	97,249	32,417	14,658	144,324	131,907
COLUMBIA	16,219	20,000	101,421	33,807	15,287	150,515	136,708
CORTLAND	9,246	20,000	57,817	19,273	8,714	85,804	86,531
DELAWARE	12,947	20,000	80,959	26,987	12,203	120,149	113,162
DUTCHESS	57,062	57,062	356,818	118,940	53,782	529,540	467,662
ERIE	197,246	75,000	1,233,414	411,138	185,908	1,830,460	1,494,322
ESSEX	9,835	20,000	61,500	20,500	9,270	91,270	90,770
FRANKLIN	9,358	20,000	58,518	19,506	8,820	86,844	87,338
FULTON	12,488	20,000	78,090	26,030	11,770	115,890	109,860
GENESEE	12,908	20,000	80,717	26,906	12,166	119,789	112,883
GREENE	11,971	20,000	74,857	24,953	11,283	111,093	106,140
HAMILTON	1,568	20,000	50,025	16,675	7,540	74,240	77,565
HERKIMER	15,022	20,000	93,935	31,312	14,158	139,405	128,093
JEFFERSON	18,408	20,000	115,109	38,370	17,350	170,829	152,459
LEWIS	5,557	20,000	50,025	16,675	7,540	74,240	77,565
LIVINGSTON	12,840	20,000	80,291	26,764	12,102	119,157	112,393
MADISON	14,426	20,000	90,208	30,070	13,597	133,875	123,805
MONROE	145,640	75,000	910,713	303,571	137,269	1,351,553	1,122,982
MONTGOMERY	11,394	20,000	71,249	23,750	10,739	105,738	101,988
NASSAU	283,610	75,000	1,773,464	591,155	267,308	2,631,927	2,115,772
NIAGARA	47,641	47,641	297,907	99,303	44,903	442,113	390,451
ONEIDA	52,282	52,282	326,928	108,976	49,277	485,181	428,487
ONONDAGA	91,166	75,000	570,077	190,026	85,926	846,029	731,003
ONTARIO	23,803	23,803	148,845	49,615	22,435	220,895	195,083
ORANGE	59,933	59,933	374,772	124,924	56,488	556,184	491,193
ORLEANS	8,698	20,000	54,391	18,131	8,198	80,720	82,589
OSWEGO	22,299	22,299	139,440	46,480	21,017	206,937	182,756
OTSEGO	14,323	20,000	89,565	29,855	13,500	132,920	123,065
PUTNAM	18,429	20,000	115,240	38,414	17,370	171,024	152,610
RENSSELAER	31,155	31,155	194,818	64,940	29,364	289,122	255,337
ROCKLAND	59,153	59,153	369,895	123,299	55,753	548,947	484,801
ST. LAWRENCE	21,907	21,907	136,988	45,663	20,648	203,299	179,543
SARATOGA	43,943	43,943	274,784	91,595	41,417	407,796	360,144
SCHENECTADY	31,758	31,758	198,589	66,197	29,933	294,719	260,280
SCHOHARIE	7,560	20,000	50,025	16,675	7,540	74,240	77,565
SCHUYLER	4,386	20,000	50,025	16,675	7,540	74,240	77,565
SENECA	7,717	20,000	50,025	16,675	7,540	74,240	77,565
STEUBEN	21,915	21,915	137,038	45,680	20,655	203,373	179,608
SUFFOLK	285,071	75,000	1,782,600	594,200	268,685	2,645,485	2,126,285
SULLIVAN	16,666	20,000	104,215	34,739	15,708	154,662	139,923
TIOGA	11,221	20,000	70,167	23,389	10,576	104,132	100,743
TOMPKINS	16,042	20,000	100,313	33,438	15,120	148,871	135,433
ULSTER	39,054	39,054	244,212	81,404	36,809	362,425	320,075
WARREN	15,913	20,000	99,507	33,169	14,998	147,674	134,505
WASHINGTON	13,633	20,000	85,250	28,417	12,849	126,516	118,099
WAYNE	19,328	20,000	120,862	40,288	18,217	179,367	159,079
WESTCHESTER	192,309	75,000	1,202,543	400,848	181,255	1,784,646	1,458,798
WYOMING	8,211	20,000	51,345	17,115	7,739	76,199	79,084
YATES	5,913	20,000	50,025	16,675	7,540	74,240	77,565
NYC	1,407,635	375,000	8,802,195	2,934,065	1,326,728	13,062,988	10,503,923
SEN. NATION	1,608	20,000	50,025	16,675	7,540	74,240	77,565
ST. REGIS	447	20,000	50,025	16,675	7,540	74,240	77,565
<b>TOTAL</b>	<b>3,684,203</b>	<b>\$2,212,150</b>	<b>\$23,220,850</b>	<b>\$7,740,301</b>	<b>\$3,500,000</b>	<b>\$34,461,151</b>	<b>\$28,933,000</b>

**WELLNESS IN NUTRITION**

## TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2017-18

<u>County</u>	<u>Allocation</u>
Albany	\$478,417
Allegany	203,942
Broome	265,301
Cattaraugus	213,908
Cayuga	211,101
Chautauqua	256,548
Chemung	216,232
Chenango	203,985
Clinton	206,964
Columbia	208,342
Cortland	202,641
Delaware	205,566
Dutchess	265,912
Erie	1,103,608
Essex	202,762
Franklin	206,104
Fulton	208,044
Genesee	204,950
Greene	204,348
Herkimer	211,641
Jefferson	214,163
Lewis	141,186
Livingston	144,803
Madison	205,038
Monroe	593,894
Montgomery	209,232
Nassau	1,056,370
Niagara	269,333
Oneida	473,791
Onondaga	503,025
Ontario	209,235
Orange	467,121
Orleans	200,823
Oswego	214,821
Otsego	207,395
Putnam	144,612
Rensselaer	252,012
Rockland	260,334
St Lawrence	218,836
Saratoga	217,082
Schenectady	252,980
Schoharie	142,086
Schuyler	138,691
Seneca	141,978
Steuben	216,730
Suffolk	980,387
Sullivan	211,226
Tioga	143,229
Tompkins	204,941
Ulster	256,020
Warren/Hamilton	207,015
Washington	205,327
Wayne	209,370
Westchester	1,046,568
Wyoming	142,967
Yates	140,947
New York City	10,820,867
Seneca Nation	69,109
St Regis Mohawk	69,140
<b>Total</b>	<b><u>\$27,283,000</u></b>

## CONGREGATE SERVICES INITIATIVE PROGRAM

## TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2017-18

<u>PLANNING AND SERVICE AREA</u>	<u>Population 60 Plus</u>	<u>2016-17 Allocation</u>	<u>Local 25%</u>
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
<b>TOTAL</b>	<b>3,684,203</b>	<b>\$403,000</b>	<b>\$134,359</b>

## STATE TRANSPORTATION PROGRAM

## TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2017-18

<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
STEBEN	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

3,684,203\$1,121,000

## TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2017-18

<u>Area Agency</u>	<u>ACL Allocation</u>	<u>NYS Allocation</u>	<u>Total</u>
ALBANY	\$18,776	\$13,901	\$32,677
ALLEGANY	18,776	13,901	32,677
BROOME	18,776	13,901	32,677
CATTARAUGUS	18,776	13,901	32,677
CAYUGA	18,776	13,901	32,677
CHAUTAUQUA	18,776	13,901	32,677
CHEMUNG	18,776	13,901	32,677
CHENANGO	18,776	13,901	32,677
CLINTON	18,776	13,901	32,677
COLUMBIA	18,776	13,901	32,677
CORTLAND	18,776	13,901	32,677
DELAWARE	18,776	13,901	32,677
DUTCHESS	18,776	13,901	32,677
ERIE	48,246	13,901	62,147
ESSEX	18,776	13,901	32,677
FRANKLIN	18,776	13,901	32,677
FULTON	18,776	13,901	32,677
GENESEE	18,776	13,901	32,677
GREENE	18,776	13,901	32,677
HERKIMER	18,776	13,901	32,677
JEFFERSON	18,776	13,901	32,677
LEWIS	18,776	13,901	32,677
LIVINGSTON	18,776	13,901	32,677
MADISON	18,776	13,901	32,677
MONROE	29,788	13,901	43,689
MONTGOMERY	18,776	13,901	32,677
NASSAU	56,418	15,786	72,204
NIAGARA	18,776	13,901	32,677
ONEIDA	18,776	13,901	32,677
ONONDAGA	19,769	13,901	33,670
ONTARIO	18,776	13,901	32,677
ORANGE	18,776	13,901	32,677
ORLEANS	18,776	13,901	32,677
OSWEGO	18,776	13,901	32,677
OTSEGO	18,776	13,901	32,677
PUTNAM	18,776	13,901	32,677
RENSSELAER	18,776	13,901	32,677
ROCKLAND	18,776	13,901	32,677
ST. LAWRENCE	18,776	13,901	32,677
SARATOGA	18,776	13,901	32,677
SCHENECTADY	18,776	13,901	32,677
SCHOHARIE	18,776	13,901	32,677
SCHUYLER	18,776	13,901	32,677
SENECA	18,776	13,901	32,677
STEUBEN	18,776	13,901	32,677
SUFFOLK	51,515	14,414	65,929
SULLIVAN	18,776	13,901	32,677
TIOGA	18,776	13,901	32,677
TOMPKINS	18,776	13,901	32,677
ULSTER	18,776	13,901	32,677
WARREN/HAMILTON	37,552	13,901	51,453
WASHINGTON	18,776	13,901	32,677
WAYNE	18,776	13,901	32,677
WESTCHESTER	40,397	13,901	54,298
WYOMING	18,776	13,901	32,677
YATES	18,776	13,901	32,677
NYC	451,212	126,246	577,458
SENECA NATION	9,388	6,950	16,338
ST. REGIS	9,388	6,950	16,338
TOTAL	<u>\$1,673,697</u>	<u>\$921,000</u>	<u>\$2,594,697</u>

## NEW YORK STATE OFFICE FOR THE AGING

PI: 16-PI-20

**CAREGIVER ASSISTANCE PROGRAM**

Date: 9.29.16

## SFY 2017-18 TENTATIVE ALLOCATION SCHEDULE

<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	19,611
Total of CRCs	\$333,387
Statewide Caregiver Program	<u>19,613</u>
Total	<u>\$353,000</u>

<u>County</u>	<u>2016-17 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
<b>Total</b>	<b>\$7,400,000</b>

## TITLE V

## OLDER AMERICAN COMMUNITY SERVICE EMPLOYMENT PROGRAM

TENTATIVE ALLOCATION SCHEDULE  
PROGRAM PERIOD 7/1/2017 TO 6/30/2018

<u>COUNTY</u>	<u>POSITIONS</u>	<u>ALLOCATION</u>
Albany	9	\$82,850
Allegany	0	0
Broome	0	0
Cattaraugus	0	0
Cayuga	0	0
Chautauqua	4	36,822
Chemung	0	0
Chenango	0	0
Clinton	10	92,055
Columbia	0	0
Cortland	3	27,617
Delaware	0	0
Dutchess	0	0
Erie	29	266,961
Essex	5	46,028
Franklin	9	82,850
Fulton	4	36,822
Genesee	3	27,617
Greene	0	0
Herkimer	0	0
Jefferson	3	27,617
Lewis	4	36,822
Livingston	0	0
Madison	0	0
Monroe	17	156,494
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	5	46,028
St. Lawrence	3	27,617
Saratoga	4	36,822
Schenectady	3	27,617
Schoharie	0	0
Schuyler	0	0
Seneca	0	0
Steuben	0	0
Suffolk	0	0
Sullivan	4	36,822
Tioga	6	55,233
Tompkins	3	27,617
Ulster	0	0
Warren/Hamilton	0	0
Washington	0	0
Wayne	4	36,822
Westchester	35	322,194
Wyoming	3	27,617
Yates	3	27,617
New York City	388	3,571,750
Seneca Nation	0	0
St Regis Mohawk	0	0
<b>TOTAL</b>	<b>589</b>	<b>\$5,422,066</b>