

NEW YORK STATE OFFICE FOR THE AGING

2 Empire State Plaza, Albany, NY 12223-1251

Andrew M. Cuomo, Governor

Greg Olsen, Acting Director

An Equal Opportunity Employer

PROGRAM INSTRUCTION

Number 19-PI-25

Supersedes 18-PI-23

Expiration Date

DATE: October 09, 2019

TO: Area Agency on Aging Directors

SUBJECT: 2020-24 Four Year Plan

PURPOSE:

To transmit the 2020-24 Four Year Plan for the period 4/1/20-3/31/24 (hereafter referred to as the Plan) and Guide for Completion (hereafter referred to as the Guide) for Titles III-B, III-C-1, III-C-2, III-D, III-E, Expanded In-home Services for the Elderly Program (EISEP), Community Services for the Elderly (CSE), Congregate Services Initiative (CSI), Wellness in Nutrition (WIN), Unmet Need, 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 Four Year Plan including the Applications for Funding, Personnel Roster, Equipment Schedule, Rent Allocation Schedule, Contractor Roster and all appropriate Attachments by Friday, **December 13, 2019**.

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). Each AAA receives resources through State and federal funds 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 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 Plan 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 Four Year Plan.

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. Consideration must be given to the manner in which materials are made available to ensure that all documents are accessible. Accessibility considerations include the ability to meet the unique needs of individuals with disabilities and individuals who are Limited English Proficient so that everyone may be able to fully participate in the process (see 17-PI-21 and 12-PI-08 for more information).

AAAs are required to make the proposed Plan or an abstract containing the program goals, objectives, action steps and proposed budget available to the public within a reasonable amount of time prior to the public hearing. Accomplishing this may include posting the documents on the AAA website, mailing the summary to their constituency or working with a local newspaper to include the summary as part of a story prior to the hearing.

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

Consideration must be given to the accessibility of the location when planning the public hearing. Accessibility considerations should include an Americans with Disabilities Act compliant location, a location accessible by public transportation, etc. Please see 17-PI-21 for more information.

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 all individuals in the planning process.

AREA AGENCY ADVISORY COUNCIL:

The AAA Advisory Council is required to have an opportunity to review and comment on the Plan before it 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.

TENTATIVE ALLOCATIONS:

Tentative allocation schedules for use in completing the 2020-24 Four Year Plan are included in this Program Instruction. The tentative allocations were prepared assuming that NYSOFA will receive the same amount of State and Federal funding for all programs whose funding applications are included in the Plan. All tentative awards are subject to change based on appropriated funding in the final 2020-21 State and federal Budgets. The tentative allocation schedule for Unmet Need will be forthcoming.

The 2020-21 tentative allocation schedules for Title III-C-1, Title III-C-2, Title III-D and Title III-E have been prepared based upon the 2019-20 final award amounts before supplement, as reflected in 19-PI-12, dated May 23, 2019. In addition, the Title III-B tentative allocation schedule has been adjusted to set aside the funds required to support the statewide data collection system (PeerPlace), the Association on Aging NY grant, the Center for Aging & Disability Education Research Initiative, and to meet the Maintenance of Effort requirement associated with the Long Term Care Ombudsman Program. The Title III-C-1 tentative allocation schedule has also again been prepared with a set-aside for the New York State Department of Health observations at nutrition sites, surveillance activities and Sanitation Trainings.

Nutrition Services Incentive Program (NSIP) Rate: AAAs should budget for the NSIP program based upon their final NSIP allocation amount for the 10/1/18-9/30/19 grant period. The sum of all NSIP funding entries across all programs should equal the amount of the AAA's final allocation. The amount of eligible meals served (both budgeted and actual) can fluctuate from year to year, so the NSIP rate per meal can vary. However, if the amount of NSIP eligible meals reported by AAAs remains constant from the prior year an NSIP rate of **74 cents per meal** should be expected.

CONDITIONAL GRANT AWARDS:

To help ensure consistent and complete spending of State funding, advance payments will once again be processed under the EISEP, CSE, and WIN programs for all AAAs. Upon enactment of the 2020-21 State budget all AAAs with approved Four Year Plans will be issued final State Notifications of Grant Award (NGAs) for the EISEP, CSE, WIN and Unmet Need programs. All AAAs with Four Year Plans in process will receive conditional NGAs for the EISEP, CSE, WIN and Unmet Need programs. NYSOFA will prepare the advance claims soon after the enactment of the 2020-21 State budget, with claim amounts based upon the tentative allocation schedules

AAAs may request conditional 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 2020 under these programs, prior to NYSOFA approval of the AAA's Four Year Plan.

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

1. The Four Year Plan 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 Title III 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 Title III NGAs. Conditional NGAs will be issued after the Plan has received initial review and appears approvable, with relatively minor adjustment(s) and NYSOFA receives its Title III allotment from AoA/ACL for FFY 2020. 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 might not be granted.

WEB-BASED APPLICATIONS:

AAAs are required to complete the web-based forms through the reporting web link (<http://www.reporting.aging.ny.gov>) and submit them electronically to NYSOFA. These interactive forms will be available on or about **October 10, 2019**.

SUBMISSION REQUIREMENTS:

On or before **December 13, 2019**, AAAs are required to submit the completed Four Year Plan 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:

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

CONTACT PERSON:

Aging Services Representatives
Senior Accountant (Trainee)/Grants Administrator

NEW YORK STATE OFFICE FOR THE AGING 2020-24 FOUR YEAR PLAN

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FOUR YEAR PLAN REVIEW AND APPROVAL

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

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

Program	Program Period	Program Applied For
Title III-B	January 1, 2020 to December 31, 2020	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-C	January 1, 2020 to December 31, 2020	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-D	January 1, 2020 to December 31, 2020	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	January 1, 2020 to December 31, 2020	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
WIN	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
Unmet Need	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

I also certify that this organization is not currently suspended or debarred as defined in 2 CFR part 376.

Signature of Director of Area Agency on Aging Print/Type Name Date

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

Print/Type Name Print/Type Title

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
Print/Type Name
this _____ (county/City of New York/Native American Organization), do hereby certify
that:

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

[] Community Services for the Elderly Program

[] Expanded In-home Services for the Elderly Program.

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

Signature (Use ink. "per" signature not acceptable) Print/Type Title Date

FOUR YEAR PLAN REVIEW AND APPROVAL

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

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

Program	Program Period	Program Applied For
Title III-B	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-C	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-D	January 1, 2020 to December 31, 2020	<input type="checkbox"/> Yes <input type="checkbox"/> No
Title III-E	_____ to _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
EISEP	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSE	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
CSI	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
WIN	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
Unmet Need	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
Transportation	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
CRC	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No
HIICAP	April 1, 2020 to March 31, 2021	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

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

I also certify that this organization is not currently suspended or debarred as defined in 2 CFR part 376.

Signature of Director of Area Agency on Aging Print/Type Name Date

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

Print/Type Name Print/Type Title

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
Print/Type Name
this _____ (county/City of New York/Native American Organization), do hereby certify that:

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

[] Community Services for the Elderly Program

[] Expanded In-home Services for the Elderly Program.

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

Signature (Use ink. "per" signature not acceptable) Print/Type Title Date

**2020-24 FOUR YEAR PLAN
APRIL 1, 2020-MARCH 31, 2024
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,
UNMET NEED,
STATE TRANSPORTATION PROGRAM,
CAREGIVER RESOURCE CENTER, and
HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM**

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

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

For County/City of New York/Native American Organization

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

OR

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

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

Official Authorized to Receive Payments on behalf of the AAA

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

**Submit To:
New York State Office for the Aging
Division of Local Program Operations
2 Empire State Plaza
Albany, NY 12223-1251**

Header for all pages:

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

GOALS

Complete the GOAL framework for each of the goals below and any additional goals added by the AAA.

See Goals section of Guide for Completion for instructions on how to complete the GOAL framework.

Goal 1

G Goal	Empower older New Yorkers, individuals with disabilities, their families and the public to make informed decisions about, and be able to access, existing health, long term services and supports and other service options.
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	[TO APPEAR IN ANNUAL UPDATES]

Goal 2

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

2020-24 Four Year Plan

A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal 3

G Goal	Empower older New Yorkers to stay active and healthy through Older Americans Act services and those offered under Medicare.
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal 4

G Goal	Integrate ACL discretionary grants (i.e. Lifespan Respite, MIPPA) with OAA Title III core programs.
O	

2020-24 Four Year Plan

Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal 5

G Goal	Promote the rights of older New Yorkers and prevent their abuse, neglect and exploitation.
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal 6

G Goal	Work in conjunction with other partners and the County to be prepared to respond in emergencies and disasters.
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2020-24 Four Year Plan

O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal 7

G Goal	Develop business acumen strategies to engage with and integrate into emerging health care delivery system transformation activities that foster outcomes-driven population health approaches.
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

2020-24 Four Year Plan

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

Goal 8

G Goal	
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal 9

G Goal	
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

DEMOGRAPHIC DATA AND TARGETING OBJECTIVES

	A. American Community Survey: 2013-2017 Five Year Estimates*	B. Total Number: Registered Clients**	C. Minimum number of Registered Clients to be Served Annually**	D. Number Registered Clients to be Served Annually**
1. Total number of persons 60 years and older in the PSA (Planning and Service Area):				
2. Total number of persons projected to be served annually under this Plan:				
3. *** Please provide a breakdown for the total on line 2 as follows:				
a)75-84 years				
b)85 years and older				
c)Live Alone				
Clients by Ethnicity				
d)Hispanic				
Clients by Race				
e)Native American/Alaskan Native				
f)Asian				
g)Black or African American				
h)White Hispanic				
i)White not Hispanic				
j)Native Hawaiian/Pacific Islander				
k)Other Race				
l)2 or More Races				
Clients by Key Characteristics				
m)Individuals with Disabilities				
n)Low Income (below 150% of poverty)				
o)Low Income Minority (below 150% of poverty)				
p)Limited English Proficiency				
q)Rural				

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

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

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

2020-24 Four Year Plan

4. Please describe specific planned outreach, public information, and other efforts designed to reach individuals with Alzheimer's disease and related dementias, institutionalized and those at risk for institutionalization as well as caregivers of these populations. Please be aware efforts must be sufficiently vast enough to describe activities spanning a four year time frame.

--

5. Please describe specific planned outreach, public information, and other efforts designed to reach low income and low income minority populations. Please be aware efforts must be sufficiently vast enough to describe activities spanning a four year time frame.

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6. Please describe specific planned outreach, public information, and other efforts designed to reach Asian and African American populations. (9 NYCRR §6651.2(i)(1)(c)(iii)) Please be aware efforts must be sufficiently vast enough to describe activities spanning a four year time frame.

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7. Please specify how the AAA plans to provide outreach to older adults in the Planning and Service Area with limited English proficiency.

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8. Please specify how the AAA plans to provide service access to those persons with limited English proficiency who seek services (e.g., language accessibility through contracted interpreter/translator, community organization links for translation, interpretation services, language interpretation phone line, etc.) as required by 12-PI-08.
(See *Guide* for further information.)

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

Name	Contact Number

10. Provide the amount that the AAA is projecting to spend on language accessibility services annually for the Plan period in the box below. The amount entered in the box below must equal the total of the amounts entered on each of the individual program budgets, **SUPPORTING BUDGET SCHEDULES**, Section 6. 'Other Expenses', line F. 'Language Access Services'.

Projected Annual Costs for Language Accessibility Services	
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If the AAA has access to language access services at no cost to the AAA, please describe the arrangement.

--

11. Please specify how the AAA plans to provide accessible programs and services (ex: accessible transportation for those with mobility impairments) as required by the Americans with Disabilities Act.

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12. How does the AAA plan to provide services/programs, including any modifications to services provision, to respond to the needs/preferences of target populations? (Ex: modify menus to include dietary needs/preferences of specific groups, offering EBI in prevalent languages of the PSA, hosting of LGBT activities at AAA sites, providing dementia-capable staff training etc.)

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NEEDS ASSESSMENT & PLANNING PROCESS

In completing this section, review 14-TAM-02 and the Guide for Completion.

DATA COLLECTION and ANALYSIS

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

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

1b. Briefly describe the reason(s) why the data collection method(s) checked in Item #1a was/were selected. Be sure to indicate the particular method(s) selected as a strategy for reaching unserved and underserved older adults in greatest social or economic need, including but not limited to those older adults who are:

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

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

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

--

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

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

Total:	
Estimated number of total who are AAA clients :	Estimated number of total who are non-clients:

5a. Briefly summarize what the AAA's analysis of the Needs Assessment, including needs information provided by NYSOFA, revealed.

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5b. Summarize any additional information (local issues or themes) identified through the needs assessment process.

(Examples might include expanding coordination among aging service providers in PSA, loss of medical facilities, decrease in service providers, migration of older adults and quality of life issues such as: safety, loneliness, home modifications, health and wellness, need for assistive devices, multi-lingual materials and translations.)

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6. In reflecting on the Needs Assessment conducted for this Four Year Plan, what has the AAA learned about conducting a successful Needs Assessment and how does the AAA plan to conduct the next Needs Assessment (i.e. improving reach, coordinating with other entities engaged in assessing community needs).

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NEEDS IDENTIFIED, SERVICE PRIORITIES & STRATEGIES

7. Needs identified through Needs Assessment. AAA to complete planning roster below for three or more needs which have been determined to be a priority for the AAA through the needs assessment process (both the process conducted by the AAA and additional information on needs provided by NYSOFA).

Name Need (for Roster)	
Description of need	
Domain(s)/ Category(ies)	<input type="checkbox"/> Transportation <input type="checkbox"/> Housing <input type="checkbox"/> Community and Health Services (includes: Insurance, Nutrition) <input type="checkbox"/> Social Participation <input type="checkbox"/> Respect and Social Inclusion <input type="checkbox"/> Communication and Information <input type="checkbox"/> Civic Participation and Employment <input type="checkbox"/> Outdoor Spaces and Buildings
Statement of goals and objectives and plan to address need over next four years (i.e. developing, expanding or modifying services; increasing efficiency; coordinating across service delivery types; participation in interagency meetings, committees and boards; coordinating funding proposals with other organizations; establishing linkages with other agencies; increasing the availability of dementia-capable services and supports to individuals with Alzheimer's disease and related dementias and their caregivers.)	
How the plan described above focuses on older adults in greatest social or economic need	
Identify public and private resources providing community services in the PSA that meet this need, and description of intended actions to coordinate with these resources	
Plan to monitor progress and evaluate effectiveness in meeting need	
Update	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

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8. Unmet Need: Complete the following table for existing AAA services.

Service	Service Not Offered (X in cell to indicate)	No Wait List Maintained (X in cell to indicate)	List Maintained; Currently Zero (0) on List (X in cell to indicate)	List Maintained; Current Number Waiting (enter number in cell)
PC II				
PC I				
Home Health Aide				
Home Delivered Meals				
Adult Day Services				
Case Management				
Congregate Meals				
Nutrition Counseling				
Assisted Transportation				
Transportation				
Legal Assistance				
In-Home Contact & Support				
Senior Center/ Recreation & Education				
Health Promotion – Not Evidence-Based				
Health Promotion – Evidence-Based				
Personal Emergency Response System (PERS)				
Caregiver Counseling				
Caregiver Support Groups				
Caregiver Training				
Assistive Device/Equipment				
Home Modification				
Residential Repair & Maintenance				
Respite – Group Respite				
Respite – Overnight Adult Home				
Respite – Overnight Nursing Home				
Volunteer Services Program - RSVP				
Other:				
Other:				

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9. Describe how the AAA plans to utilize CSE funding to address service needs identified in the needs assessment, including through the improved coordination of existing community services for older adults in the 2020-24 Plan period and by the development of any new or expanded community service projects.

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10. Describe how the AAA will support efficient operations, effective service delivery and performance and quality improvement (i.e. through technology, modification of internal procedures, utilization of volunteers, development of additional funding/income, provision of dementia-capable staff training.)

--

11. Describe the AAA Advisory Council's role in the needs assessment process and summarize the Advisory Council's input or recommendations on service population priorities and strategies to address service needs identified in the needs assessment.

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PUBLIC HEARINGS/AREA AGENCY ON AGING ADVISORY COUNCIL

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

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] [submit copy of notice with Plan]

YES [] *NO []

Date of notice publication: _____

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

YES [] *NO []

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

YES [] *NO []

1e. **NEW YORK CITY ONLY:** Was at least one Public Hearing as described herein held in each borough at least 30 days prior to the submission of the Four Year Plan?

YES [] *NO []

If *NO to any of the above please explain:

--

2. Describe specific strategies used in this annual planning cycle to seek 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 disease and related dementias (OAA)
- Individuals with disabilities (OAA)
- Caregivers of individuals with Alzheimer's/related dementias 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)

Examples of specific strategies might include: advertisement in LGBT group newsletter, notice of hearing delivered to HDM recipients, hearing held at ILC or other target group's gathering place, advertisement in rural communities where older adults congregate such as local coffee shop, etc.

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? Are sites rotated throughout Planning and Service Area?)

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

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

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

3e. Please describe attempts to solicit input from the public using the individual's preferred mode of communication. (Ex: comment at hearing, written comment via mail or email, use of telephonic interpretation services i.e. relay, Language Line or similar; American Sign Language, 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 Four Year Plan outside of the public hearings, e.g. written comments, virtual meetings? Please explain.

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

_____ Not applicable, no major change(s)

8. Indicate AAA Public Hearing plans for the next Four Years. Elements should include: rotation of site(s) throughout Planning and Service Area, timing, notification of the public, increasing engagement/attendance, increasing accessibility, ensuring hearing will be free from barriers of pre-registration or fees.

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

Date: _____

Summarize the comments of the Advisory Council.

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DISASTER PREPAREDNESS AND RESPONSE

AAAs are required to coordinate activities and develop long range emergency preparedness plans with local and State response agencies, relief organizations, and others that have responsibility for disaster relief services within the PSA. This planning would take into account the needs and preferences of older adults who may or may not be AAA clients.

1. Describe in detail the activities in which the AAA will participate to develop, maintain, and implement disaster preparedness plans in the planning and service area for both clients and non-client older adults. (Examples of activities could include: ongoing participation in county-wide disaster planning teams, distribution of emergency preparedness checklists, hosting community disaster preparedness events, etc.).

2. Please indicate the AAA's disaster preparedness partners such as local emergency response agencies, relief organizations, local government entities, and any other institutions that have primary responsibility for disaster relief services.

- ☐ County Emergency Management/Emergency Operations Center (EOC)
 - ☐ Red Cross
 - ☐ First Responders (Fire/Police/Ambulance/Sheriff)
 - ☐ Local School District
 - ☐ Faith-based groups
 - ☐ County Health Department
 - ☐ Hospitals and Skilled Nursing Facilities
 - ☐ Alzheimer's Association
- Other: _____

3. Will the AAA have a desk (seat at the table) at the County Emergency Operations Center (EOC)?

_____Yes _____No

If yes, what specific role will the AAA play during activations and/or emergencies?

If no, what steps will the AAA take to contact the County EOC Coordinator and arrange for training, information sharing or other activities that would help to blend AAA disaster plans into the County efforts?

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4. What disaster preparedness training will AAA Staff (including the Director) receive from the EOC or other sources? (This could include locally developed EOC training and/or on-line FEMA training.)

5. What procedures will be in place to anticipate and meet the needs of older adults with access and functional needs (including individuals with disabilities and individuals with Alzheimer's disease and related dementias) during a disaster?

6. Does the AAA maintain a registry (open to the entire planning and service area, not limited to AAA clients) of individuals 60 years of age and older with access and functional needs (including individuals with disabilities and individuals with Alzheimer's disease and related dementias) in the AAA's planning and service area that would require contact by emergency services in the event of a disaster?

YES ___ *NO___

If *no, does another entity maintain a registry (open to the entire planning and service area, not limited to AAA clients) of individuals 60 years of age and older with access and functional needs (including individuals with disabilities and individuals with Alzheimer's disease and related dementias) in the AAA's planning and service area that would require contact by emergency services in the event of a disaster?

*YES ___ NO___

If *yes, specify the entity maintaining the registry and describe the role, if any, that the AAA plays regarding this effort:

7. Will the AAA use the Emergency Preparedness Workflow Path/Module in the Statewide Client Data System to help identify individuals that need assistance during a disaster?

_____Yes _____No

8. What is the AAA's procedure to conduct "wellness checks" on vulnerable older adults when there are disruptions in services – such as canceled home delivered meals - or other weather/emergency events? If there is not currently a procedure in place, describe actions to be taken to establish a procedure.

SENIOR CENTERS/DESIGNATED FOCAL POINTS ROSTER

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

SENIOR CENTERS

Include all Senior Centers in the Planning and Service Area, whether they are funded or operate independently of the AAA.

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

Name /Address/phone number/email address of Senior Center	Site is also a Focal Point for AAA Service Delivery (see Focal Point definition below)		AAA funds service delivery at this location		For Senior Centers: The following services are provided on-site (indicate even if not a service funded by the AAA):
	YES	NO	YES	NO	<input type="checkbox"/> Health Related (exercise, health promotion, etc.) <input type="checkbox"/> Educational (lectures, classes on various subject areas, discussion groups, etc.) <input type="checkbox"/> Recreational (games, trips, concerts, etc.) <input type="checkbox"/> Nutrition Related (meal site, nutrition counseling/education) <input type="checkbox"/> Supportive Services (benefits counseling, transportation, caregiver support, legal assistance, etc.)

ADDITIONAL (Non-Senior Center) FOCAL POINTS

(Include NY Connects; do not include community locations already in Senior Center Roster above)

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

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

Name /Address/phone number/email address of Focal Point

NUTRITION SERVICES

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

1a. Total number of Registered Dietitian (RD)/Registered Dietitian Nutritionist (RDN) service hours per week projected for the Plan period_____

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

1c. Total number of hours provided by any other professional nutrition staff (AAA staff or AAA consultant(s)) including Certified Dietitians/Nutritionists (CDNs); Certified Clinical Nutritionists (CCNs); Nutrition and Dietetic Technician, Registered (NDTR) Technicians; and others _____.

Please identify the title(s) of Staff included in this total: _____

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

	*YES	NO
Nutrition Program Coordinator		
Registered Dietitian/Certified Dietitian Nutritionist		

If ***YES** was indicated for a long term vacancy, describe the plan for meeting the requirements of the nutrition program until the position(s) are filled.

2. Nutrition Counseling services: Please describe how the AAA will deliver Nutrition Counseling services to both Home Delivered Meal and Congregate Meal clients who would benefit from this service, including those that may be at nutritional risk.

3. Nutrition Education: Please describe how the AAA will deliver Nutrition Education to congregate sites and to those receiving Home Delivered Meals.

4. Number of Preparation Kitchens within the Planning and Service Area: _____

(The number displayed (on electronic document) is the total number of Preparation Kitchens in the Meal Sites Roster in Reporting. To update the Meal Sites Roster, and therefore adjust this number, click here (on electronic document).)

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

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

7. GOALS

See Goals section of Guide for Completion for instructions on how to complete the GOAL framework.

G Goal	<i>AAA will sustain a robust Congregate Meal program which is responsive to the needs and preferences of older adults in the Planning and Service Area.</i>
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

G Goal	<i>AAA will sustain a robust Home Delivered Meal program which is responsive to the needs and preferences of older adults in the Planning and Service Area.</i>
O Objective(s)	

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A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

HEALTH PROMOTION SERVICES

Title III-D funding may only be expended for evidence-based health promotion programs/interventions. See 15-PI-18.

1. Evidence-Based Health Promotion: For each evidenced-based health promotion program the AAA provides (or plans to provide) either directly or through contract, utilizing any funding source, please provide the requested information.

Evidence-based program (programs in drop-down menu have been pre-approved for III-D)	Local program name (i.e. alternate name used for marketing)	List all funding sources	Receiving/ Seeking outside reimbursement? (i.e. health systems/ insurers)	Implementation Status	Directly Provided or Contracted	Expected number of unduplicated participants annually
				Radio Button either: - AAA currently offers this program, or has in past. - AAA plans to offer this program in next four years (but has not yet offered)	Select one or both: - Directly Provided - Contracted If Contracted: list entity(ies): _____ _____	

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

- ☐ Evidence Informed – Indicate Program: _____
- ☐ Fall Prevention/Home Injury Control
- ☐ Health Information
- ☐ Health/Mental Health Screening
- ☐ Medicare Preventive Services Education/Promotion
- ☐ Medication Management
- ☐ Mental Health Services
- ☐ Physical Fitness Programs
- ☐ Preventive Nutrition Services
- ☐ Vaccination Clinic
- ☐ Other (briefly describe) _____

* MIPPA can only fund Medicare Preventive Services Education/Promotion in this list

3. GOALS

See Goals section of Guide for Completion for instructions on how to complete the GOAL framework.

G Goal	<i>Develop partnerships/strategic plan for delivery of evidence-based health promotion programs during the Four Year Plan Period (e.g. Value Based Payment, health insurers, foundations, co-implementation with neighboring AAAs, partnerships with community organizations, public health departments and others.)</i>
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

SUPPORTS FOR CAREGIVERS

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

The National Family Caregiver Support Programs (NFCSP) provides critical services to adult family members or other informal caregivers (aged 18 and older) providing care to someone 60 years of age or older; someone of any age with Alzheimer's disease and related dementias; older relatives, who are not the parents, aged 55 and older providing care to children under age 18; and older relatives, including parents, aged 55 and older providing care to individuals with disabilities ages 18-59.

These services help support the caregiver providing care, and delay or avoid entry into a long term care setting by the care recipient.

Priority shall be given to:

- Caregivers who are older individuals with greatest social need, and older individuals with greatest economic need (in particular attention to low-income older individuals);
- Older relative caregivers of children with severe disabilities, or individuals with severe disabilities;
and
- Family caregivers who provide care for individuals with Alzheimer's disease and related dementias.

1. Describe how the AAA and their contractors will raise awareness of caregiving and supports available to caregivers, as well as provide culturally-relevant services to the following caregiver populations, with particular attention to the target groups identified through the 2016 reauthorization of the Older Americans Act:

- Individuals with limited English proficiency and caregivers from diverse racial and ethnic backgrounds, including Native American caregivers;
- Caregivers who are in the greatest economic and social need;
The term "greatest social need" means the need caused by non-economic factors, which include: (A) physical and mental disabilities; (B) language barriers; and (C) cultural, social, or geographical isolation, including isolation caused by racial or ethnic status, that - (i) restricts the ability of an individual to perform normal daily tasks; or (ii) threatens the capacity of the individual to live independently.
- Caregivers who provide care to persons with Alzheimer's disease and other dementias;
- Caregivers who provide care to persons at risk for institutionalization;
- Non-traditional family caregivers who may not be recognized as family; Lesbian, Gay, Bisexual and Transgender partners and individuals who are not legally married;
- Grandparents and relatives raising children; age 55 and older are eligible for services provided by the National Family Caregiver Support Program; and
- Older individuals caring for people, including children of all ages, with severe disabilities (including intellectual/developmental disabilities).

- 2. Services for Caregivers of Adults Who Are 60 and Over and Caregivers for Individuals of Any Age with Alzheimer’s Disease and Related Dementias:** Each of the five service categories must be available to caregivers in the Planning and Service Area through the AAA or contractors. Provide a response under each of the five service categories below.

NOTE: Please include services from all funding streams.

2a. Information to caregivers about available services -

Describe how service(s) under this category will be provided to caregivers.

2b. Assistance to caregivers in gaining access to services -

Describe how service(s) under this category will be provided to caregivers.

Specifically describe how screening and assessment of caregiver needs will be conducted in your PSA.

2c. Caregiver Services (Individual Counseling, Support Groups, Caregiver Training) -

Describe how service(s) under this category will be provided to caregivers.

Specifically describe the types of counseling, support groups and/or training (i.e. one-time or ongoing; one-to-one or group) that will be offered.

Identify any service limits that will be in place under this category.

Counseling

Caregiver Training(s)

Support Group(s)

2d. Respite Care -

Describe what respite options will be provided to caregivers. The respite service category must be used for the caregiver, while the service may be delivered to the care recipient. (e.g., Caregiver Directed Respite, Personal Care Levels I & II, Home Health Aide, Adult Day Services, In-home contact and support, Supervision/monitoring, Overnight Respite at a nursing home or assisted living residence, etc.)

Identify any service limits that will be in place under this category.

2e. Supplemental services, on a limited basis -

Describe how service(s) under this category will be provided to caregivers. Specifically describe the types of supplemental services that will be provided and the method that will be used to distribute these services. (i.e. Home Delivered Meals, Congregate Meals, Nutrition Counseling, Assisted Transportation/escort, Transportation, Legal Assistance, Health Promotion, Nutrition Education, Personal Emergency Response Systems, Other – for those services not separately identified)

Identify any service limits that will be in place under this category.

3. Optional Components of National Family Caregiver Support Program (NFCSP):

Services for caregiving grandparents and older relatives

NOTE: To be eligible for services, grandparents/older relative caregivers must be 55 years of age or older. Limited to ten percent of total available state, federal, local funding.

(Check only those services that apply):

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

☐ **The AAA plans to provide services to grandparents and/or older relative caregivers (doesn't include biological parents) of children age 18 or younger (including persons with disabilities)**

☐ **The AAA plans to provide services to grandparents and/or older relative caregivers (includes biological parents) who provide care to family members with disabilities between the ages of 19-59.**

3a. Information to grandparents and/or older relative caregivers about available services -

Describe how service(s) under this category will be provided to grandparents and/or older relative caregivers.

3b. Assistance to caregivers in gaining access to services -

Describe how service(s) under this category will be provided to grandparents and/or older relative caregivers.

Specifically describe how screening and assessment of grandparents and/or older relative caregivers' needs will be conducted in your area.

3c. Caregiver Services (Individual Counseling, Support Groups, Caregiver Training) -

Describe how service(s) under this category will be provided to grandparents and/or older relative caregivers.

Specifically describe the types of counseling, support groups and/or training (i.e. one-time or ongoing; one-to-one or group) that will be offered.

Identify any service limits that will be in place under this category.

Counseling

Caregiver Training(s)

Support Group(s)

3d. Respite Care -

Describe what respite options will be provided to grandparents and/or older relative caregivers. The respite service category must be used for the caregiver, while the service may be delivered to the care recipient. (i.e. Caregiver Directed Respite, Personal Care Levels I & II, Home Health Aide, Adult Day Services, In-home Contact and Support, Supervision/monitoring, Respite Education and Support Tools (REST), Overnight Respite at a Nursing Home, Assisted Living Residence, Summer Camp, etc.)

Identify any service limits that will be in place under this category.

--

3e. Supplemental services, on a limited basis -

Describe how service(s) under this category will be provided to grandparents and/or older relative caregivers.

Specifically describe the types of supplemental services that will be provided and the method that will be used to distribute these services. (i.e. Home Delivered Meals, Congregate Meals, Nutrition Counseling, Assisted Transportation/escort, Transportation, Legal Assistance, Health Promotion, Nutrition Education, Personal Emergency Response Systems, Other – for those services not separately identified)

Identify any service limits that will be in place under this category.

--

4. Caregiver Resource Center (CRC)

☐ **Not Applicable**, AAA is not one of the 17 State Funded CRC Programs (see Guide for Completion for list of 17 AAAs)

☐ **Applicable**, AAA is one of the 17 State Funded CRC Programs (see Guide for Completion for list of 17 AAAs)

CRC Goals and Objectives

- To provide a single focal point of assistance to family members and other informal caregivers.
- To provide training, support groups, counseling, and technical assistance to caregivers so they may continue in their caregiving roles.
- To link caregivers with AAA and other community-based services.

Eligibility: Family and other informal caregivers of a frail and/or disabled elderly individuals.

4a. The AAA has designated a physical location(s) as the CRC. YES ☐ NO ☐

4b. Components of Caregiver Resource Center (Check only those services that apply):

☐ **AAA plans to provide information to caregivers about available services –**

Describe how service(s) under this category will be provided to caregivers.

--

[] AAA plans to provide Caregiver Services (Individual Counseling, Support groups, Caregiver Training) -

Describe how service(s) under this category will be provided to caregivers.
Specifically describe the types of counseling, support groups and/or training (i.e. one-time or ongoing; one-to-one or group) that will be offered.

Counseling

--

Caregiver Training(s)

--

Support Group(s)

--

4c. Specify any special needs populations that will be served:

--

CASE MANAGEMENT

Case Management Standard Definition- (17-PI-30)

A comprehensive process that helps older persons with diminished functioning capacity, and/or their caregivers, gain access to and coordinate appropriate services, benefits and entitlements. Case Management consists of assessment and reassessment, care planning, arranging for services, follow-up and monitoring at least every two months and discharge. These activities must be provided by or under the direction of the designated case manager or case manager supervisor.

1. GOALS

See Goals section of Guide for Completion for instructions on how to complete the GOAL framework.

G Goal	<i>Conduct one comprehensive annual assessment and care plan for all aging services per individual.</i>
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

G Goal	<i>Provide conflict-free, person-centered case management.</i>
O Objective(s)	
A Action Steps	

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What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

G Goal	<i>Provide locally coordinated case management training for individuals conducting case management services and for their supervisors.</i>
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

LEGAL ASSISTANCE

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

1. In the table below identify AAA's current and/or proposed local partners to develop, operate, and/or support the coordinated delivery of legal assistance/services related to income, health care, long-term care, nutrition, housing, utilities, protective services, guardianship cases, abuse, neglect, and age discrimination for older adults.

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

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

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

See Goals section of Guide for Completion for instructions on how to complete the GOAL framework.

G Goal	<i>Partner with nonprofit organizations, private entities, governmental agencies and individuals to build local, integrated legal services delivery systems that effectively and efficiently use the resources of the legal and advocacy communities to prevent the abuse, neglect and exploitation of older adults and protect their rights.</i>
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

3. If the AAA anticipates challenges in achieving the above listed objectives, please describe the anticipated challenges and the solutions to overcoming the anticipated challenges.

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4. For what types of legal matters does the Area Agency on Aging receive the most requests for assistance? Please identify at least three types of legal matters.

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HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM (HIICAP)

1. What efforts will be made over the next four years to expand the total beneficiary contacts of the HIICAP program through outreach and counseling?

2. What actions will be taken over the next four years to expand the group and media outreach and educational events of the HIICAP program?

3. What actions will be taken over the next four years to expand HIICAP outreach and assistance to serve low-income beneficiaries?

4. What significant changes will be enacted over the next four years to expand the number of beneficiaries who receive Medicare Part D enrollment assistance?

5. What actions will be taken by the HIICAP program over the next four years to reach and serve populations such as those with limited English proficiency; low literacy; targeted ethnic and racial groups; and those who live in rural areas?

6. What activities will the HIICAP program provide over the next four years to counsel and educate the public on Medicare wellness and preventive benefits?

7. Provide the estimated weekly hours that the HIICAP Coordinator will dedicate to the Program:

2020-24 Four Year Plan

8. Will the HIICAP Coordinator serve other non-HIICAP functions? Yes_____ No_____

If Yes, please list other non-HIICAP related duties:

--

9. Provide the days and hours of operation that HIICAP will be available to provide Medicare beneficiaries with one-on-one counseling (via face-to-face or telephone).

--

10. Does the local HIICAP Program utilize the assistance of the Medicare Managed Care Assistance Programs (MCCAP)?

Yes_____ No_____

If **Yes**, which MCCAP(s) have been worked with in the last 12 months:

Community Services Society

Empire Justice Center

Legal Aid Society

Medicare Rights Center (MRC)

New York Legal Assistance Group (NYLAG)

New York Statewide Senior Action Council

11. Enter the number of HIICAP volunteers that the local HIICAP program currently has:

--

12. Volunteer recruitment and retention:

See Goals section of Guide for Completion for instructions on how to complete the GOAL framework.

G Goal	Successfully increase recruitment and retention of volunteers to support local HIICAP.
O Objective(s)	
A Action Steps What When Who	
L Leading to	

2020-24 Four Year Plan

Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

GENERAL SERVICES

Please provide the following information regarding services the area agency intends to administer during the Plan period. Please refer to 17-PI-30, "Standard Definitions for Services and Units of Service."

1. Information and Assistance

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

Briefly describe service delivery structure and/or plans to develop service e.g. points of service delivery, use of volunteers, nature of service:

2. In-Home Contact and Support

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

Briefly describe service delivery structure and/or plans to develop service e.g. points of service delivery, use of volunteers, nature of service:

3. Outreach

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

Briefly describe service delivery structure and/or plans to develop service e.g. points of service delivery, use of volunteers, nature of service:

4. Transportation

a) Service design: ☐ Demand ☐ Fixed route

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

- ☐ To medical appointments ☐ To program sites & senior centers
☐ To visit friends & relatives ☐ Shopping assistance
☐ Other (briefly describe) _____

Briefly describe service delivery structure and/or plans to develop service e.g. points of service delivery, use of volunteers, nature of service:

5. Adult Day Services

Service design:

- ☐ Social Adult Day Services
☐ Adult Day Health Care
☐ Other (briefly describe)

Briefly describe service delivery structure and/or plans to develop service e.g. points of service delivery, use of volunteers, nature of service:

CONTRIBUTIONS

1. Per 18-PI-17 services for which contribution policies and procedures must be developed include:

adult day services	housekeeping/chore
caregiver services	legal assistance
case management	nutrition counseling
congregate meals	personal emergency response
homemaking/personal care	residential repair/renovation
home-health aide	shopping assistance
home delivered meals	transportation
in-home contact and support	assisted transportation
health promotion	

For any of the above services currently offered by the AAA, but not currently receiving contributions, please describe how the AAA plans to encourage contributions while maintaining the voluntary and confidential nature of contributions and ensuring that methods of solicitation are non-coercive.

2. Describe how the AAA will monitor contribution levels, identify trends and understand and respond to significant changes in contribution levels.

3. Describe how the AAA will provide the opportunity for voluntary contribution to service recipients who have a language of preference other than English.

LEVERAGED RESOURCES

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

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

- The **AAA** has been involved in **developing, mobilizing or acquiring the resource** for the enhancement of community based services to older adults in the PSA (as in, this resource would not be available to older adults in the PSA if not for the AAA's involvement),
- The resource is not a service provided as part of a contract with the outside entity. Show only the added value leveraged by the AAA **above and beyond a contract**, or services **not included in a contract**, and
- The resource is projected to be available to older adults in the Plan period.

Indicate:

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

RESOURCE INVENTORY

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

REVENUE DIVERSIFICATION

1. If contracting or planning to contract with a healthcare system or other providers, indicate each contractual agreement below. Examples of providers which may purchase services through contract with the AAA include Managed Care Organizations, health systems, hospitals, health insurers, and other payers.

Does the AAA plan on contracting with any health systems or other providers during the Four Year Plan period? *Yes___ No___

If *yes, List the name(s) of the provider which will purchase services from the AAA	What service(s) is/are the AAA contracted for or negotiating to provide and what is the reimbursement agreement?

SERVICE	CONTRACTED UNIT RATE (IF APPLICABLE)	REIMBURSEMENT AGREEMENT DESCRIPTION (IF NOT UNIT RATE)	ANTICIPATED VALUE OF CONTRACT
Personal Care Level I			
Personal Care Level II			
Home Health Aide			
Case Management			
Adult Day Services			
Personal Emergency Response System (PERS)			
Home-Delivered Meals			
Congregate Meals			
Transportation			
Evidence-Based Health Promotion			
Other:			
Other:			
Other:			
Other:			

Comments:

2. Please describe any additional partnership development or strategic planning for revenue diversification that the AAA will engage in during the Four Year Plan Period (e.g. Private Pay, Value Based Payment, Pay for Performance, co-implementation with neighboring AAAs, partnerships with community organizations, county departments and others).

ADDITIONAL FUNDING

This page is an inventory of all AAA funding without a dedicated program column on the Service Delivery and Resource Allocation Plan (Budget page 1&2). The Services Provided column below indicates allowable services. Completion of this page will result in the automatic completion of the 'All Other Programs' column of the Service Delivery and Resource Allocation Plan.

- Program numbers 4 through 15 are pre-populated in the 'Program Funding Source Codes'.
- After entry, the programs entered in codes 16 through infinity will populate in the 'Program Funding Source Codes'.
- After entry, the total amount for each program below will automatically populate on the corresponding line for service in 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 on the 'Other Services' page.

FUNDING CODE	PROGRAM NAME	SERVICES PROVIDED	'ALL OTHER PROGRAMS' COLUMN - LINE #	FUNDING AMOUNT anticipated for coming program year			
				NYSOFA Administered Amount	Other Sources Amount (Local, Federal, Income etc.)	Line Total	Program Total
4	Foster Grandparents	Volunteer Services Program	21	0	0	0	0
5	RSVP	Volunteer Services Program	21	0	0	0	0
6	HIICAP	Information & Assistance	13	0	0	0	0
		Outreach	14	0	0	0	
		Counseling & Assistance	21	0	0	0	
7	MIPPA	Information & Assistance	13	0	0	0	0
		Outreach	14	0	0	0	
		Public Information	21	0	0	0	
8	State Funded Transportation	Assisted Transportation	9	0	0	0	0
		Transportation	10	0	0	0	
9	NY Connects E & E	Various	21	0	0	0	0
		Planning/Implementation/Admin.	22	0	0	0	
10	SHINE SNAP-Ed	Nutrition Education	12	0	0	0	0
		Public Information	21	0	0	0	
		Food Box Distribution/Other	21	0	0	0	
11	Caregivers Resource Center	Various	Add Services				0
12	Grants-in-Aid	Various	Add Services				0
13	State Respite program	Various	Add Services				0
14	County Funds (not Match or over-Match)	Various	Add Services				0
15	Contracts: purchase of AAA services by healthcare/other providers (see Revenue Diversification page)	Various	Add Services				0
16	Other; specify		Add Services				0
Add Row							
Grand Total:							0

OTHER SERVICES (Line 21)

Plan Period: 4/1/20-3/31/21

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 Additional Funding page as well. Utilize the names of services pre-populated in the drop-down menu where possible.

	Amount of Funding for this Service	Funding Sources (List all)
<p>Name/Description of Service/Program</p> <p>Check all that apply: <input type="checkbox"/> Directly Provided <input type="checkbox"/> Contracted</p> <p>Briefly describe the service:</p> <div style="border: 1px solid black; height: 30px; margin-bottom: 10px;"></div> <p>Number of Units _____</p> <p>One Unit of Service Equals</p> <div style="border: 1px solid black; height: 30px; margin-top: 5px;"></div>		

Complete this table to populate the III-E column on Budget page 1

	SERVICE CATEGORY	III-E Total		III-E Grandparent/Older Relative	
		Units	Funding	Units	Funding
	Information				
14	Outreach				
21	Public Information				
	Information Subtotal	0	-	0	-
	Access Assistance				
13	Information and Assistance				
6	Case Management				
21	Other, specify:				
	Access Assistance Subtotal	0	-	0	-
	Counseling, Support Groups, Training				
19a	Caregiver Counseling				
19b	Caregiver Support Groups				
19c	Caregiver Training				
	Counseling, Support Groups, Training Subtotal	0	-	0	-
	Respite				
1a	Personal Care Level II – Not Consumer Directed				
1b	Personal Care Level II – Consumer Directed				
2a	Personal Care Level I – Not Consumer Directed				
2b	Personal Care Level I – Consumer Directed				
3	Home Health Aide				
15a	In-home Contact and Support – Not Consumer Directed (supervision of care receiver or friendly visiting)				
15b	In-home Contact and Support – Consumer Directed (supervision of care receiver or friendly visiting)				
5	Social Adult Day Care				
5	Adult Day Health Care Services				
21	Overnight Adult Home				
21	Overnight Nursing Home				
21	Other, specify:				
21	Other, specify:				
	Respite Subtotal	0	-	0	-
	Supplemental Services (1)				
18	PERS				
21	Assistive Device/Equipment				
4	Home Delivered Meals				
7	Congregate Meals				

2020-24 Four Year Plan

8	Nutrition Counseling				
12	Nutrition Education				
17a	Health Promotion – Not Evidence-Based				
17b	Health Promotion – Evidence-Based				
10	Transportation				
11	Legal Services				
9	Assisted Transportation				
21	Home Modification				
21	Other, specify:				
	Supplemental Services Subtotal	0	-	0	-
22	Area Plan Administration				
	Grand Totals	0	-	0	-

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

Plan Period: 4/1/20 to 3/31/21 *
Original Date Prepared: Date Revised:
Date Last Saved: Last Saved By:

Service Categories	Dir	Con	Number of Individuals to be Served	Grand Total Units (All sources (Pages 1&2)	Grand Total Funding \$ (All sources (Pages 1&2)	Title III-B		Title III-C-1		Title III-C-2		Title III-D		Title III-E ^(e)	
						Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding \$
1. Personal Care Level II (Total)															
a. Not Consumer Directed (c)															
b. Consumer Directed (c)															
2. Personal Care Level I (Total)															
a. Not Consumer Directed (c)															
b. Consumer Directed (c)															
3. Home Health Aide (c)															
4. Home Delivered Meals (Total)															
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 (Total)									(d)		(d)				
a. Not Consumer Directed (c)									(d)		(d)				
b. Consumer Directed (c)									(d)		(d)				
16. Sen. Center/Rec. & Education									(d)						
17. Health Promotion (Total)															
a. Not Evidence-Based															
b. Evidence-Based															
18. Personal Emergency Response															
19.a. Caregiver Counseling (c)															
19.b. Caregiver Support Groups (c)															
19.c. Caregiver Training (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

Plan Period: 4/1/20 to 3/31/21

Original Date Prepared:

Date Revised:

Area Agency:

Date Last Saved:

Last Saved By:

Service Categories	EISEP		CSE		CSI		WIN		UNMET NEED		ALL OTHER PROGRAMS		
	Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding \$	Units	Funding Amount	Funding Source*
1. Personal Care Level II (Total)		(a)											
a. Not Consumer Directed		(a)											
b. Consumer Directed		(a)											
2. Personal Care Level I (Total)		(a)											
a. Not Consumer Directed		(a)											
b. Consumer Directed		(a)											
3. Home Health Aide													
4. Home Delivered Meals (Total)		(a&b)											
a. NSIP Ineligible Meals													
b. NSIP Eligible Meals													
5. Adult Day Services		(a&b&d)											
6. Case Management													
7. Congregate Meals (Total)		(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)											
a. Not Consumer Directed		(a&b&e)											
b. Consumer Directed		(a&b&e)											
16. Sen. Center/Rec. & Education													
17. Health Promotion (Total)		(a&b)											
a. Not Evidence-Based		(a&b)											
b. Evidence-Based		(a&b)											
18. Personal Emergency Response		(a&b)											
19.a. Caregiver Counseling													
19.b. Caregiver Support Groups													
19.c. Caregiver Training													
20. LTC Ombudsman													
21. Other Services		(a&b)											(f)
22. Planning/Implementation/Admin.													
TOTAL													

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

(b) See Guide for Completion for information regarding these EISEP services. (c) 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 **Additional NYSOFA Funding and Other Services pages**

* Funding Source Codes:

1) Title III-D

5) From "Additional Funding"

9) From "Additional Funding"

13) From "Additional Funding"

17) From "Additional Funding"

21) From "Additional Funding"

2) CSI

6) From "Additional Funding"

10) From "Additional Funding"

14) From "Additional Funding"

18) From "Additional Funding"

22) From "Additional Funding"

3) Unmet Need

7) From "Additional Funding"

11) From "Additional Funding"

15) From "Additional Funding"

19) From "Additional Funding"

23) From "Additional Funding"

4) From "Additional Funding"

8) From "Additional Funding"

12) From "Additional Funding"

16) From "Additional Funding"

20) From "Additional Funding"

24) From "Additional Funding"

Application for Funding

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

Area Agency:

Period: 1/1/20 to 12/31/20

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

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

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													

(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.

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

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

Amount	Percentage %
_____	_____
_____	_____
_____	_____

Supporting Budget Schedule-- Federal Programs -

Period: 1/1/20 to 12/31/20

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

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

Area Agency:

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

Supporting Budget Schedule -Federal Programs -cont.

Period: 1/1/20 to 12/31/20
Title III-B Period (if different than above): to
Original Date Prepared:
Date Revised:
Date Last Saved:

Area Agency:

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

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

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

Application for Funding

Summary Budget for EISEP, CSE, CSI, and WIN Programs

Period: 4/1/20 to 3/31/21

Original Date Prepared:

Date Revised:

Date Last Saved:

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
1. PERSONNEL												
Adjustments(a)												
Adjusted Personnel												
2. FRINGE BENEFITS												
			(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 (Not Used as Local Match)												
11. Less: NSIP/ COMMODITY FOOD												
12. NET TOTAL (Line 9 Less lines 10 & 11)												
13. TOTAL FUNDS REQUESTED	(c)	(d)		(c)	(d)		(d,e)	(d)	(d)	(e)		
14. MATCHING FUNDS												

(a) Adjustments to Personnel Roster - see Attachment E

(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)

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/E 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.)

Summary Budget for EISEP, CSE, CSI, and WIN Programs

Area Agency:

Period: 4/1/20 to 3/31/21

Original Date Prepared:

Date Revised:

Date Last Saved: Last Saved By:

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

2B

* 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.

Summary Budget for EISEP, CSE, CSI, and WIN Programs

Period: 4/1/20 to 3/31/21
Original Date Prepared:
Date Revised:
Date Last Saved: Last Saved By:

Area Agency:

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

2C

Budget Category	Unmet Need Administration Costs	Unmet Need Services Costs	Total Unmet Need Budget	CRC Administration Costs	CRC Services Costs	Total CRC Budget	Transportation Administration Costs	Transportation Services Costs	Total Transportation Budget	HIICAP Administration Costs	HIICAP Services Costs	Total HIICAP Budget
1. PERSONNEL												
Adjustments(a)												
Adjusted Personnel												
2. FRINGE BENEFITS												
			(b)			(b)			(b)			(b)
3. EQUIPMENT									(c)			
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. TOTAL FUNDS REQUESTED	(d)			(d)			(d)			(d)		
14. MATCHING FUNDS												

(a) Adjustments to Personnel Roster - see Attachment E

(b) Composite Fringe Benefit Percentage

(c) State Transportation funds may not be utilized to purchase vehicles

(d) Limited to 15% of total funds requested

Summary Budget for Unmet Need, CRC, State Transportation and HIICAP Programs

Area Agency:

Period: 4/1/20 to 3/31/21

Original Date Prepared:

Date Revised:

Date Last Saved:

Last Saved By:

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

3B

Summary Budget for Unmet Need, CRC, State Transportation and HIICAP Programs

Period: 4/1/20 to 3/31/21
Original Date Prepared:
Date Revised:
Date Last Saved: Last Saved By:

Area Agency:

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

3C

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

*** Notes: Equipment may not be charged to the State Caregivers (CRC) grant. Vehicles may not be charged to the State Transportation program.

Contractor Roster
Plan Period: 4/1/2020- 3/31/2021

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 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	III-B \$ _____ Services to be provided:	III-C-1 \$ _____ Services to be provided:	III-C-2 \$ _____ Services to be provided:	III-D \$ _____ Services to be provided:	III-E \$ _____ Services to be provided:	EISEP \$ _____ Services to be provided:	CSE \$ _____ Services to be provided:	CSI \$ _____ Services to be provided:	WIN \$ _____ Services to be provided:	OTHER \$ _____ Services to be provided:	TOTAL \$ _____ Services to be provided:
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 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	III-B \$ _____ Services to be provided:	III-C-1 \$ _____ Services to be provided:	III-C-2 \$ _____ Services to be provided:	III-D \$ _____ Services to be provided:	III-E \$ _____ Services to be provided:	EISEP \$ _____ Services to be provided:	CSE \$ _____ Services to be provided:	CSI \$ _____ Services to be provided:	WIN \$ _____ Services to be provided:	OTHER \$ _____ Services to be provided:	TOTAL \$ _____ Services to be provided:

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

'Other Funding' Source Codes:

- 1) Title III-D
2) CSI
3) Unmet Need
4) From "Additional Funding"
- 5) From "Additional Funding"
6) From "Additional Funding"
7) From "Additional Funding"
8) From "Additional Funding"
- 9) From "Additional Funding"
10) From "Additional Funding"
11) From "Additional Funding"
12) From "Additional Funding"
- 13) From "Additional Funding"
14) From "Additional Funding"
15) From "Additional Funding"
16) From "Additional Funding"
- 17) From "Additional Funding"
18) From "Additional Funding"
19) From "Additional Funding"
20) From "Additional Funding"
- 21) From "Additional Funding"
22) From "Additional Funding"
23) From "Additional Funding"
24) From "Additional Funding"

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

Instructions

This form must be completed for all new contracts, renewals of existing contracts and successor contracts with for-profit entities.

Please see 16-PI-22 and the Guide for Completion 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: _____

ATTACHMENT CHECK LIST

Check [✓] attachments included with this Plan.

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

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

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

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

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

[] **ATTACHMENT D:** Justification for excess Title III Carryover and Title III Transfers

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

[] **ATTACHMENT F:** Volunteers Used as Match

04/01/20 – 03/31/21

New York State Office for the Aging

ATTACHMENT A

2020-24 FOUR YEAR PLAN

STANDARD ASSURANCES

For the Period:
April 1, 2020 - March 31, 2024

Applicable to the following:

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

State Transportation Program

Caregiver Resource Center (CRC)

Wellness in Nutrition (WIN)

Community Services for The Elderly Program (CSE)

New York State Expanded In-Home Services for The Elderly Program (EISEP)

Congregate Services Initiative (CSI)

Emergency Preparedness Plans

Mental Health Services

Health Insurance Information, Counseling and Assistance Program (HIICAP)

Unmet Need

The Standard Assurances applicable to, and included in, this 2020-24 Four Year Plan (hereafter collectively referred to as "Plan") shall be effective April 1, 2020.

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. Applicable laws include but are not limited to the following:

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*)

2 CFR Part 382 (*Requirements for Drug-Free Workplace (Financial Assistance) – implementing 2 CFR Part 182*)

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 and Human Services Effectuation of Title VI of the Civil Rights Act of 1964*)

45 CFR Part 84 (*Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance*)

45 CFR Part 93 (*New Restrictions on Lobbying, see 91-PI-05 [01/24/91]*)

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, as amended (42 U.S.C. § 12101, et seq.) and implementing Federal regulations (28 CFR Parts 35 and 36) and 17-PI-21 [08/04/17].

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

Equal Employment Opportunity Act of 1972, as amended (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., *Political Activity of Certain State and Local Employees*)

Home Energy Assistance Act of 1981, as amended (42 U.S.C. § 8621, et seq.)

Rehabilitation Act of 1973, Section 504 (29 U.S.C. § 794, *Nondiscrimination under federal grants and programs*)

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

Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (42 U.S.C. § 4601, et seq.)

Office of Management and Budget (OMB):

OMB Circular A-102 (*Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments*) codified at 2 CFR Part 200

OMB Circular A-133 (*Audits of State and Local Government and Non-Profit Organizations*) codified at 2 CFR Part 200.500

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 (U.S. Department of Health and Human Services)
<https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>

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 (*Human Rights Law*)

Executive Law, Article 7-A (*Solicitation and Collection of Funds for Charitable Purposes*)

All NYSOFA Program Instructions
(<https://aging.ny.gov/ProvidersandStaff/Issuances/Issuances.cfm>)

2. **Program Implementation:** The AAA identified in this Plan has the authority and the responsibility for effective implementation of Title III of the Older Americans Act (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), Caregiver Resource Center (CRC) programs, and Unmet Need 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 in its Title III-B, Title III-C, Title III-D, and Title III-E, 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, EISEP, CSE, CSI, WIN, State Transportation Program, HIICAP, CRC Applications, and Unmet Need.

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 receipt of final payment. 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 services 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. **Service-Disabled Veteran-Owned Businesses (SDVOB) Contracts:** The AAA assures that it will comply with all Federal, State, and local laws regarding opportunities for service-disabled veteran-owned businesses (SDVOB) organizations.
- C. **Technical Assistance:** The AAA shall provide technical assistance and information in a timely manner to all contractors.
- D. **Contract Approval:** The AAA shall enter into formal 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 in accordance with the Section 7, Access to Records. 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.
- E. **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 make any necessary budget modifications and shall submit a copy to NYSOFA within 30 days of its effective date.
- F. **Funding Limitations:** The AAA may enter into a contract that extends beyond the renewal date of an Application. In entering into a contract beyond the renewal date of an Application, the AAA should not make a commitment that may exceed the next year's annualized funding level, and the contract must state that it is contingent upon the provision of funding to the AAA in the subsequent year.
- G. **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.

- H. **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.
- I. **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.
- J. **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.
- K. **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.
- L. **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.
- M. **Focal Points:** The AAA shall specify, in grants, contracts or agreements implementing the Plan, the identity of each focal point so designated.

- N. **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.
- O. **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 comply with the provisions of the above Section 7 Access to Records, 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.
- P. **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, including low income minority individuals with limited English language proficiency and older adults residing in rural areas. 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 to Services and Targeting Policy issued by the New York State Office for the Aging (See: 12-PI-08 [07/17/2012]).
 - 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 contract 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/her representatives, and staff of NYSOFA and/or of 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.** 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 remain in compliance with 2 CFR Part 376 - 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 and subcontractor staff. 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 2 CFR 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. The AAA shall make public information available in the primary languages of the client populations, where appropriate. 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 12-PI-08 [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) of the OAA, 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 in an accessible location, 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, intervention, 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 age, race, color, national origin, disability, sex (gender), or religion, 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.
- 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 Age, Race, Color, Creed, National Origin, Sex, 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 [07/17/12].
 - 5) Make available vital documents, as defined in 12-PI-08 [07/17/2012] 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 agrees to maintain any client information that is collected and maintained for purposes related to an organization's responsibilities as a designated Area Agency on Aging, or to programs and services provided under the auspices of NYSOFA, in the Client Data System designated for their use by NYSOFA.
 - B. 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: 14-PI-02 [2/4/14])
 - C. 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 that includes formal and informal supports, during the initial visit with the older adult(s). 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.
 - D. 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 provide data accurately detailing AAA program activity within the time frames in the NYSOFA reporting procedures may result in the withholding of payments.
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 18-PI-17 [07/27/18], NYSOFA Contributions and Other Program Income Policy. Individuals with self-declared incomes at or above 185 percent of the Federal Poverty Level will be encouraged to contribute at levels based on the actual cost of services.
23. **Funding Availability:** The AAA agrees that all payments to be made under this Plan are subject to the availability of Federal/State funds and NYSOFA shall have no liability to the AAA beyond the amounts made available in the Federal and State Budgets.
24. **Terminations:**
- A. Any programs and funding under this Plan may be terminated at any time upon mutual written consent of 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 written 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 and State laws.

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

Standard Assurances Applicable to all Older Americans Act Funding

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

A. **Availability:** The AAA shall apply only for funds based on the appropriate allocation schedules promulgated by NYSOFA as well as any unexpended (carry-over) funds previously awarded to the AAA by NYSOFA. The AAA understands and agrees that

carry-over funds may be awarded to the extent that these funds are incorporated into an approved application, provided that the requirements of 88-PI-17 [3/24/88] are met. If the AAA applies for more funds than a subsequent closeout shows as the final carry-over balance, the AAA must submit a budget modification requesting a level of program expenditures which corresponds to the reduced Federal funds.

- B. **Area Plan Administration:** The AAA shall budget no more than 10% of the combined Federal allocations (including carry-over) for Titles III-B, III-C-1, III-C-2, III-D and III-E for Area Plan Administration. The amount of Federal dollars expended on Area Plan Administration cannot exceed 10% of the combined Federal expenditures for Titles III-B, III-C-1, III-C-2, III-D and III-E.
- C. **Matching Funds:** The AAA agrees to provide a minimum 25% local matching funds for Area Plan Administration expenditures under Titles III-B, III-C-1, III-C-2 and III-E. The AAA agrees to provide a minimum 10% local matching funds for service expenditures under Titles III-B, III-C-1, III-C-2 and III-D. The AAA agrees to provide a minimum 25% local matching funds for services expenditures under Title III-E.
- D. **Audit:** The AAA shall comply with the Federal audit requirements per the 1996 amendments to the Single Audit Act, OMB Circular A-133 and the "Government Auditing Standards" and 2 CFR Part 200 – Subpart F Audit Requirements.
- E. **Directly Provided Services:** In accordance with NYSOFA regulations (9 NYCRR § 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 grievance procedures for older adults who are dissatisfied with or denied services under the OAA. Such procedures shall be in accordance with applicable NYSOFA Program Instructions.
- 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 accessible 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 and/or State funded programs:
- 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 OAA Title III-B

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

- A. **Priority Services:** The AAA will expend the required 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 (including financial exploitation), 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 (9 NYCRR § 6654.9), and 90-PI-36 [6/19/90].

Standard Assurance Applicable to OAA Title III-C

(For additional Assurances applicable to Title III-C, see SA #27 & SA #30)

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

Standard Assurances Applicable to Title III-C and WIN

(For additional Assurances applicable to WIN, see SA #36. For additional Assurances applicable to Title III-C, see SA #27 & SA #29)

29. In applying for and receiving funding under Title III-C of the OAA and WIN, the AAA understands and agrees that:
- A. **Special Dietary Needs:** The AAA assures that the nutrition program in the PSA shall reasonably accommodate participants who have particular dietary needs arising from the health requirements, religious requirements, or ethnic backgrounds of such participants.
 - B. **Outreach:** It shall be the AAA's responsibility to identify and reach out to currently unserved and underserved individuals who would be eligible for home delivered meals.
 - C. **Provider Organizations:** The AAA, when selecting potential home delivered meal providers, shall give consideration where feasible to organizations which:
 - 1) have demonstrated an ability to provide home delivered meals efficiently and reasonably; and
 - 2) furnish assurances to the AAA that such an organization shall maintain efforts to solicit voluntary support and that the funds made available under Title III-C to the

organization shall not be used to supplant funds from non-Federal sources.

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

Standard Assurances Applicable to Title III-D

30. Title III-D:

- A. **Area Plan Administration:** No Title III-D funds shall be budgeted or expended for Area Plan Administration.
- B. **Evidence-based:** In accordance with 15-PI-18 [10/22/15], the AAA shall expend all Title III-D funding on evidence-based programs/interventions only.

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 older relative caregivers as these terms are defined in OAA §§ 302 and 372, respectively.
- B. **Limitations:** The AAA may budget up to 10% of its Title III-E funds (Federal funds plus local match), plus any income generated by older relative caregivers, to provide support services to older relative caregivers. 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 older relative caregiver services, to provide support services to older relative caregivers.
- 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 § 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 older 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. 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 Relative Caregivers providing care to individuals with severe disabilities, including children with severe disabilities, as defined in OAA § 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 § 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. For family caregivers who provide care for individuals with Alzheimer's disease and related

disorders with neurological and organic brain dysfunction, the AAA shall give priority to caregivers who provide care for older individuals with such disease or disorder.

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).

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

(For additional Assurances applicable to CSE, see SA #39. For additional Assurances applicable EISEP, see SA #40)

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. **Consumer Directed In-Home Services:** The AAA may elect to implement consumer directed services under CSE and EISEP in accordance with NYSOFA regulations. Prior to implementation, the AAA must submit their plans in the prescribed format to NYSOFA for review and approval.
- C. **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.
- 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

(For additional Assurances applicable to CSE, see SA #37 & SA #38)

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

(For additional Assurances applicable to EISEP, see SA #37 & SA #38)

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.
- 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 Emergency Preparedness Plans

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

Standard Assurances Applicable to Mental Health Services

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

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

- 44. **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 (Independent Consumer Advocacy Network);
 - 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.
- G. The AAA will not allow individuals who are currently licensed as health insurance agents/brokers, or have some other conflict of interest, to counsel, administer, or 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 beneficiaries. If the AAA believes there may be a conflict of interest, the AAA Director or HIICAP Coordinator will obtain direction from the NY SHIP Director as to whether the relationship, as described by the AAA, presents a conflict of interest.
- H. The AAA will ask program volunteers whether or not they are licensed to sell health insurance products and the status of their current license.
- I. 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.
- J. 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.
- K. 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.

- L. 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.
- M. The AAA shall make certain that all information and documentation pertaining to Medicare beneficiaries be kept confidential. Beneficiary information will be kept in an area that is secure. All confidential documents will be stored in locked file cabinets or rooms accessible only to those who have authority, or, for digital versions, in a password protected electronic file. Whenever the AAA has in its custody confidential Medicare beneficiary information that the AAA does not need to keep on file any longer to be able to assist such beneficiary, the AAA will dispose of that confidential information in a complete and secure manner (such as shredding) to avoid unauthorized disclosure(s) of the information.
- N. The AAA assumes responsibility for the accuracy and completeness of the information contained in all technical documents and reports submitted.
- O. The AAA agrees that it will submit monthly performance reports as specified by NYSOFA on all Beneficiary Contacts, Group Outreach, and Media Outreach Events via the STARS SHIP Tracking and Reporting System at: <https://smpship.acl.gov/etk-hhs-acl-prod/login.request.do>.
- P. 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.
- Q. 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.
- R. 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.
- S. Include the express acknowledgment on all SHIP public information materials, "This project was supported, in part by a grant from the U.S. Administration for Community Living, Department of Health and Human Services, Washington, D.C. 20201. Grantees undertaking projects under government sponsorship are encouraged to express freely their findings and conclusions. Points of view or opinions do not, therefore necessarily represent official Administration for Community Living policy." (HHS Grants Policy Statement: <https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html>). The grantee must use the SHIP Logo on all SHIP publications.

T. 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."

- U. 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.
- V. The AAA shall not use SHIP Federal funds to purchase promotional giveaways or incentive items, unless such items are educational in nature as required by ACL and pre-approved by NYSOFA.
- W. The AAA agrees to implement Volunteer Risk and Program Management (VRPM) policies and procedures as required by ACL.

ATTACHMENT B

PRIORITY SERVICES EXPENDITURE REPORT

Instructions: Using actual expenditures for the period, October 1, 2018- September 30, 2019, submit this completed and certified report with the 2020-24 Four Year Plan. Area Agencies may use their CAARS reports to assist with completing this page (click [here](#) (on electronic document); select beginning period October 1, 2018; select ending period of September 30, 2019; then click Expenditures Report).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Category	Explanation	Strategies/Steps

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;.

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 2020-2021 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* and 17-TAM-02 for examples of 'Major Changes' and situations which are exempt from inclusion in this attachment.

New Direct Service: Refers to any service that is currently provided by a contractor that the AAA is seeking to provide directly or a new service that the AAA is proposing to provide directly.

New Activity: Refers to: Any new service or program

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 4/1/2020-3/31/2021.

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

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

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 2020-2021 Program Year or a Future Program Year and that: If any change to its programs or services does occur during the 2020-21 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 2020-21 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.

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:

In accordance with NYCRR §6654.3 (a)(22)(b) and 12-PI-08, describe how carryover funds will be used in provision of services or outreach designed to reach target populations.

Examples of use of funds to reach target populations might include:

- translation of informational materials for persons with limited English proficiency
- development of Braille and audio materials for persons who are visually impaired
- creation of or new implementation of programming in an effort to reduce health disparities
- new transportation services to reach rural residents

Where the AAA will not use carryover funds for additional or expanded targeting efforts, and the AAA targeting goals have not been met, please provide a justification including a description of the specific activities implemented by the AAA to meet targeting goals and outcomes.

ATTACHMENT E

Fringe Benefits, Travel Reimbursement, Schedule Adjustment and Contractor Explanation

► **Fringe Benefits Policy:** A complete copy of the AAA's (or sponsor's) Fringe Benefit Policy must be submitted with the **Four Year Plan**. Include below the current fringe benefit rate for employees. Describe any changes from the 2016-2020 Fringe Benefit policy submitted with the 2016-20 Four Year Plan and submit a complete copy of the 2020 Fringe Benefit Policy. If the composite fringe benefit percentage for an individual program exceeds the average fringe benefit percentage included below- by more than 15%- the reason for the deviation(s) **must** be explained below.

2020-2021 Fringe Benefit Rate: _____%

► **Travel Reimbursement Policy:** A complete copy of the AAA's (or sponsor's) Travel Reimbursement Policy must be submitted with the **Four Year Plan**. Describe below any changes from the 2016-2020 Travel Reimbursement Policy submitted with the 2016-2020 Four Year Plan and submit a complete copy of the 2020 Travel Reimbursement Policy.

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

► **Contractor Roster Explanation:** Explain AAA plan for determining a contractor for service provision for any entries in the Contractor Roster which are to be determined. Include information on process and timeframe.

Page _____ of _____

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

[illegible][illegible]

(a) The 'Total' amount (Number of hours times Hourly Rate) will be rounded to a whole dollar amount. The whole dollar amount should then be allocated to the individual funding streams. Do not use cents in any column other than the Hourly Rate .

b) The 'Grand Total' for each program must be included on the Personnel Roster on the 'Volunteers Used as Match' line and on the Supporting Budget page, 'Matching funds' section, 'Volunteers Used as Match' line for each affected budget. These values will be automatically carried over to the appropriate pages in the web-based version. The 'Volunteer Services Not Used as Match' will NOT be included or appear in any other section of this document.

Additional instructions for completing Attachment F are included in the Guide for Completion.

AAA:
 ASR:
 GMBS II:
 Original Date Submitted:
 Date Revised:
 Date Last Saved: Last Saved By:

New York State Office for the Aging Cost Per Unit Review of Service Delivery and Resource Allocation Plan					
	2019-2020 Plan	Proposed 2020-2021 Plan	Variance Between 2019-2020 Plan and 2020-2021 Plan	7/1/2018 – 6/30/2019 CAARS/Client Data	Variance Between 2020-2021 Plan and 2018-2019 CAARS/Client Data
PC Level 2 CPU:	\$	\$	%	\$	%
Explain PC 2 Variance					
PC Level 1 CPU:	\$	\$	%	\$	%
Explain PC 1 Variance					
Home Delivered Meals CPU:	\$	\$	%	\$	%
Explain HDM Variance					
Adult Day Services CPU:	\$	\$	%	\$	%
Explain Adult Day Services Variance					
Case Management CPU:	\$	\$	%	\$	%
Explain Case Management Variance					
Congregate Meals CPU:	\$	\$	%	\$	%
Explain Congregate Meals Variance					
Transportation CPU:	\$	\$	%	\$	%
Explain Transportation Variance					
Nutrition Counseling CPU:	\$	\$	%	\$	%
Explain Nutrition Counseling Variance					
Assisted Transportation CPU:	\$	\$	%	\$	%
Explain Assisted Transportation Variance					

**Guide for Completion
of the 2020-24 Four Year Plan**

under

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

and the

**Expanded In-home Services for the Elderly Program,
Community Services for the Elderly Program,
Congregate Services Initiative,
Wellness in Nutrition,
Unmet Need,
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 2020-24 Four Year Plan (which includes the annual applications for funding), hereafter referred to as the Plan. Also included in this *Guide for Completion*, hereafter referred to as the *Guide*, are instructions for the **PERSONNEL ROSTER, EQUIPMENT SCHEDULE, RENT ALLOCATION SCHEDULE, 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 10, 2019**. 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

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.

Tips for completing the Plan in the NYSOFA Budgeting and Reporting System:

- **Save changes often.** Always save changes before moving to another page, or attempting to print documents.
 - On a page which contains both a roster and other questions, save changes before clicking-on the roster. When clicking on the roster, the screen refreshes, and any unsaved data on the page may be lost.
- **Do not use a “\$” or comma in fields which ask for dollar amounts.** An error will be generated.
- **Print pages using the “Print Page” option in the toolbar.** It is located at the top of each page. A PDF version of that page will open for you to save or print.

- **Certain amounts and totals will calculate automatically.** As you change data on a page, you may see subtotal and/or total amounts change when you tab outside of the cell you are editing. Save changes frequently to make sure that all revisions/revised totals are saved.
- **If a field is gray,** it indicates that the value is either being pulled in from another section or supporting schedule, or the field is automatically calculated. Hover your mouse over the field to see additional information.
- **Certain amounts will transfer to other pages.** This occurs in the budget pages, rosters and schedules. Upon saving a page, a message reminds you to return to other pages to ensure that additional changes are properly reflected.

Order in which the Plan pages should be completed online:

- The Program sections and Attachments (excluding Attachment F) can be completed at any time and in any order.
- For fiscal pages, Personnel Roster, Contractor Roster, Equipment Schedule and Rent Allocation Schedule, please note the following:
 - Since many of the totals calculated on the rosters, schedules and supporting budget schedules will carry over to other pages, it is recommended that you complete the rosters, schedules and supporting budget pages **first**. More specifically:
 - Begin with Attachment F (Volunteers Used as Match)
 - Continue with the rosters: Personnel and Contractor
 - Continue with the schedules: Equipment and Rent
 - Followed by the supporting budget pages: Federal, State, and Other
 - Followed by the summary budget pages: Federal, State, and Other
 - Followed by the resource allocation pages: Federal and State
- Please complete the CPU Review schedule last. This is important because it will reflect fiscal data you have entered for this Plan.

Completing the rosters and schedules:

- For the Personnel and Contractor Rosters and the Rent Allocation Schedule you have two choices:
 - “Import Last Year” – use this button to bring in data elements from last year as a starting point (funding amounts do not get imported)
 - Enter data directly into Roster starting from the blank page
- From the drop-down list, click on an existing entry to edit or add a new entry. Please delete any entries that are no longer active.
- The “Reset All” button clears all fields and allows for a new entry to be made. Please make sure your changes are saved before clicking on this button.

Electronic submission of the Plan:

- When all pages have been completed, return to the main menu, and under “Tools”, click on “Submit”. You will be forwarded to the error check screen where you will see “fatal” and “warning” errors. Fatal errors must be fixed before the Plan can be submitted. Warning errors do not prevent Plan submission. If there are no fatal errors, click on “Submit”. On the Submission Menu, choose the sections to be submitted on the left by placing a check mark in the appropriate box(es). For your initial submission, you will need to select all sections (all pages and Attachments). Each of these sections must be submitted for your

Plan to be considered complete. Click on “Submit Selected Section(s)”. You will see a confirmation message that your Plan was submitted successfully.

- Note: Please do not include Budget Modification pages with initial Plan submission.

FOUR YEAR PLAN

TABLE OF CONTENTS

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

PLAN REVIEW AND APPROVAL

Choose the appropriate form (forms are attachments to the PI issuing the Plan). AAAs have the option of using the standard dates REVIEW AND APPROVAL form (Program Periods are already filled out) or the non-standard dates REVIEW AND APPROVAL form (AAAs 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. A line has been added to print/type name of AAA Director.
- 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. Lines have been added to print/type name and title of Chief Officer.

LOCAL GOVERNMENT EXECUTIVE REVIEW AND APPROVAL SECTION OF FORM

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. A line has been added to print/type title of Chief Officer.

SUBMISSION OF PLAN REVIEW AND APPROVAL

It is preferred that the **PLAN REVIEW AND APPROVAL (including the Local Government Executive Review and Approval section)** be signed, scanned and submitted to NYSOFA in PDF format. Submission is via email to the NYSOFA Senior Accountant/Grants Administrator 1 and Aging Services Representative assigned to the AAA.

- If you cannot submit the **PLAN REVIEW AND APPROVAL** in PDF format, it is acceptable to submit a signed hard copy of the form to NYSOFA. Mail to:

**New York State Office for the Aging
Division of Local Program Operations
2 Empire State Plaza
Albany, NY 12223-1251**

- Regardless of the manner in which the **PLAN REVIEW AND APPROVAL** is submitted to NYSOFA, the form should be signed in ink and the original or a duplicate original form should be retained by the AAA for seven (7) years.

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, New York City or Native American Organization; or the Chief Officer of the Governing Body of the Sponsoring Organization (if other than county, New York City 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.

GOALS

Note: Complete this section for the 2020-24 Four Year Plan Period

The Four Year Plan is designed to support efforts of the network to be strategic and goal oriented.

- Serving older New Yorkers in the most efficient and intentional way.
- Mapping out a path that will get us there.

The goals listed in the GOALS section at the beginning of the Plan are based on those in the 2019-2023 New York State Plan on Aging. AAAs also have an option of adding additional goals to this section based on unique local priorities.

The New York State Plan on Aging for Federal Fiscal Years (FFY) 2019-2023 has been prepared by NYSOFA. The State Plan highlights the demographics and trends of New York State's older population, describes the aging services network, and the goals, objectives and strategies that will guide specific actions over the next four years.

AAAs can refer to the State Plan on Aging for statewide objectives, action steps/strategies and outcomes that NYSOFA has written. AAAs can model their objectives, action steps and outcomes after these as applicable to AAA priorities. In this way, combined local efforts will move the State forward in support of these Goals.

The State Plan on Aging can be found at <https://aging.ny.gov/PlanonAging/index.cfm>

Goal #1 see p. 31-38

Goal #2 see p. 39-49

Goal #3 see p. 50-52

Goal #4 see p. 53-56

Goal #5 see p. 57-61

Goal #6 see p. 62

Goal #7 see p. 63

GOALS Framework:

Below please find the template for the GOALS framework that is located throughout the Four Year Plan. The GOALS framework begins here and reappears in the Nutrition, Health Promotion, Case Management, Legal Assistance, and HIICAP sections of the Four Year Plan. Each with one or more pre-filled Goals related to its specific content.

The following guidance applies to the completion of the GOALS Framework throughout the Plan.

G Goal	<i>[A PRESCRIBED GOAL APPEARS HERE]</i>
O Objective(s)	
A Action Steps What When Who	
L Leading to Outcomes	
S Successes and Strategic Modifications	<i>[TO APPEAR IN ANNUAL UPDATES]</i>

Goal:

Goal - value-oriented description of a future ideal state or situation toward which we feel we should be striving.

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

Goals in the Four Year Plan are prescribed and already appear in the document. The one exception to this is the opportunity to enter unique goals in the Goals section at the front of the document.

Objective:

Objective – what you want to achieve;

An objective is a concrete, measurable statement of an intended outcome of program efforts. Objectives expand on the goal by identifying the strategies or implementation steps needed to attain the identified goal. The Objective should state what will be accomplished; when it will happen and why the outcome is needed. SMART Objectives are Specific, Measurable, Achievable, Relevant & Time-bound.

Each objective should have a:

- strong action verb (ex: to conduct, to meet, to write, to increase funding)
- single aim (If multiple aims, multiple objectives should be written)
- single result or end product (ex: training program, nutritional meals, access to services)
- completion date

Each Objective entered will generate a set of fields for Action Steps and Outcomes specific to that Objective.

Objectives versus Action Steps:

While the objective is a statement of what a program wants to achieve, it is not yet a statement of how the program will get there. How you get there, the action plan, is built on a series of specific action steps. The Action Steps are the major tasks to be completed for each objective.

Action Steps (per each Objective)

Action Steps – how you will get there

Outline the action steps that the AAA will take to work towards the objectives listed. The Action Steps should describe strategies, specific and achievable action steps needed and state the date to be completed and the person responsible for accomplishing this task (What, When and Who). The Action Steps should also include the organizations, local governmental agencies and/or individuals whom the AAA will work with to achieve the objective. Action Steps serve as a roadmap.

Should be an action which is:

- Critical to the accomplishment of the objective
- Identifiable when completed
- Essential to the next step
- Related to a single product or result

Action Steps are entered specific to each Objective.

Leading to Outcomes

Outcomes – how will you know you achieved the objective

Note the outcomes that would move the AAA program ever closer to the Goal in the top box. What outcomes would be indicative of progress towards the goal? The “Leading to Outcomes” should include the expected outputs, deliverables, and outcomes. These are your hoped-for results... measurable changes that can be observed. Outcomes focus on the benefit older adults are expected to derive from the strategies and action steps being taken to achieve the objective.

Outcomes are entered specific to each Objective.

DEMOGRAPHIC DATA AND TARGETING OBJECTIVES

Note: Complete this section for the 2020-24 Four Year Plan Period

Questions 1-3.

Column A, Lines 1 and 3 a-q, includes prefilled the most current census data for the number of persons residing in the Planning and Service Area (PSA) who are 60 years and older. All data are from the U.S. Census Bureau. The primary resource is the American Community Survey, Special Tabulation on Aging, 2012-2016 Five Year Estimates (ACS/Spec Tab 2016).

- In two cases when data are not available in the ACS/Spec Tab 2016, the American Community Survey 2013-2017 Five Year Estimates (ACS 2017) or the 2010 Decennial Census (Census 2010) are used.:

1. Race Categories:

- Lines 3 e, f, g, i, and j, from the ACS/Spec Tab 2016, are for the non-Hispanic population within those race categories.
- Lines k and l are from the ACS 2017 and include the Hispanic population within those race categories.

2. Rural Population is from Census 2010.

Column B, Lines 1 and 3 a - q, includes prefilled Client data for SFY ending March 31, 2019. Note this data is for registered (cluster 1 & 2) clients only.

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

Column D, Lines 2 and 3 a - q, enter the number of persons projected to be served annually during the Four Year Plan period by the AAA and its contractors. The total of lines 3 a-q, will not represent unduplicated count for projected client data because it is expected that individuals will often fall into more than one of the categories.

Program Instruction 12-PI-08, dated 7/17/12, on equal access to services and targeting provides an example for calculating target group figures. This example for calculating planned targeting objectives is repeated below:

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

12-PI-08 further states that "Area Agencies must strive to serve members of target groups in substantially higher percentages than their representation in the general older adult population of the PSA."

4. Please describe specific planned outreach, public information, and other efforts designed to reach individuals with Alzheimer's and related disorders, institutionalized and those at risk for institutionalization as well as caregivers of these populations. Please be aware efforts must be sufficiently vast enough to describe activities spanning a four year time frame. The AAA might include existing collaborations with entities dedicated to serving those with Alzheimer's and related disorders, those at risk for institutionalization and caregivers of these populations, efforts to develop new collaborations with such entities as well as planned outreach activities designed to reach these populations. For example, the AAA might consider collaboration with the Alzheimer's Association (colocation or sharing of space, presenting at events hosted by the Alzheimer's Association, creation of joint support groups for caregivers, etc.), fostering connections with discharge planners at hospitals, rehabilitation centers, etc. to assist with smooth transition to home and reaching those at risk for readmission, presenting at public information and other events caregivers are likely to frequent (health fairs, retirement events, etc.)

5. Please describe specific planned outreach, public information, and other efforts designed to reach low income and low income minority populations. Please be aware efforts must be sufficiently vast enough to describe activities spanning a four year time frame. The AAA might include existing collaborations with entities dedicated to serving low income and low income minority populations, efforts to develop new collaborations with such entities as well as planned outreach activities designed to reach these populations. For example, the AAA might consider collaborating with local food pantries, free health clinics, the Department of Social Services, etc. AAA might consider new/expanded service delivery in low income areas (new congregate meal sites, presence at local gathering space such as "office hours" by a NY Connects or HHCAP staff, promotion of and provision of evidence based programming targeted to reduce or eliminate health disparities, etc.)

6. Please describe specific planned outreach, public information, and other efforts designed to reach Asian and African American populations. Please be aware efforts must be sufficiently vast enough to describe activities spanning a four year time frame. The AAA might include existing collaborations with entities dedicated to serving Asian and African American populations, efforts to develop new collaborations with such entities as well as planned outreach activities designed to reach these populations. For example, the AAA might review the webinar provided on 6/16/16 by Howard Shih regarding outreach to Asian Older Adults to review successful strategies to reach this population. The AAA might also consider collaboration with state or locally based entities dedicated to these populations such as Coalition for Asian American Families, Asian American Federation, NAACP, etc., faith based organizations such as Buddhist and Hindu temples, Islamic centers and mosques, churches with traditionally predominant African American congregations such as African Methodist Episcopal (AME), Southern Baptist, Pentecostal and Jehovah's Witnesses, etc., and participation in cultural events such as Martin Luther King Day events, Juneteenth events, Chinese New Year celebrations, etc. Because these populations are disproportionately affected by economic and health disparities, outreach may also include entities dedicated to serving low income individuals and hospitals, local doctors' offices and free or low cost health clinics.

7. Specify how the AAA plans to provide outreach to older adults in the Planning and Service Area with limited English proficiency. The AAA might include existing collaborations with entities dedicated to serving individuals with limited English proficiency, efforts to develop new collaborations with such entities as well as planned outreach activities designed to reach individuals with limited English proficiency. For example, the AAA might collaborate with Literacy Volunteers, local programs such as those based in libraries and schools, etc. The AAA might also consider reaching out to religious entities whose following has a predominant language other than English or churches which offer religious services in languages other than English.

8. Specify how the AAA plans to provide service access to those persons with limited English proficiency who seek services (e.g., language accessibility through contracted interpreter/translator, community organization links for translation, interpretation services, language interpretation phone line, etc.) as required by 12-PI-08. Each AAA must include the name and contact information for the telephonic interpretation service which it has established as required in NYSOFA's Equal Access to Services and Targeting Policy (see 12-PI-08). This policy requires that all AAAs must, at a minimum, establish a telephonic interpretation service contract or similar community arrangement with a language interpretation service provider of their choice by October 1, 2012 (also see 12-IM-03 regarding Telephonic Interpretation). In addition to this requirement, AAA should assess, as accurately as possible, the frequency with which they have or should have contact with LEP individuals from different language groups that may seek assistance. The greater the number or proportion of persons with LEP in the AAA's PSA, the more likely expanded language services are needed, that may require additional steps beyond the telephonic interpretation services. The Federal Administration on Aging/Administration for Community Living (AoA/ACL) Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons advises recipients of federal funds to assess language needs and decide what reasonable steps they should take to ensure meaningful access for LEP persons. This Guidance also notes that even AAAs (as recipients of federal funds) that serve LEP persons on an unpredictable or infrequent basis should determine what to do if a LEP individual seeks services under the program in question. For those areas with smaller limited LEP populations, this plan need not be intricate and the required telephonic interpretation services may suffice. AAAs are encouraged to review the federal Guidance referenced above to review the four factor analysis recommended by AoA/ACL (through the Health and Human Services (HHS) Guidance), and for other useful information. This Guidance may be found at the following link:

<http://www.hhs.gov/ocr/civilrights/resources/specialtopics/lep/policyguidancedocument.html>

Questions 9-12: self-explanatory

NEEDS ASSESSMENT AND PLANNING PROCESS

Note: Complete this section for the 2020-24 Four Year Plan Period

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

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

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

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

Question 1:

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

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

A strategy used in outreach ventures that may be applicable to the development of the needs assessment is that of identifying individuals and organizations within the community who are positioned to link the AAA with older adults and their caregivers who have special needs and who are unlikely to participate in hearings and other group needs assessment activities. Examples of such individuals, organizations and establishments would include the following: banks, beauty

salons/barber shops, benefits counselors, businesses, civic & fraternal organizations, clergy/religious leaders, county based government agencies, disability advocacy and service organizations, discharge planners, doctors/dentists, elected officials ethnic specialty stores, supermarkets, fuel deliverers, geriatric education centers, gerontology centers, health/medical clinics, home care agencies, hospitals, housing officials, libraries, mail carriers, managed care organizations, neighborhood associations, neighborhood/community leaders, nonprofit agencies serving diverse groups and/or immigrant populations, pharmacies, religious organizations, schools/colleges/universities, supermarkets/ local retailers, transportation providers utility workers, veterans groups.

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

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

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

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

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

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

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

Question 4: self-explanatory

Question 5a and 5b: self-explanatory

Question 6: This is a forward-looking question to capture lessons-learned from this needs assessment process and how the next needs assessment may be conducted in light of these lessons.

Question 7: Complete planning roster for three or more needs which have been determined to be a priority for the AAA through the needs assessment process.

For each of the three or more needs, complete:

- Name Need (a brief name to create the roster entry)
- Description of Need
- Domain(s): Select one or more Domains

Eight age-friendly and livable community domains, outlined by WHO and AARP, include:

- Outdoor spaces and buildings;
- Transportation;
- Housing;
- Social participation;
- Respect and social inclusion;
- Work and civic engagement;
- Communication and information; and
- Community and health services.

<https://www.aarp.org/livable-communities/network-age-friendly-communities/info-2016/8-domains-of-livability-introduction.html>

- Plan to address need over next four years (including goal(s) and objective(s). i.e. developing, expanding or modifying services; increasing efficiency; coordinating across service delivery types; participation in interagency meetings, committees and boards; coordinating funding proposals with other organizations; establishing linkages with other agencies; increasing the availability of dementia-capable services and supports to individuals with Alzheimer's disease and related dementias and their caregivers.)
- How the plan focuses on older adults in greatest social or economic need

- Identify public and private resources providing community services in the PSA that meet this need, and description of intended actions to coordinate with these resources
- How does AAA plan to monitor progress and evaluate effectiveness in meeting this need

Question 8: self-explanatory

Question 9: self-explanatory

Question 10: self-explanatory

Question 11: The AAA's Advisory Council has a number of important roles to play in the needs assessment process. The Advisory Councils help infuse community input and ideas into the AAA planning process. Council members represent a variety of constituencies, interests and geographic areas, and their suggestions will provide helpful information to the AAA in reaching the goal of identifying the needs of older adults and their caregivers in the PSA. The Council members' ongoing involvement is required by Federal law and regulations and therefore the process should include their consultation and recommendations. (Section 306(a)(6)(d) of the Older Americans Act; and 45 CFR 1321.57). Additionally, Council members can be used as a resource to help each AAA carry out planned data gathering activities. Lastly, the Advisory Council should play a key role in the establishment of AAA priorities, future directions and program planning that are made as a result of the identified needs.

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 more effective 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 Plan.

b.- d. Provide requested information.

Submission is via email to the NYSOFA Aging Services Representative assigned to the AAA.

e. **For New York City only**, please note that State Regulations at 9 NYCRR section 6653.2 require that at least one public hearing be held within each county (borough) contained within the City of New York.

2. Describe specific strategies used in this annual planning cycle to seek 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)

The AAA should describe examples of specific strategies to engage the above listed populations and obtain their input. The AAA should not rely solely on existing clientele for feedback, but should do outreach to community partners dedicated to serving these populations for help in promotion and dissemination of notice of hearing. Examples of community partners dedicated to serving target populations might include United Way, Catholic Charities, DSS, Independent Living Centers, Alzheimer's Association, SAGE or other LGBT organization, Rural Health Networks, Literacy Volunteer organizations, etc.

Additional outreach and advertisement of hearing might be accomplished by advertisement in LGBT group newsletter, notice of hearing delivered to HDM recipients, hearing held at ILC or other target group's gathering place, advertisement in rural communities where older adults congregate such as local coffee shop, etc.

3. – 9. Self-explanatory

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

DISASTER PREPAREDNESS AND RESPONSE

Note: Complete this section for the 2020-24 Four Year Plan Period

When a disaster strikes, older persons and persons with disabilities may experience public health and human service needs that threaten their well-being. The growth of the aging population and the increasing numbers of frail older adults and persons with disabilities present unique challenges to community wide disaster planning and response efforts. The involvement of AAAs in disaster preparedness and response activities in coordination with community partners is crucial in keeping older adults safe and connected in times of crisis.

The Older Americans Act requires each AAA to prepare and develop an area plan for its planning and service area that includes information detailing with how the AAA will coordinate activities, and develop long-range disaster preparedness plans, with local and State governments, and any other entities that have responsibility for disaster relief service delivery. (OAA SEC 306 a (17) Indicate the plans that your AAA has for responding to emergencies during the Four-Year period of this plan in this section.

1. Although the AAA is not the primary responder in the event of a disaster, the AAA needs to have a strong and active presence in the local disaster preparedness planning response efforts and represent the needs of all older adults including those who are not registered clients. Describe in detail the activities the AAA participates in to develop, maintain, and implement disaster preparedness plans. Examples of activities include: ongoing participation in county wide disaster planning teams, distribution of emergency preparedness checklists, disaster preparedness trainings, etc.
2. Self-explanatory
3. Please indicate if your AAA will have an established desk at the County Emergency Operations Center (EOC) and what role, if any, your agency will play during a disaster activation. If your AAA does not have a regular presence at the EOC how will you interact and be trained to participate with disaster responding agencies when needed?
4. What training has your AAA participated in either as a group or individually with your local EOC? Have AAA Staff taken on-line FEMA trainings or emergency preparation courses from any other source?
5. Describe specific procedures AAA has in place to identify and meet the needs of individuals with disabilities and individuals with dementia during a disaster. Some examples include: blizzard bags, plan to check on individual's welfare, etc.

6. This section seeks information about any vulnerable individual registry that is maintained within your county. The registry could be housed with the AAA or with another entity. Please provide some details on the role that the AAA takes regarding assisting clients to sign up for the registry and/or updating the entries on a regular basis. What criteria is used to determine who can sign up for the registry?
7. Self-explanatory.
8. Please provide information on your outreach efforts during major storms and emergencies to reach vulnerable older adults who may be in need of information and assistance.

SENIOR CENTER/DESIGNATED FOCAL POINTS ROSTER

Note: Complete this section for the 2020-24 Four Year Plan Period

Instructions and definitions have been integrated into the Senior Centers/Designated Focal Points Roster page of the web-based form, please reference the page for this information.

NUTRITION SERVICES

Note: Complete this section for the 2020-24 Four Year Plan Period

1a, 1b. and 1c. Use of Registered Dietitians (RD):

The nutrition program requires a registered or registration-eligible dietitian to be on the staff of or working as a consultant for the AAA. Sufficient time and relevant resources must be budgeted for the position of RD to allow the AAA to implement a comprehensive nutrition service plan. The dietitian must be employed for an adequate number of hours to perform all necessary job duties related to assuring the overall health and safety aspects of program operation (including but not limited to menu planning, meal preparation, meal service and delivery) as well as duties related to nutrition screening, counseling and nutrition education. See the Nutrition Standards for requirements. Technical Assistance Memorandum 92-TAM-3, dated 2/26/92, can be used to determine if the current staffing level is adequate.

1a. Enter the total hours of RD services that will be provided per week.

1b. Of the total entered in 1a above, enter the total number of these hours per week that will be provided by a RD who is on staff or a consultant to the AAA. Do not include hours of the RD who is employed by a nutrition or meal program provider and does not support the AAA nutrition program.

1c. Enter the number of hours provided by any other Nutrition Professional that is either on staff at the AAA or a AAA Consultant. Titles included are Certified Dietitians/Nutritionists (CDNs); Certified Clinical Nutritionists (CCNs); Nutrition and Dietetic Technicians; Registered (NDTR) Technicians; and others as listed by the AAA. Please list the titles of the positions that the AAA has included in these hours.

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

2. Please describe how the AAA delivers Nutrition Counseling Services to meal program clients. NYSOFA is looking for information on any strategies that AAAs have for determining the clients to counsel; procedures in place for discerning the need for counseling based on the Nutrition Risk Assessment; and, whether the actual number of counseling sessions is increasing or decreasing and why.

3. Similarly, this question seeks details on the AAA's ability to deliver Nutrition Education information to both the Home Delivered Meal (HDM) clients and Congregate participants. See the Nutrition Standards for guidance. Please provide information on how the AAA meets the standard.

Questions 4, 5 and 6 require information on specific aspects of the nutrition services programs in each planning and service area.

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

5. Please provide the number of Congregate Dining Sites currently open within the planning and service area. (follow instructions on the screen)

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

7. Four-year Plan Goals for the Nutrition Programs:

Goal #1: Describe how the AAA will maintain a robust Congregate Dining Program during the next four years that is responsive to local preferences and available to those most in need.

Goal #2: Describe how the AAA will sustain a robust Home Delivered Meal program which is able to respond to local preferences and available to those most in need within the planning area.

See GOALS section of this Guide for additional guidance.

HEALTH PROMOTION SERVICES

Note: Complete this section for the 2020-24 Four Year Plan Period

1. Using the roster provided, indicate **all evidence-based** disease prevention and health promotion model programs the AAA plans to fund during the Four Year Plan Period. Please select the model being used from the list, specify the name used for the program locally, list all funding sources for that program, whether outside reimbursement (i.e. from a health system or insurer) is being received or sought, select one of the implementation status choices, select whether directly provided or contracted (if contracted, list contractor), and enter the estimated number of unduplicated participants annually. The number of unduplicated participants for each program would be the number of individuals expected to attend at least one session of the program. Include all evidence-based model programs/interventions regardless of the funding source.

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

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

2. Check (✓) the appropriate box(es) indicating which health promotion activities the AAA intends to provide with **Title III-B, Title III-E, EISEP, CSE, CSI, MIPPA* or other (non Title III-D) funding**. If the “other” box is checked, provide a brief description of the health promotion activities that will be implemented. This question is the appropriate place to indicate the AAA’s health promotion activities that are not evidence-based programs. Any evidence-based programs should not be indicated in Question 2, they are to be listed in Question 1 instead.
* MIPPA can only fund Medicare Preventive Services Education/Promotion in this list

3. Complete the GOAL framework for the evidence-based health promotion goal indicated. See GOALS section of this Guide for additional guidance.

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

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

See 15-PI-18 Health Promotion/Title III-D

Evidence-Based Health Promotion Programs in 2020-24 Four Year Plan Drop-Down List*:

Active Choices	IMPACT (Improving Mood-Promoting Access to Collaborative Treatment)
Active Living Every Day (ALED)	MedOptz
A Matter of Balance (MOB)	National Diabetes Prevention Program (NDPP)
AEA Arthritis Foundation Aquatic Program (AFAP)	New York University Caregiver Intervention (NYUCI)
AEA Arthritis Foundation Exercise Program (AFEP)	On the Move (OTM)
Aging Mastery Program (AMP)	The Otago Exercise Program
Arthritis Self-Management (Self-Help) Program (ASMP)	PEARLS-Program to Encourage Active, Rewarding Lives for Seniors
Better Choices, Better Health – Chronic Disease	Positive Self-Management Program for HIV (PSMP)
Better Choices, Better Health-Arthritis	Powerful Tools for Caregivers
Better Choices, Better Health-Diabetes	Prevention & Management of Alcohol Problems in Older Adults
BRI Care Consultation TM	Program of All-Inclusive Care for the Elderly (PACE)
Bingocize®	Programa de Manejo Personal de la Arthritis
Brief Intervention & Treatment for Elders (BRITE)	Programa de Manejo Personal de la Diabetes
CAPABLE	REACH Community (Resources for Enhancing Alzheimer's Caregivers Health in the Community)
Care Transitions Intervention (CTI)	Resources for Enhancing Alzheimer's Caregiver Health II (REACH II)
Chronic Disease Self-Management Programs (CDSMP)	SHARE (Support, Health, Activities, Resources, and Education) for Dementia
Chronic Pain Self-Management Program (CPSMP)	Savvy Caregiver
Diabetes Self-Management Program (DSMP)	Stay Active and Independent for Life (SAIL)
Eat Smart, Move More, Weigh Less	Stepping On
Enhance® Fitness	Stress-Busting Program for Family Caregivers
Enhance Wellness	Tai Chi for Arthritis
Falls Talk	Tai Chi: Moving for Better Balance
FallScape	TCARE Support System (Tailored Caregiver Assessment & Referral)
Fit and Strong!	Tomando Control de su Salud
Geri-Fit® Strength Training Workout	Walk with Ease (Group program)
Health Coaches for Hypertension Control (HCHC)	Walk with Ease (Self-directed program)
Healthy IDEAS (Identifying Depression, Empowering Activities for Seniors)	Wellness Recovery Action Plan (WRAP)
Healthy Moves for Aging Well	Wellness Initiative for Senior Education (WISE)
Healthy Steps for Older Adults (HSOA)	Workplace Chronic Disease Self-Management (wCDSMP)
Healthy Steps in Motion (HSIM)	Other: _____
HomeMeds (Medication Management Improvement System)	

*Drop-down list in electronic form may be updated subsequent to the production of this Guide for Completion document.

Resources:

- ACL Health Promotion: <https://acl.gov/programs/health-wellness/disease-prevention>
- Center for Disability and Aging Policy (CDAP), Office of Performance and Evaluation, Aging and Disability Evidence-Based Programs and Practices (ADEPP) webpage: <https://acl.gov/programs/strengthening-aging-and-disability-networks/aging-and-disability-evidence-based-programs>
- National Council on Aging listing of evidence-based health promotion programs: <https://www.ncoa.org/resources/ebpchart/>
- CDC: Compendium of Effective Fall Interventions: What Works for Community-Dwelling Older Adults: <https://www.cdc.gov/homeandrecreationalsafety/Falls/compendium.html>
- HealthyPeople.gov: Healthy People 2020 Evidence-Based Resources: https://www.healthypeople.gov/2020/tools-resources/Evidence-Based-Resources?f%255b0%255d=field_topic_area%253A3493
- NCI: Research-tested Intervention Programs (RTIPs): <https://rtips.cancer.gov/rtips/index.do>
- NIH: Cancer Control P.L.A.N.E.T. portal: <https://cancercontrolplanet.cancer.gov/planet/>
- SAMHSA: Evidence-Based Practices Resource Center: <https://www.samhsa.gov/ebp-resource-center>

SUPPORTS FOR CAREGIVERS

Note: Complete this section for the 2020-24 Four Year Plan Period

TITLE III-E: NATIONAL FAMILY CAREGIVER SUPPORT PROGRAM (NFCSP)

The National Family Caregiver Support Programs provide critical services to adult family members or other informal caregivers (aged 18 and older) providing care to someone 60 years of age or older; someone of ANY AGE with Alzheimer's disease and related disorders; older relatives aged 55 and older providing care to children under age 18 (not parents); and adults age 18-59 with disabilities (includes parents).

Family caregivers present unique needs and preferences. Therefore, AAAs need to be:

- Flexible in services;
- Innovative; and
- Person-Centered.

1. Please describe how the AAA and their service partners plan to raise public awareness of caregiving and supports available to caregivers. In the description, include how the AAA and their service partners plan to reach the targeted caregiver groups identified through The 2016 Reauthorization of the Older Americans Act.

2a. – 2e. Each of the five NFCSP Service Categories **MUST** be made available to caregivers in the Planning and Service Area. For each category, please describe the type of services to be provided to caregivers. NYSOFA strongly encourages each AAA to consider utilizing some of their Title III-E funds for the respite category and not limit eligibility and service type by solely using another funding stream, such as EISEP. This is particularly important because the respite service category must be used for the caregiver, while the service may be delivered to the care recipient. **Please be sure to include services from ALL funding streams.**

2a. **Information to caregivers about available services.** For this service type, please describe how the AAA and their subcontractors will conduct public and media activities that convey information to caregivers about available services. Examples include: in-person interactive presentation to the public; a booth/exhibit at a fair, conference, or other public event; and a radio, TV, or website event.

2b. **Assistance to caregivers in gaining access to services.** For this service type, please describe how the AAA and their subcontractors will provide caregivers with current information on opportunities and services available to them within their communities. Services are those that:

- Provide information relating to assistive technology;
- Assesses the problems and capacities of the individuals;
- Links the individuals to the opportunities and services that are available;
- To the maximum extent practicable, ensures that the individuals receive the services needed by the individuals, and are aware of the opportunities available to the individuals, by establishing adequate follow-up procedures; and
- Serves the entire community of older individuals, particularly caregivers who are:
 - Older individuals with greatest social need; older individuals with greatest economic need;

- Family caregivers who provide care for individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and
- Caregivers of "frail" individuals defined as: unable to perform at least two activities of daily living without substantial human assistance, including verbal reminding, physical cueing, or supervision; and/or cognitive or other mental impairment, requires substantial supervision because the individual behaves in a manner that poses a serious health or safety hazard to the individual or to another individual.

2c. Caregiver Services. Please describe how the AAA will support caregivers with one or any of the following caregiver services (must provide at least one).

Be sure to identify any service limits that will be in place under this category.

- **Counseling.** Describe services that will support caregivers and assist them in their decision-making and problem solving. Counselors need to be service providers that are degreed and/or credentialed, trained to work with older adults and families and specifically trained to understand and address the complex physical, behavioral and emotional problems related to their caregiver roles.
- **Caregiver Training.** Describe services that will provide family caregivers with instruction to improve knowledge and performance of specific skills relating to their caregiving roles and responsibilities. Skills may include activities related to health, nutrition, and financial management; providing personal care; and communicating with health care providers and other family members. Training may include use of evidence-based programs; be conducted in-person or on-line and be provided in individual or group settings.
- **Support Group(s).** Describe services that will be led by a trained individual, moderator, or professional, to facilitate caregivers to discuss their common experiences and concerns and develop a mutual support system. Support groups are typically held on a regularly scheduled basis and may be conducted in person, over the telephone, or online. *For the purposes of Title III-E funding, caregiver support groups do not include "caregiver education groups," "peer-to-peer support groups," or other groups primarily aimed at teaching skills or meeting on an informal basis without a facilitator that possesses training and/or credentials.*

2d. Respite Care. For this service type, please describe what respite options will be provided to caregivers. Respite care is a service which offers temporary, substitute supports or living arrangements for care recipients in order to provide a brief period of relief or rest for caregivers. Respite care may be offered both in the home and out of the home. The respite service category must be used for the caregiver, while the service may be delivered to the care recipient.

Be sure to identify any service limits that will be in place under this category.

2e. Supplemental Services. Please describe the types of supplemental services that will be provided and the method that will be used to distribute these services. Supplemental services should be provided on a limited basis to complement the care provided by caregivers.

Be sure to identify any service limits that will be in place under this category.

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

This section covers services to grandparents and/or older relative caregivers (must be 55 years of age or older), who are not the parents, caring for a child. The child may or may not have a

disability. It also covers services to older caregivers (must be 55 years of age or older), who are the parents, caring for an adult with a disability who is between the ages of 19-59.

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

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

3a. Information to grandparent and/or older relative caregivers about available services.

For this service type, please describe how the AAA and their subcontractors will conduct public and media activities that convey information to older relative caregivers about available services. Examples include: in-person interactive presentation to the public; a booth/exhibit at a fair, conference, or other public event; and a radio, TV, or website event.

3b. Assistance to grandparent and/or older relative caregivers in gaining access to services. For this service type, please describe how the AAA and their subcontractors will provide grandparents and/or older relative caregivers with current information on opportunities and services available to them within their communities. Services are those that:

- Provide information relating to assistive technology;
- Assesses the problems and capacities of the individuals;
- Links the individuals to the opportunities and services that are available;
- To the maximum extent practicable, ensures that the individuals receive the services needed by the individuals, and are aware of the opportunities available to the individuals, by establishing adequate follow-up procedures; and
- Serves the entire community of older individuals, particularly caregivers who are:
 - Older individuals with greatest social need; older individuals with greatest economic need;
 - Older relative caregivers of children with severe disabilities, or individuals with disabilities who have severe disabilities;

3c. Caregiver Services. Please describe how the AAA will support grandparent and/or older relative caregivers with one or any of the following caregiver services (must provide at least one).

Be sure to identify any service limits that will be in place under this category.

- **Counseling.** Describe services that will support caregivers and assist them in their decision-making and problem solving. Counselors need to be service providers that are degreed and/or credentialed, trained to work with older adults and families and specifically trained to understand and address the complex physical, behavioral and emotional problems related to their caregiver roles.
- **Caregiver Training.** Describe services that will provide family caregivers with instruction to improve knowledge and performance of specific skills relating to their caregiving roles and responsibilities. Skills may include activities related to health, nutrition, and financial management; providing personal care; and communicating with health care providers

and other family members. Training may include use of evidence-based programs; be conducted in-person or on-line and be provided in individual or group settings.

- **Support Group(s).** Describe services that will be led by a trained individual, moderator, or professional, to facilitate caregivers to discuss their common experiences and concerns and develop a mutual support system. Support groups are typically held on a regularly scheduled basis and may be conducted in person, over the telephone, or online. *For the purposes of Title III-E funding, caregiver support groups do not include “caregiver education groups,” “peer-to-peer support groups,” or other groups primarily aimed at teaching skills or meeting on an informal basis without a facilitator that possesses training and/or credentials.*

3d. Respite Care. For this service type, please describe what respite options will be provided to grandparents and/or older relative caregivers. Respite care is a service which offers temporary, substitute supports or living arrangements for care recipients in order to provide a brief period of relief or rest for caregivers. Respite care may be offered both in the home and out of the home. (i.e. Summer camp, child care, caregiver-directed respite, etc.) The respite service category must be used for the grandparent and/or older relative caregiver, while the service may be delivered to the care recipient.

Be sure to identify any service limits that will be in place under this category.

3e. Supplemental Services. Please describe the types of supplemental services that will be provided and the method that will be used to distribute these services. Supplemental services should be provided on a limited basis to complement the care provided by grandparents and/or older relative caregivers.

Be sure to identify any service limits that will be in place under this category.

4. Caregiver Resource Center (CRC) – State funded [only applies to AAAs with NYS funded CRC programs: Broome, Cattaraugus, Clinton, Cortland, Fulton, Genesee, Madison, Monroe, Nassau, Onondaga, Orange, Putnam, Rockland, Steuben, Sullivan, Tompkins & Westchester]

4a. Check boxes have been provided in this section for AAAs to indicate if there is a designated location for the CRC (such as a room in its suite of offices in the county office building).

4b. Please describe in each of the following two service categories what specific activities the AAA plans to carry out with CRC funding. If the AAA will not be using funds for one of the categories, please indicate this by responding with n/a in the text box.

- Information to caregivers about available services
- Caregiver Services

4c. Please indicate if there are any special needs populations that will be served (for example, caregivers for older adults with developmental disabilities).

CASE MANAGEMENT

Note: Complete this section for the 2020-24 Four Year Plan Period

Instructions and definitions have been integrated into the Case Management page of the web-based form, please reference the page for this information. See GOALS section of this Guide for additional guidance.

LEGAL ASSISTANCE

Note: Complete this section for the 2020-24 Four Year Plan Period

The Legal Assistance Program is an advocacy program providing older adults having economic or social need with legal advice and representation by an attorney¹. It is a IIIB priority service with required minimum expenditure levels. (see Attachment B section of this Guide for additional details) To meet the statutory and regulatory requirements with the limited OAA funding, legal assistance must be targeted to particularly needy persons, as specified in the OAA. The AAA should consider the existence and availability of other resources for meeting the legal needs of the targeted populations (see 94-PI-52) as it develops and administers its local program. The OAA requires the AAAs give priority to legal assistance related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect, and age discrimination. The OAA (related federal regulations) and state regulations (9 NYCRR §6654.12) require coordination of the OAA funded Legal Assistance Programs with the Legal Services Corporation (LSC) grant projects in the PSA and attempt to involve the private bar in legal assistance activities, including groups within the private bar furnishing services to older adults on a pro bono and reduced fee basis.

1. Complete the table by identifying organizations by name that are current and/or proposed local partners. Other entities that might be potential partners in meeting the legal assistance needs of older adults in your community include housing organizations, social services entities, health entities, family mediation organizations, family justice centers, and the court system (some of which have programs that offer assistance for people representing themselves in a legal matter or provide forms that the public can use). AAAs are encouraged to identify entities in addition to the LSC grantee that are providing legal assistance in the AAA's service area and other organizations whose mission relates to assisting people experiencing problems related to the priority categories. List the AAA's local partners (both required and suggested) necessary to develop, operate, and/or support the coordinated delivery of legal assistance/services related to income, health care, long-term care, nutrition, housing, utilities, protective services, limited guardianship matters², abuse, neglect, and age discrimination to older adults in greatest social or economic need³.

There are two categories of partners:

- **Required partners** are: Legal Assistance Provider(s), the Legal Services Corporation Grantee, the private bar (i.e., county-based Bar Association and/or other attorney

¹ The assistance must be related to providing legal advice and representation to older individuals with economic or social need. The funds may not be used to provide general legal counsel to the organization that operates the local ombudsman program.

² With respect to legal assistance related to guardianship matters, pursuant to the OAA the provider may represent: the alleged incapacitate person to defend him or her in a proceeding for the appointment of a guardian; individuals who are subject to a guardianship order in seeking a modification; older individuals who seek to become guardians if other adequate representation is unavailable in the proceedings; or older individuals who provide uncompensated care to their adult children with disabilities and for such individuals counseling to assist such older individuals with permanency planning for such children.

³ Legal assistance is the only defined service in the OAA that includes a targeting requirement as part of the definition. Legal assistance is defined in OAA §201(33) as "legal advice and representation provided by an attorney to older individuals with economic or social need".

membership organizations in the area), and the regional / local Long Term Care Ombudsman Program (LTCOP).

- **Suggested partners** may include: governmental agencies (e.g., the agency responsible for protective services for adults, the courts and the regional office of the New York State Attorney General), nonprofit organizations (particularly those that provide legal assistance or advocacy services), and private entities (i.e., law firms, private practitioners and law schools). The table includes an unlimited number of spaces to identify other organization types providing the AAA the opportunity to include other interested organizations and individuals as partners to achieve the goal and objectives.

2. Four Year Plan Goal for Legal Assistance: Describe how the AAA will partner with nonprofit organizations, private entities, governmental agencies and individuals to build a local, integrated legal services delivery system that effectively and efficiently uses the resources of the legal and advocacy communities to prevent their abuse, neglect, exploitation of older adults and protect their rights.

See GOALS section of this Guide for additional guidance. When listing the objectives for the delivery of legal assistance in the GOALS section the AAA may use the requirements found below to develop objectives. For example, if the AAA does not contract with the LSC Grantee and has not established a relationship through which it is able to coordinate OAA funded legal assistance with the LSC Grantee's projects and assure that older adults receive a proportional share of representation from the LSC Grantee, the AAA could make it one of its objectives.

- Coordination of area agency OAA funded legal assistance with existing Legal Services Corporation (LSC) projects in the PSA, to assure that older adults receive a proportional share of representation from the LSC grantee and avoid duplication;
- Prioritization of legal assistance/services related to income, health care, long-term care, nutrition, housing, utilities, protective services, limited guardianship matters permitted by the OAA, abuse, neglect and age discrimination to older adults;
- Effort to be made by the legal assistance provider(s), in coordination with the AAA, to involve the private bar in legal assistance for older adults on a pro bono or reduced fee basis;
- Development of a system of assisted case referrals to the private bar, including appropriate follow-up to verify that services have been provided; and
- Assistance to the local long-term care ombudsman program in the form of providing information and technical assistance to the local program related to resident rights and other legal issues of older adults in the facilities covered by the ombudsman program.

3. and 4. Self-explanatory.

HEALTH INSURANCE INFORMATION COUNSELING AND ASSISTANCE PROGRAM (HIICAP)

Note: Complete this section for the 2020-24 Four Year Plan Period

The local HIICAP (comprised of professional staff and trained volunteers) will assist eligible Medicare Beneficiaries of all ages to identify, understand and enroll in programs and plans such as Medicare Part D, Medicare Prescription Drug Low Income Subsidy (LIS) program, Medicare Advantage plans, Medicare supplemental insurance policies, Medicare Savings Programs (MSP), long-term care insurance, and other public and private health insurance coverage options. HIICAP will provide individualized counseling assistance throughout the year, including during the Special Enrollment Periods (SEPs) and the Annual Enrollment Period (AEP). Additionally, HIICAP will conduct outreach efforts to expand access to services among new Medicare enrollees.

This section of the Plan requires AAAs to complete twelve questions related to Health Insurance Counseling. AAAs should provide enough narrative and program description to ensure NYSOFA's understanding of the program and thereby facilitate approval.

1. Please describe planned efforts to expand total client contacts through outreach and counseling.
2. Please describe planned efforts to expand group, media and educational outreach events.
3. Please describe planned efforts to reach low-income beneficiaries.
4. Please describe planned efforts to expand and assist Medicare beneficiaries who will require Part D enrollment assistance.
5. Please describe all actions HIICAP will take to reach and serve populations with limited English proficiency; low literacy; targeted ethnic and racial groups; and those who live in intense urban or rural areas.
6. Please describe the activities your HIICAP program will provide in counseling and educating the public on Medicare wellness and preventive benefits. Be sure to include specific examples of the resources you plan to use.
7. This question provides NYSOFA with information on how many weekly "paid" hours the HIICAP Coordinator dedicates to the program. Be sure to only include the HIICAP Coordinator's hours. Do not include additional support staff.
8. Please answer "yes" or "no" regarding the HIICAP Coordinator performing other non-HIICAP functions for the agency. If the answer is "yes," please list other non-HIICAP duties the Coordinator provides.
9. Please provide the days and hours of operation that HIICAP is available to provide one-on-one assistance to Medicare beneficiaries.
10. The Managed Care Consumer Assistance Program (MCCAP) is a state funded program that consists of several non-for-profit agencies. These agencies provide assistance to HIICAPs and

low-income seniors and beneficiaries with disabilities in accessing services and reducing their Medicare costs. The network provides various services including, but not limited to:

- General Medicare and Medicaid information and assistance on (dual) eligibles;
- EPIC, Extra Help, and MSP counseling and enrollment;
- Legal representation in Medicare appeals and Medicaid Fair Hearings;
- Counseling around long-term care and home care; and
- Referral assistance to HIICAP during the AEP.

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

If “yes,” please select the MCCAP agency(s) that your County HIICAP Program utilizes.

11. Please specify the number of HIICAP volunteers your program currently has.

12. This question provides NYSOFA with information on your agency’s plans relative to volunteer recruitment and retention within HIICAP. Be sure to include the names of any organizations that the AAA plans to partner with to increase and maintain HIICAP’s volunteer base. See GOALS section of this Guide for additional guidance.

GENERAL SERVICES

Note: Complete this section for the 2020-24 Four Year Plan Period

For each of the five services listed, check (√) the type(s) of activities planned to be offered by the AAA during the Four Year Plan period. Insert a brief description regarding any other activities which are written in by the AAA.

In the text boxes provided, describe specific details on the structure of the planned services, including service delivery locations and use of volunteers. Indicate any plans to develop services as well.

CONTRIBUTIONS

Note: Complete this section for the 2020-24 Four Year Plan Period

1. Specify AAA and subcontractor contribution policies and practices as they apply to the services listed in Question Number 1 of this section. Outline methods used to insure the voluntary nature, the confidentiality, and the security of these contributions. Please note, as well, that The 2016 Reauthorization of the Older Americans Act specifies that voluntary contribution levels must be based on actual service costs and shall be encouraged from individuals whose self-declared income is at or above 185% of the federal poverty line.

2. Self-explanatory

3. Describe how the AAA will provide the opportunity for voluntary contribution to service recipients who have a language of preference other than English. AAAs should have several mechanisms in place to offer the opportunity to contribute to service recipients who have a language preference other than English. Depending on the number of individuals and languages spoken, some mechanisms to convey this opportunity might include bilingual staff, translated copy of contribution policy provided to the consumer, use of telephonic interpretation services, etc.

AAAs should consult Program Instruction 18-PI-17, NYSOFA Policy on Program Income, dated 7/27/18, for additional information on contributions.

LEVERAGED RESOURCES

Note: Complete this section for the 2020-24 Four Year Plan Period

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

Indicate the name of the Agency/Organization, contact information, the services provided which benefit the older adults in the PSA and an estimated annual dollar value of these services. Do not include services for which the AAA has a contract with the Agency/Organization to provide. The value of services which are not part of an existing contract with the AAA can be added.

Examples:

- The AAA has a contract with the Salvation Army to provide meals at a congregate site they operate. The AAA learns that the Salvation Army has an in-house staff person who is trained in providing classes for health promotion and home injury controls. After speaking with them they agree to provide lunchtime classes two days a week without charge. The value of the health promotion and the home injury controls would be added to the chart but the value of the meals would not.
- The AAA presents a proposal to the local transit authority that "Thursdays Seniors Ride Free". Their planning department estimates that 40 older adults will take advantage of this at an annual value of \$4,000. The transit board adopts this and service begins. The \$4,000 would be reported as an added resource secured through the efforts of the AAA.
- The AAA approaches the local Council of Churches with information of the need for expanded senior housing in their area. The AAA provides possible locations and grants for which the council could apply. The Council adopts this idea and proceeds forward with the involvement of the AAA. They are successful in obtaining the grant and funding and in building. The AAA can show the estimated value of this as a resource secured through their effort and involvement.

REVENUE DIVERSIFICATION

1. Each AAA must indicate by checking the “Yes” or “No” line if they have (or plan to enter into) any contracts to provide services to a health system or other provider (e.g. MCO, health insurers, Community Based Organizations (CBOs), hospitals, physicians or other providers).

- If the AAA will provide services to a health system or other providers, they must enter the name of each organization with which they will contract. For each organization/contract indicate the service(s) the AAA will provide, the contracted unit rate (if applicable), a description of the reimbursement agreement (if not a unit rate reimbursement) and anticipated annual value of contract.

The cost and units of service(s) provided to a health system or other providers must also be included on the “Additional Funding” page and in the “All Other Programs” column of the Service Delivery and Resource Allocation Plan – State & All Other Programs page as well as all other relevant pages. NYSOFA reminds AAAs that any contracts for these services must provide the AAA with full reimbursement for the cost of the services including necessary administrative costs such as reporting, etc. AAA funds may not be used to supplement the costs of any services provided in a buy/sell arrangement with a health system or another provider.

2. Self-explanatory.

ADDITIONAL FUNDING

This page is an inventory of **all** AAA funding without a dedicated program column on the Service Delivery and Resource Allocation Plan pages. **All** funding used to support the AAA and its services, regardless of source, should be accounted for on this page. This page will also serve as the “master” source for all funding codes and will populate the keys on the bottom of the rosters and Service Delivery and Resource Allocation Plan.

All amounts entered on this page will transfer to the appropriate cells in the “All Other Programs” column of Page 2 on the Service Delivery and Resource Allocation Plan. The services available for all ‘other’ NYSOFA administered funds have been provided. These are the only services available within these funding sources. For all funding sources outside of NYSOFA the “Add Services” button will be used.

For all NYSOFA administered funding enter the amount anticipated for SFY 2020-21 for each of the listed programs administered by the AAA in the “Other Sources Amount” column.

For all other funding sources, click on the “Add Services” button and select all applicable services provided for the funding stream. Enter the amount anticipated for SFY 2020-21 for each of these additional funding sources and programs administered by the AAA in the “NYSOFA Administered Amount” column.

Although the NY Connects program provides some services which are similar to other AAA funded services, AAAs are instructed to include all service costs for this program 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 (including federal funds and local matching funds, if applicable).

NY Connects 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 pre-populated into a drop-down menu. Please select a service from the menu provided wherever possible; write-in a service only if none of the pre-populated options are appropriate to use. Depending on the Service chosen, some fields will be hidden, as they do not need to be completed. The field asking to define a unit is hidden for any service in the drop-down where the unit is prescribed within the Statewide Client Data System. 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 'Additional Funding' 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.

III-E ALLOCATION TABLE

This table must be completed for all III-E services provided by the AAA. These totals will auto fill the appropriate service categories on the Service Delivery and Resource Allocation page.

Please enter **total** units and funding for each service category in the “III-E Total” columns. Only those units and funding directly related to grandparent/older relative services should be provided in the columns “III-E Grandparent/Older Relative” as only these III-E services have special reporting requirements.

For the III-E column – the Older Americans Act requires that at least one service under each of five service categories (information; assistance; counseling, support groups and training; respite and supplemental services) is available to caregivers as part of the AAA’s caregiver program.

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

Service Categories & Standard Services

Information:

Outreach
Public Information

Assistance:

Information & Assistance
Case Management
Other, specify:

Counseling/Support Groups/Training:

Counseling
Support Groups
Training

Respite:

Personal Care Level I
Personal Care Level II
Home Health Aid
In-Home Contact & Support

Social Adult Day
Adult Day Health
Overnight Adult Home
Overnight Nursing Home
Other, specify:

Supplemental:

Personal Emerg. Response System
Equipment
Home Delivered Meals
Transportation
Legal Services
Assisted Transportation
Home Modification
Other, specify:

Service as Listed in Title III-E Column of the SERVICE DELIVERY & RESOURCE ALLOCATION PLAN

Outreach (Line 14)
Other (Line 21)*

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

Caregiver Counseling (Line 19.a)
Caregiver Support Groups (Line 19.b)
Caregiver Training (Line 19.c)

Personal Care Level I (Line 2)
Personal Care Level II (Line 1)
Home Health Aide (Line 3)
In-Home Contact & Support (Line 15)
(Supervision of Care Receiver & Friendly Visiting)
Adult Day Services (Line 5)
Adult Day Services (Line 5)
Other (Line 21)*
Other (Line 21)*
Other (Line 21)*

Personal Emerg. Response System (Line 18)
Other (Line 21)*
Home Delivered Meals (Line 4)
Transportation (Line 10)
Legal Assistance (Line 11)
Assisted Transportation (Line 9)
Other (Line 21)*
Other (Line 21)*

* ‘Other’ services must also be described on the OTHER SERVICES page.

General Rule:

Defined Services: are those defined in the Standard Definitions 17-PI-30. These defined services are shown on the **SERVICE DELIVERY & RESOURCE ALLOCATION PLAN – FEDERAL/STATE** (Fiscal Pgs. 1 & 2) lines 1-19

‘Other’ Services: are those NOT defined in the Standard Definitions 17-PI-30. These ‘other’ services are NOT shown on Fiscal Pages 1 & 2, lines 1-19 of the Plan.

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

For Example:

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

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, Unmet Need, 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), Statewide Client Data System, and annual evaluations. Please refer to the Standard Definitions for Services and Units of Service, Program Instruction 17-PI-30, 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 III-E column – complete the III-E Allocation Table to populate this column.
- 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
- 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 health system or other provider, or any other buy/sell arrangements for meals, should be included in the AAA's Plan in the 'All Other Programs' column of the Service Delivery and Resource Allocation Plan page. Meals sold to a health system or other provider and related expenditures may only be included in the 'Other' column of the SERVICE DELIVERY AND RESOURCE ALLOCATION PLAN, not within NYSOFA program budgets. Meals sold to a health system or other provider, or any other buy/sell arrangements, are not eligible for NSIP reimbursement. AAAs must include the number of non-NSIP eligible buy/sell meals on the NSIP Ineligible Meals line provided under both HDM and Congregate Meals.

AAAs that enter into any 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.

All expenses related to an agreement with health system or other providers in a buy/sell arrangement must also be reflected in the appropriate roster(s) within the AAA's Plan, as applicable. For instance, if AAA staff time was used to satisfy the agreement between the health system or other provider and the AAA, a corresponding portion of the time for the employees involved must be allocated to the health system or other provider contract funding stream within the Personnel Roster. If any of the services necessary to complete the requirements of the arrangement were subcontracted to an outside entity, then this must be properly accounted for within the Contractor Roster. If any new equipment purchases are to be used in any part to satisfy the requirements of the arrangement between the health system or other provider and the AAA then this amount must be properly reflected in the Equipment Roster. Finally, if any portion of any rent expense recorded within the Rent Allocation Schedule is attributable to satisfying the requirements of the arrangement with the health system or other providers and the AAA, then this expense must also be properly reflected there.

Totals and tie-ins:

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

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

The total funding for each of the EISEP, Unmet Need, CSE, CSI and WIN programs **must** equal the total amounts budgeted on the **APPLICATION FOR FUNDING, SUMMARY BUDGET FOR EISEP, Unmet Need, 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 Information and Assistance, Line 13, must be greater than or equal to the amount of funding indicated for the Line 13 portion(s) of HICAP, MIPPA and CRC in the **ADDITIONAL NYSOFA FUNDING** 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 **ADDITIONAL NYSOFA FUNDING** 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.

- 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 **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.

Cost Per Unit Review

AAAs will review and explain average cost per unit (CPU) information for each of nine services: personal care levels I and II, home delivered meals, adult day services, case management, congregate meals, transportation, nutrition counseling and assisted transportation prior to submission of the Plan to NYSOFA.

Interpreting the form The first column is the AAA's CPU projection from the SFY 2019-2020 Plan. The second column represents the CPU projection from the proposed SFY 2020-2021 Plan. The third column will calculate the variance between SFY 2019-2020 and the SFY 2020-2021 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, 2018 to June 30, 2019, as calculated using actual CAARS and client data. The fifth column represents the variance between SFY 2020-2021 Plan and the CAARS expenditures information. Variances of 10% or more will be represented in color; the AAA will be asked to explain the reason for the variance.

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). Two pages for the State programs: EISEP, CSE, CSI, and WIN (Fiscal Page 2A); Unmet Need, CRC, State Transportation, and HIIICAP (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 continued State funded programs (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 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 1/1/20-12/31/20.

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 (see also “Completing the rosters and schedules” on page 4 of this Guide). 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, one AAA staff designated or responsible for nutrition program oversight.

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 "Other Funding Source Codes" (accessible from the bottom of the screen) should be used to identify other sources of funding.

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

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

Tie-in to Applications for Funding

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

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

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

2. Fringe Benefits

The applications do not require a breakdown for each fringe benefit cost. Rather, the total cost of fringe benefits and the composite percentage is required for each program on the **SUMMARY BUDGET** pages. Do not include the cost of vacation, sick leave, or other leaves in the fringe benefit category. The composite percentages listed on the **SUMMARY BUDGET** should be computed by dividing the total fringe benefit cost by the total annual salary cost for each program.

If the composite fringe benefit percentage for an individual program exceeds the average fringe benefit percentage included on **ATTACHMENT E – Fringe Benefit Percentage** by more than 15%, the reason for the deviation(s) **must** be explained on **ATTACHMENT E**.

3. **Equipment**

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

EQUIPMENT SCHEDULE

This schedule must reflect all AAA equipment funded either totally or in part through grants administered by NYSOFA. (The **EQUIPMENT SCHEDULE** 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 1/1/20-12/31/20. 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 "Other Funding Source Codes" (accessible from the bottom of the screen) should be used to identify other sources of funding.

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 Plan 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 1/1/20-12/31/20.

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 nonprofit 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 physical address and owner of the facility (see also “Completing the rosters and schedules” on page 4 of this Guide). 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 “Other Funding Source Codes” (accessible from the bottom of the screen) should be used to identify other sources of funding.

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.
- 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** must list all entities with whom the AAA has entered into a formal agreement to provide services that coincides with year one of the Plan Period (2020-21). For all major NYSOFA programs, space is provided to enter the total amounts of funds to be awarded to each contractor. See also “Completing the rosters and schedules” on page 4 of this Guide.

- Review the list of contractors and check (√) if the contractor will be active or inactive during year one of the Plan Period (2020-21).
- 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.
 - MWBE – a minority or women owned business enterprise
 - Rural contractor
 - RD – registered dietitian
 - Consultant

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 require the completion of a For-Profit Certification Form in the system. A section for accomplishing this will appear on the Contractor Roster page when the entity has been identified as for-profit and the entry has been saved. Return to that Contractor's entry to click on the "Add Contract" button to access the Certification Form. Completion of these certifications will be required before the Plan can be submitted. (**see For-Profit Certification Form section below**)

- 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 Plan automatically calculates this field.
- For **new** contractors, complete all of the required contractor information:
 - Contractor name,
 - Contractor address,
 - Assign the contractor Code – this should be the next chronological number after the current highest contractor code,
 - Enter the Employer ID number (9 digits),
 - Enter the contractor's E-Mail address, phone and fax numbers.
 - 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. If using TBD, Contractor Roster Explanation must be completed on Attachment E.
- 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**.
- Click on the "Add Services" button and select all applicable services provided for the funding stream and the contractor you have selected. Please note that available services are determined by the funding stream selected. Indicate the amount of funding per service. For Title III-E, select if the services for that funding stream are grandparent-related. Amounts will automatically total at the bottom of the window. Upon saving the services page, refresh the contractor page, and you will then see a revised total for that funding source. Please then save that contractor entry.

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

FOR-PROFIT CERTIFICATION FORM

AAAs who contract for services with for-profit entities are required to complete and submit the electronic certification form with the submission of the Plan as part of the Contractor Roster process. In addition, each new contract that is entered into during the year with a for-profit contractor will require the AAA to submit a For-Profit Certification Form (Form) in the Budgeting and Reporting System. This requirement covers new contracts, renewals of existing contracts and successor contracts with the same for-profit contractor for any AAA service. AAAs will be required to complete the Form and certify that they have taken the necessary steps to confirm that the contract they have entered into meets the requirements of both State and federal regulations. Fiscal staff at NYSOFA will record receipt of the Form for each for-profit contract submitted. Completion of these certifications is required before the Plan can be submitted.

Instructions for Completing the Electronic Form:

- In Section 1 please provide information on the contractor
- Section 2 please enter contractor contact information. Please complete all of the items.
- Section 3 requires that the AAA certify that they have met the requirements as outlined in 9 NYCRR 6652.10, Section 212 of the OAA regarding contracting with a for-profit organization or individual, and targeting and equal access requirements set in 12-PI-08 and 13-TAM-01.
- Section 4 – Certification. This certification must be completed by someone from the Area Agency on Aging that has the authority to ‘legally bind the Agency’ to these certifications. The box must be checked and the name, title, and date that the certification was made must be provided.

Definitions of key terms:

Fair Market Rate: Is the most competitive price a buyer is willing to pay - and the lowest price a seller would be willing to accept - for a particular item/service. This idea is tied to the basic economic notion of supply and demand ... if there are only a few providers for the item/service in a particular area, the price may go up because the price a typical buyer is willing to pay will increase due to demand.

No diminishment in quality/quantity: Diminution refers to the act or process of diminishing or lessening/reducing the number of items being purchased. Contractors should be bidding on service levels necessary for the client base of the AAA – and inherent in the contracts would be the notion that the AAA is contracting for similar services/projects at the best possible price each time – without a significant reduction in quantity and quality of services delivered.

Program Design Authority: The contractor agrees to conformity with the design of the services – as contracted – and does not have the ability to alter them in any significant way without approval of the AAA.

As an example, if the AAA is contracting for hot home delivered meals, the contractor would not have the ability to change to frozen or chilled meals without the express written consent of the AAA. The most significant benefits are the control the AAA retains over the projects’ design and the AAA’s ability to rely on the contractor to protect the AAA’s interest in the overall success of the program/services being provided under the contract.

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, HICAP, 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 may be asked to explain this omission during the review process. 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 18-PI-17, NYSOFA Contributions and Other Program Income Policy, dated 7/27/18. 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 Plan automatically calculates this field.

11. Nutrition Services Incentive Program (NSIP)

Indicate the dollar amount of NSIP funds projected to be earned based on the number of NSIP eligible meals expected to be served during the program year.

Note: AAAs that receive reimbursement for Social Adult Day Program 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.

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 2018 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 2018 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.

Unmet Need: Indicate the State Funds Requested for Administration and Services. (allocation schedule forthcoming)

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

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

For the HIICAP program, before listing an amount for funding on the **SUMMARY BUDGET**, complete the **SUPPORTING BUDGET SCHEDULE** as follows: Indicate the Base Allocation (including Federal, State and SMP funds), 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. No NYSOFA-administered funding (either State or federal) can be used to earn any other NYSOFA-administered funding (either State or federal). Additionally, the same local

funds cannot be used as local match under more than one program. Refer to the appropriate regulations for more information on what comprises allowable local match.

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

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

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

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

SUMMARY BUDGET

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

Program		Cost Categories	
Title III-B	Area Plan Administration	Services (Supportive & In-Home)	
Title III-C-1	Area Plan Administration	Services (Nutrition)	
Title III-C-2	Area Plan Administration	Services (Nutrition)	
Title III-E	Area Plan Administration	Services (Caregiver)	

EISEP	Implementation	Service Activities	
CSE	Planning & Implementation	State Services Project Activities	
CSI	Administration	Services	
WIN	Administration	Service Activities	

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). 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.

EISEP Summary Budget: The web-based version of the Plan automatically calculates the required EISEP In-home Services and Ancillary Services percentages at the bottom of the Summary Budget for EISEP, CSE, CSI, CRC and State Transportation Program (Fiscal Page 2A). A worksheet to assist AAAs in calculating these percentages is included on the next page. Completion of this worksheet is optional, and the worksheet is not required to be submitted with the Plan package. Contact your ASR or Fiscal Team if you have questions about the completion of the EISEP Services Worksheet. See section below for instructions 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 2020-21. If the AAA has not yet negotiated personal home care rates for 2020 at the time this Plan is being completed, NYSOFA suggests that AAAs use the rate(s) they currently use to reimburse their home care providers. This is for planning purposes only, and the actual 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 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				

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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. AAAs may not modify the Standard Assurances.

ATTACHMENT B: Priority Services

The October 1, 2018 - September 30, 2019 Priority Services Expenditure Report must be submitted with, and made part, of the Plan. The minimum percentages for the three priority services are as follows:

Access	20%
In-Home	2.5%
Legal	7%

These minimum percentages are applicable to the total of each AAA's Title III-B FFY 2019 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 (10/1/18 through 9/30/19). 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, 2018, [4] select ending period of September 30, 2019, 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 Plan.

ATTACHMENT C: Program Design Modifications

This attachment must be completed by all AAAs even if no changes are contemplated at this time. Consult 17-TAM-02 for additional information.

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

This form must be completed for major changes to any Plan that has been approved by NYSOFA. Additionally, **ATTACHMENT C** must be submitted and approved by NYSOFA in advance of planned and proposed major changes at any time during a plan period. Please consult 17-TAM-02 for additional information, including sets of questions to answer when preparing Attachment C entries for certain categories of major changes.

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

The AAA should alert their assigned 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 2020-2021 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 your assigned 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 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 Four Year Plan focuses more on low-income population, less on 75 or 85 plus, less on ethnic and cultural minorities, decides that all CSE funding should be allocated for transportation - reduces EISEP and WIN clients, legal services reduced, etc.
- The AAA changes the method of delivering home delivered meals from hot to frozen.
- New implementation of a private pay program
- New implementation of consumer directed in-home services
- New implementation of consumer directed respite services
- The AAA is planning to expand their personal emergency response program thanks to a local grant, which will provide many more units to eligible older adults, increasing units of service more than 20%.
- The AAA is notified by the county that it plans to combine the AAA with the local department for youth. Planning for this to happen may or may not be in the immediate Plan period.

Examples of actions that would NOT constitute a Major Change:

- A decrease in transportation units due to an unexpected increase in the price of fuel.
- The Nutrition Program for the Elderly contractor moves their administrative headquarters to a new location. No food preparation takes place at this location.
- The AAA's only provider of home delivered meals is changing from Home Cooking Inc. to Best Cooking Inc. and no program design modifications will occur because 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 that is provided by a contractor that the AAA is seeking to provide directly or a new service that the AAA is proposing to provide directly.

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 4/1/2019 – 3/31/2020 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 center acquisition/construction: 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 sections. **ATTACHMENT C** must be completed in its entirety and must be submitted even if the AAA has no variances of +/- 20% and no planned changes.

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 directed to targeted populations.

Describe how carryover funds will be used for targeting (see 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:

2019 Award levels:

	Title III-C-1	Title III-C-2	Total
Carryover (from 2018)	\$ 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 2020:

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 Benefits, Travel Reimbursement, Schedule Adjustment and Contractor Explanation

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

Under the Fringe Benefit Policy section:

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

Under both sections:

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

PERSONNEL ROSTER and RENT ALLOCATION SCHEDULE Adjustments

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

CONTRACTOR ROSTER Explanation:

AAAs **must** complete this section for any contractors listed as TBD.

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 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 a direct 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.

***Thank you for using this Guide.
Contact your assigned ASR or fiscal team with any questions.***

2020 FFY TENTATIVE ALLOCATION SCHEDULE (REVISED 11/06/2019)

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$265,418	1.372%
ALLEGANY	0.254%	48,641	0.251%
BROOME	1.059%	202,875	1.049%
CATTARAUGUS	0.389%	75,295	0.389%
CAYUGA	0.403%	77,690	0.402%
CHAUTAUQUA	0.760%	145,540	0.752%
CHEMUNG	0.464%	100,285	0.518%
CHENANGO	0.295%	56,493	0.292%
CLINTON	0.381%	72,963	0.377%
COLUMBIA	0.345%	66,068	0.342%
CORTLAND	0.227%	43,470	0.225%
DELAWARE	0.300%	59,648	0.308%
DUTCHESS	1.267%	242,631	1.254%
ERIE	4.824%	961,908	4.972%
ESSEX	0.214%	42,199	0.218%
FRANKLIN	0.245%	48,049	0.248%
FULTON	0.294%	58,714	0.304%
GENESEE	0.303%	58,024	0.300%
GREENE	0.283%	54,195	0.280%
HERKIMER	0.371%	74,376	0.384%
JEFFERSON	0.460%	88,089	0.455%
LEWIS	0.136%	42,199	0.218%
LIVINGSTON	0.293%	56,108	0.290%
MADISON	0.331%	63,388	0.328%
MONROE	3.431%	657,037	3.396%
MONTGOMERY	0.296%	60,569	0.313%
NASSAU	5.863%	1,124,834	5.814%
NIAGARA	1.175%	225,012	1.163%
ONEIDA	1.295%	247,993	1.282%
ONONDAGA	2.161%	413,832	2.139%
ONTARIO	0.521%	99,772	0.516%
ORANGE	1.430%	273,845	1.415%
ORLEANS	0.204%	42,199	0.218%
OSWEGO	0.518%	99,196	0.513%
OTSEGO	0.328%	62,813	0.325%
PUTNAM	0.371%	71,048	0.367%
RENSSELAER	0.679%	130,029	0.672%
ROCKLAND	1.308%	250,483	1.295%
ST. LAWRENCE	0.564%	108,006	0.558%
SARATOGA	0.923%	176,754	0.914%
SCHENECTADY	0.739%	141,519	0.732%
SCHOHARIE	0.185%	42,199	0.218%
SCHUYLER	0.097%	42,199	0.218%
SENECA	0.188%	42,199	0.218%
STEUBEN	0.530%	101,496	0.525%
SUFFOLK	6.000%	1,149,001	5.939%
SULLIVAN	0.420%	80,430	0.416%
TIOGA	0.260%	49,791	0.257%
TOMPKINS	0.353%	67,600	0.349%
ULSTER	0.927%	177,521	0.918%
WARREN/HAMILTON	0.385%	84,399	0.436%
WASHINGTON	0.312%	59,748	0.309%
WAYNE	0.443%	84,834	0.439%
WESTCHESTER	4.394%	841,452	4.349%
WYOMING	0.190%	42,199	0.218%
YATES	0.129%	42,199	0.218%
NEW YORK CITY	48.012%	9,194,302	47.523%
SENECA INDIAN RES	0.058%	28,066	0.145%
ST. REGIS MOHAWK	0.026%	28,066	0.145%
TOTAL	99.999%	\$19,346,908	100.000%

2020 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$375,127	1.376%
ALLEGANY	0.254%	68,746	0.252%
BROOME	1.059%	286,623	1.051%
CATTARAUGUS	0.389%	105,284	0.386%
CAYUGA	0.403%	109,074	0.400%
CHAUTAUQUA	0.760%	205,697	0.754%
CHEMUNG	0.464%	125,584	0.461%
CHENANGO	0.295%	79,843	0.293%
CLINTON	0.381%	103,120	0.378%
COLUMBIA	0.345%	93,376	0.343%
CORTLAND	0.227%	67,950	0.249%
DELAWARE	0.300%	82,579	0.303%
DUTCHESS	1.267%	342,920	1.258%
ERIE	4.824%	1,331,731	4.884%
ESSEX	0.214%	57,920	0.212%
FRANKLIN	0.245%	66,935	0.246%
FULTON	0.294%	79,775	0.293%
GENESEE	0.303%	82,008	0.301%
GREENE	0.283%	76,595	0.281%
HERKIMER	0.371%	102,970	0.378%
JEFFERSON	0.460%	124,502	0.457%
LEWIS	0.136%	53,534	0.196%
LIVINGSTON	0.293%	79,302	0.291%
MADISON	0.331%	89,587	0.329%
MONROE	3.431%	928,618	3.406%
MONTGOMERY	0.296%	83,855	0.308%
NASSAU	5.863%	1,586,851	5.820%
NIAGARA	1.175%	318,019	1.166%
ONEIDA	1.295%	350,498	1.286%
ONONDAGA	2.161%	584,885	2.145%
ONTARIO	0.521%	141,011	0.517%
ORANGE	1.430%	387,036	1.420%
ORLEANS	0.204%	55,214	0.203%
OSWEGO	0.518%	140,199	0.514%
OTSEGO	0.328%	88,775	0.326%
PUTNAM	0.371%	100,413	0.368%
RENSSELAER	0.679%	183,775	0.674%
ROCKLAND	1.308%	354,017	1.298%
ST. LAWRENCE	0.564%	152,650	0.560%
SARATOGA	0.923%	249,815	0.916%
SCHENECTADY	0.739%	200,014	0.734%
SCHOHARIE	0.185%	53,534	0.196%
SCHUYLER	0.097%	53,534	0.196%
SENECA	0.188%	53,534	0.196%
STEUBEN	0.530%	143,447	0.526%
SUFFOLK	6.000%	1,623,930	5.956%
SULLIVAN	0.420%	113,675	0.417%
TIOGA	0.260%	70,371	0.258%
TOMPKINS	0.353%	95,541	0.350%
ULSTER	0.927%	250,898	0.920%
WARREN/HAMILTON	0.385%	108,166	0.397%
WASHINGTON	0.312%	84,444	0.310%
WAYNE	0.443%	119,900	0.440%
WESTCHESTER	4.394%	1,189,258	4.362%
WYOMING	0.190%	53,534	0.196%
YATES	0.129%	53,534	0.196%
NEW YORK CITY	48.012%	12,994,689	47.660%
SENECA INDIAN RES	0.058%	53,534	0.196%
ST. REGIS MOHAWK	0.026%	53,534	0.196%
TOTAL	99.999%	\$27,265,484	100.000%

NEW YORK STATE OFFICE FOR THE AGING
TITLE III-C-2
 2020 FFY TENTATIVE ALLOCATION SCHEDULE

PI: 19-PI-25
 Date: 10.07.2019

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.386%	\$191,236	1.375%
ALLEGANY	0.254%	35,047	0.252%
BROOME	1.059%	146,117	1.050%
CATTARAUGUS	0.389%	53,673	0.386%
CAYUGA	0.403%	55,604	0.400%
CHAUTAUQUA	0.760%	104,862	0.754%
CHEMUNG	0.464%	64,022	0.460%
CHENANGO	0.295%	40,703	0.293%
CLINTON	0.381%	52,569	0.378%
COLUMBIA	0.345%	47,603	0.342%
CORTLAND	0.227%	31,320	0.225%
DELAWARE	0.300%	41,393	0.298%
DUTCHESS	1.267%	174,816	1.257%
ERIE	4.824%	665,601	4.784%
ESSEX	0.214%	30,373	0.218%
FRANKLIN	0.245%	33,804	0.243%
FULTON	0.294%	40,565	0.292%
GENESEE	0.303%	41,807	0.301%
GREENE	0.283%	39,047	0.281%
HERKIMER	0.371%	51,190	0.368%
JEFFERSON	0.460%	63,469	0.456%
LEWIS	0.136%	30,373	0.218%
LIVINGSTON	0.293%	40,427	0.291%
MADISON	0.331%	45,671	0.328%
MONROE	3.431%	473,399	3.403%
MONTGOMERY	0.296%	40,842	0.294%
NASSAU	5.863%	808,959	5.815%
NIAGARA	1.175%	162,123	1.165%
ONEIDA	1.295%	178,680	1.284%
ONONDAGA	2.161%	298,168	2.143%
ONTARIO	0.521%	71,886	0.517%
ORANGE	1.430%	197,307	1.418%
ORLEANS	0.204%	30,373	0.218%
OSWEGO	0.518%	71,472	0.514%
OTSEGO	0.328%	45,256	0.325%
PUTNAM	0.371%	51,190	0.368%
RENSSELAER	0.679%	93,687	0.673%
ROCKLAND	1.308%	180,474	1.297%
ST. LAWRENCE	0.564%	77,819	0.559%
SARATOGA	0.923%	127,353	0.915%
SCHENECTADY	0.739%	101,965	0.733%
SCHOHARIE	0.185%	30,373	0.218%
SCHUYLER	0.097%	30,373	0.218%
SENECA	0.188%	30,373	0.218%
STEUBEN	0.530%	73,128	0.526%
SUFFOLK	6.000%	827,862	5.951%
SULLIVAN	0.420%	57,951	0.417%
TIOGA	0.260%	35,874	0.258%
TOMPKINS	0.353%	48,705	0.350%
ULSTER	0.927%	127,905	0.919%
WARREN/HAMILTON	0.385%	60,747	0.437%
WASHINGTON	0.312%	43,049	0.309%
WAYNE	0.443%	61,124	0.439%
WESTCHESTER	4.394%	606,272	4.358%
WYOMING	0.190%	30,373	0.218%
YATES	0.129%	30,373	0.218%
NEW YORK CITY	48.012%	6,624,559	47.618%
SENECA INDIAN RES	0.058%	30,373	0.218%
ST. REGIS MOHAWK	0.026%	30,373	0.218%
TOTAL	99.999%	\$13,912,032	100.000%

2020 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.475%	\$19,946	1.444%
ALLEGANY	0.270%	3,651	0.264%
BROOME	1.127%	15,240	1.103%
CATTARAUGUS	0.414%	5,598	0.405%
CAYUGA	0.429%	5,802	0.420%
CHAUTAUQUA	0.809%	10,940	0.792%
CHEMUNG	0.494%	6,680	0.484%
CHENANGO	0.152%	3,297	0.239%
CLINTON	0.190%	3,297	0.239%
COLUMBIA	0.367%	4,963	0.359%
CORTLAND	0.242%	3,470	0.251%
DELAWARE	0.319%	4,314	0.312%
DUTCHESS	1.349%	18,242	1.321%
ERIE	5.135%	69,440	5.027%
ESSEX	0.228%	3,470	0.251%
FRANKLIN	0.130%	3,470	0.251%
FULTON	0.313%	4,233	0.306%
GENESEE	0.145%	3,297	0.239%
GREENE	0.302%	4,084	0.296%
HERKIMER	0.395%	5,342	0.387%
JEFFERSON	0.490%	6,626	0.480%
LEWIS	0.145%	3,470	0.251%
LIVINGSTON	0.312%	4,219	0.305%
MADISON	0.153%	3,297	0.239%
MONROE	3.652%	49,385	3.575%
MONTGOMERY	0.160%	3,470	0.251%
NASSAU	6.241%	84,396	6.109%
NIAGARA	1.251%	16,917	1.225%
ONEIDA	1.379%	18,647	1.350%
ONONDAGA	2.300%	31,103	2.251%
ONTARIO	0.554%	7,491	0.542%
ORANGE	1.522%	20,582	1.490%
ORLEANS	0.217%	3,470	0.251%
OSWEGO	0.551%	7,451	0.539%
OTSEGO	0.349%	4,719	0.342%
PUTNAM	0.145%	3,297	0.239%
RENSSELAER	0.723%	9,777	0.708%
ROCKLAND	1.392%	18,824	1.363%
ST. LAWRENCE	0.601%	8,128	0.588%
SARATOGA	0.374%	5,058	0.366%
SCHENECTADY	0.787%	10,642	0.770%
SCHOHARIE	0.091%	3,297	0.239%
SCHUYLER	0.103%	3,470	0.251%
SENECA	0.200%	3,470	0.251%
STEUBEN	0.564%	7,626	0.552%
SUFFOLK	2.451%	33,144	2.399%
SULLIVAN	0.447%	6,045	0.438%
TIOGA	0.119%	3,297	0.239%
TOMPKINS	0.376%	5,084	0.368%
ULSTER	0.987%	13,347	0.966%
WARREN/HAMILTON	0.410%	6,941	0.502%
WASHINGTON	0.332%	4,489	0.325%
WAYNE	0.204%	3,470	0.251%
WESTCHESTER	4.677%	63,246	4.578%
WYOMING	0.202%	3,470	0.251%
YATES	0.059%	3,297	0.239%
NEW YORK CITY	51.106%	691,093	50.026%
SENECA INDIAN RES	0.061%	3,470	0.251%
ST. REGIS MOHAWK	0.028%	3,470	0.251%
TOTAL	100.000%	\$1,381,471	100.000%

2020 FFY TENTATIVE ALLOCATION SCHEDULE

PLANNING AND SERVICE AREA	WEIGHTED POPULATION PERCENTAGE	TENTATIVE AWARD	PERCENT OF STATE ALLOCATION
ALBANY	1.540%	\$154,759	1.516%
ALLEGANY	0.268%	28,267	0.277%
BROOME	1.194%	119,989	1.175%
CATTARAUGUS	0.408%	41,002	0.402%
CAYUGA	0.431%	43,312	0.424%
CHAUTAUQUA	0.801%	80,495	0.788%
CHEMUNG	0.511%	51,353	0.503%
CHENANGO	0.303%	30,450	0.298%
CLINTON	0.390%	39,193	0.384%
COLUMBIA	0.380%	38,188	0.374%
CORTLAND	0.234%	28,267	0.277%
DELAWARE	0.318%	31,957	0.313%
DUTCHESS	1.400%	140,691	1.378%
ERIE	5.256%	528,193	5.173%
ESSEX	0.237%	28,267	0.277%
FRANKLIN	0.232%	28,267	0.277%
FULTON	0.314%	31,555	0.309%
GENESEE	0.332%	33,364	0.327%
GREENE	0.282%	28,340	0.278%
HERKIMER	0.389%	39,092	0.383%
JEFFERSON	0.469%	47,131	0.462%
LEWIS	0.149%	28,267	0.277%
LIVINGSTON	0.310%	31,152	0.305%
MADISON	0.342%	34,369	0.337%
MONROE	3.723%	374,137	3.664%
MONTGOMERY	0.325%	32,660	0.320%
NASSAU	7.370%	740,637	7.254%
NIAGARA	1.250%	125,617	1.230%
ONEIDA	1.412%	141,897	1.390%
ONONDAGA	2.361%	237,264	2.324%
ONTARIO	0.563%	56,578	0.554%
ORANGE	1.476%	148,329	1.453%
ORLEANS	0.214%	28,267	0.277%
OSWEGO	0.530%	53,262	0.522%
OTSEGO	0.353%	35,474	0.347%
PUTNAM	0.387%	38,891	0.381%
RENSSELAER	0.757%	76,074	0.745%
ROCKLAND	1.450%	145,715	1.427%
ST. LAWRENCE	0.575%	57,783	0.566%
SARATOGA	0.968%	97,277	0.953%
SCHENECTADY	0.843%	84,716	0.830%
SCHOHARIE	0.185%	28,267	0.277%
SCHUYLER	0.107%	28,267	0.277%
SENECA	0.200%	28,267	0.277%
STEUBEN	0.558%	56,075	0.549%
SUFFOLK	6.850%	688,380	6.742%
SULLIVAN	0.401%	40,298	0.395%
TIOGA	0.271%	28,267	0.277%
TOMPKINS	0.379%	38,087	0.373%
ULSTER	0.972%	97,680	0.957%
WARREN/HAMILTON	0.411%	56,533	0.554%
WASHINGTON	0.333%	33,464	0.328%
WAYNE	0.465%	46,730	0.458%
WESTCHESTER	5.001%	502,567	4.922%
WYOMING	0.188%	28,267	0.277%
YATES	0.139%	28,267	0.277%
NEW YORK CITY	42.431%	4,264,028	41.761%
SENECA INDIAN RES	0.018%	28,267	0.277%
ST. REGIS MOHAWK	0.043%	28,267	0.277%
TOTAL	99.999%	\$10,210,476	100.000%

NEW YORK STATE OFFICE FOR THE AGING
COMMUNITY SERVICES FOR THE ELDERLY PROGRAM
TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2020-21

PI: 19-PI-25
Date: 10.07.19

County	2010 Pop. (60+)	Planning Implementation	State Services Match Required	State Services Match Exempt	Local Match Required	TOTAL ALLOCATION
Albany	60,195	\$60,195	\$376,410	\$93,208	\$125,470	\$529,813
Allegany	10,426	20,000	65,195	16,144	21,732	101,339
Broome	44,485	44,485	278,173	68,882	92,725	391,540
Cattaraugus	15,918	20,000	99,539	24,648	33,180	144,187
Cayuga	17,062	20,000	106,691	26,419	35,564	153,110
Chautauqua	30,565	30,565	191,128	47,328	63,710	269,021
Chemung	19,339	20,000	120,931	29,945	40,311	170,876
Chenango	11,797	20,000	73,768	18,267	24,590	112,035
Clinton	15,552	20,000	97,249	24,081	32,417	141,330
Columbia	16,219	20,000	101,421	25,114	33,807	146,535
Cortland	9,246	20,000	57,817	14,317	19,273	92,134
Delaware	12,947	20,000	80,959	20,047	26,987	121,006
Dutchess	57,062	57,062	356,818	88,356	118,940	502,236
Erie	197,246	75,000	1,233,414	305,421	411,138	1,613,835
Essex	9,835	20,000	61,500	15,229	20,500	96,729
Franklin	9,358	20,000	58,518	14,490	19,506	93,008
Fulton	12,488	20,000	78,090	19,337	26,030	117,427
Genesee	12,908	20,000	80,717	19,987	26,906	120,704
Greene	11,971	20,000	74,857	18,536	24,953	113,393
Herkimer	15,022	20,000	93,935	23,260	31,312	137,195
Jefferson	18,408	20,000	115,109	28,504	38,370	163,613
Lewis	5,557	20,000	50,025	12,387	16,675	82,412
Livingston	12,840	20,000	80,291	19,882	26,764	120,173
Madison	14,426	20,000	90,208	22,338	30,070	132,546
Monroe	145,640	75,000	910,713	225,513	303,571	1,211,226
Montgomery	11,394	20,000	71,249	17,643	23,750	108,892
Nassau	283,610	75,000	1,773,464	439,149	591,155	2,287,613
Niagara	47,641	47,641	297,907	73,769	99,303	419,317
Oneida	52,282	52,282	326,928	80,955	108,976	460,165
Onondaga	91,166	75,000	570,077	141,164	190,026	786,241
Ontario	23,803	23,803	148,845	36,857	49,615	209,505
Orange	59,933	59,933	374,772	92,802	124,924	527,507
Orleans	8,698	20,000	54,391	13,468	18,131	87,859
Oswego	22,299	22,299	139,440	34,528	46,480	196,267
Otsego	14,323	20,000	89,565	22,178	29,855	131,743
Putnam	18,429	20,000	115,240	28,536	38,414	163,776
Rensselaer	31,155	31,155	194,818	48,241	64,940	274,214
Rockland	59,153	59,153	369,895	91,594	123,299	520,642
St. Lawrence	21,907	21,907	136,988	33,921	45,663	192,816
Saratoga	43,943	43,943	274,784	68,043	91,595	386,770
Schenectady	31,758	31,758	198,589	49,175	66,197	279,522
Schoharie	7,560	20,000	50,025	12,387	16,675	82,412
Schuyler	4,386	20,000	50,025	12,387	16,675	82,412
Seneca	7,717	20,000	50,025	12,387	16,675	82,412
Steuben	21,915	21,915	137,038	33,934	45,680	192,887
Suffolk	285,071	75,000	1,782,600	441,411	594,200	2,299,011
Sullivan	16,666	20,000	104,215	25,806	34,739	150,021
Tioga	11,221	20,000	70,167	17,375	23,389	107,542
Tompkins	16,042	20,000	100,313	24,840	33,438	145,153
Ulster	39,054	39,054	244,212	60,472	81,404	343,738
Warren/Hamilton	17,481	40,000	149,532	37,027	49,844	226,559
Washington	13,633	20,000	85,250	21,110	28,417	126,360
Wayne	19,328	20,000	120,862	29,928	40,288	170,790
Westchester	192,309	75,000	1,202,543	297,776	400,848	1,575,319
Wyoming	8,211	20,000	51,345	12,714	17,115	84,059
Yates	5,913	20,000	50,025	12,387	16,675	82,412
NYC	1,407,635	375,000	8,802,195	2,179,622	2,934,065	11,356,817
Sen. Nation	1,608	20,000	50,025	12,387	16,675	82,412
St. Regis	447	20,000	50,025	12,387	16,675	82,412
TOTAL	3,684,203	\$2,212,150	\$23,220,850	\$5,750,000	\$7,740,301	\$31,183,000

NEW YORK STATE OFFICE FOR THE AGING
EXPANDED IN-HOME SERVICES FOR THE ELDERLY PROGRAM
TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2020-21

PI: 19-PI-25
Date: 10.07.19

Total Services Allocation						
County	Population	Implementation	State Services Base Alloc.	Local Share	Total	TOTAL STATE AID
Albany	60,195	\$60,195	\$764,470	\$254,824	\$1,019,294	\$824,665
Allegany	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
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/Hamilton	17,481	40,000	360,842	120,282	481,124	400,842
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
TOTAL	3,684,203	\$2,212,150	\$47,907,850	\$15,969,312	\$63,877,162	\$50,120,000

WELLNESS IN NUTRITION

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2020-21

<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	<u>69,140</u>
Total	<u>\$27,283,000</u>

NEW YORK STATE OFFICE FOR THE AGING
CONGREGATE SERVICES INITIATIVE PROGRAM

PI: 19-PI-25
 Date: 10.07.19

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2020-21

PLANNING AND SERVICE AREA	Population 60 Plus	2020-21 Allocation	Local 25%
ALBANY	60,195	\$6,512	\$2,171
ALLEGANY	10,426	1,128	376
BROOME	44,485	4,813	1,605
CATTARAUGUS	15,918	1,722	574
CAYUGA	17,062	1,846	616
CHAUTAUQUA	30,565	3,307	1,103
CHEMUNG	19,339	2,092	698
CHENANGO	11,797	1,276	426
CLINTON	15,552	1,683	561
COLUMBIA	16,219	1,755	585
CORTLAND	9,246	1,000	334
DELAWARE	12,947	1,401	467
DUTCHESS	57,062	6,173	2,058
ERIE	197,246	21,340	7,114
ESSEX	9,835	1,064	355
FRANKLIN	9,358	1,012	338
FULTON	12,488	1,351	451
GENESEE	12,908	1,397	466
GREENE	11,971	1,295	432
HAMILTON	1,568	1,000	334
HERKIMER	15,022	1,625	542
JEFFERSON	18,408	1,992	664
LEWIS	5,557	1,000	334
LIVINGSTON	12,840	1,389	463
MADISON	14,426	1,561	521
MONROE	145,640	15,757	5,253
MONTGOMERY	11,394	1,233	411
NASSAU	283,610	30,683	10,228
NIAGARA	47,641	5,154	1,718
ONEIDA	52,282	5,656	1,886
ONONDAGA	91,166	9,863	3,288
ONTARIO	23,803	2,575	859
ORANGE	59,933	6,484	2,162
ORLEANS	8,698	1,000	334
OSWEGO	22,299	2,413	805
OTSEGO	14,323	1,550	517
PUTNAM	18,429	1,994	665
RENSSELAER	31,155	3,371	1,124
ROCKLAND	59,153	6,400	2,134
ST. LAWRENCE	21,907	2,370	790
SARATOGA	43,943	4,754	1,585
SCHENECTADY	31,758	3,436	1,146
SCHOHARIE	7,560	1,000	334
SCHUYLER	4,386	1,000	334
SENECA	7,717	1,000	334
STEUBEN	21,915	2,371	791
SUFFOLK	285,071	30,842	10,281
SULLIVAN	16,666	1,803	601
TIOGA	11,221	1,214	405
TOMPKINS	16,042	1,736	579
ULSTER	39,054	4,225	1,409
WARREN/HAMILTON	15,913	1,722	574
WASHINGTON	13,633	1,475	492
WAYNE	19,328	2,091	697
WESTCHESTER	192,309	20,806	6,936
WYOMING	8,211	1,000	334
YATES	5,913	1,000	334
NEW YORK CITY	1,407,635	152,288	50,763
SENECA NATION	1,608	1,000	334
ST. REGIS MOHAWK	447	1,000	334
TOTAL	<u>3,684,203</u>	<u>\$403,000</u>	<u>\$134,359</u>

STATE TRANSPORTATION PROGRAM

Date: 10.07.19

TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2020-21

Area Agency	Population	Allocation
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
HERKIMER	15,022	5,600
JEFFERSON	18,408	5,600
LEWIS	5,557	5,600
LIVINGSTON	12,840	5,600
MADISON	14,426	5,600
MONROE	145,640	40,952
MONTGOMERY	11,394	5,600
NASSAU	283,610	79,746
NIAGARA	47,641	13,396
ONEIDA	52,282	14,701
ONONDAGA	91,166	25,635
ONTARIO	23,803	6,693
ORANGE	59,933	16,852
ORLEANS	8,698	5,600
OSWEGO	22,299	6,270
OTSEGO	14,323	5,600
PUTNAM	18,429	5,600
RENSSELAER	31,155	8,760
ROCKLAND	59,153	16,633
ST. LAWRENCE	21,907	6,160
SARATOGA	43,943	12,357
SCHENECTADY	31,758	8,930
SCHOHARIE	7,560	5,600
SCHUYLER	4,386	5,600
SENECA	7,717	5,600
STEUBEN	21,915	6,162
SUFFOLK	285,071	80,158
SULLIVAN	16,666	5,600
TIOGA	11,221	5,600
TOMPKINS	16,042	5,600
ULSTER	39,054	10,981
WARREN/HAMILTON	17,481	5,600
WASHINGTON	13,633	11,200
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

New York State Office for the Aging
Health Insurance Information, Counseling and Assistance Program
TENTATIVE ALLOCATION SCHEDULE - STATE FISCAL YEAR 2020-21

PI: 19-PI-25
Date: 10.07.1

<u>Area Agency</u>	<u>CMS Allocation</u>	<u>NYS Allocation</u>	<u>Total</u>
ALBANY	\$18,420	\$14,864	33,284
ALLEGANY	18,420	14,864	33,284
BROOME	18,420	14,864	33,284
CATTARAUGUS	18,420	14,864	33,284
CAYUGA	18,420	14,864	33,284
CHAUTAUQUA	18,420	14,864	33,284
CHEMUNG	18,420	14,864	33,284
CHENANGO	18,420	14,864	33,284
CLINTON	18,420	14,864	33,284
COLUMBIA	18,420	14,864	33,284
CORTLAND	18,420	14,864	33,284
DELAWARE	18,420	14,864	33,284
DUTCHESS	18,420	14,864	33,284
ERIE	45,814	15,674	61,488
ESSEX	18,420	14,864	33,284
FRANKLIN	18,420	14,864	33,284
FULTON	18,420	14,864	33,284
GENESEE	18,420	14,864	33,284
GREENE	18,420	14,864	33,284
HERKIMER	18,420	14,864	33,284
JEFFERSON	18,420	14,864	33,284
LEWIS	18,420	14,864	33,284
LIVINGSTON	18,420	14,864	33,284
MADISON	18,420	14,864	33,284
MONROE	28,286	14,864	43,150
MONTGOMERY	18,420	14,864	33,284
NASSAU	53,574	18,329	71,903
NIAGARA	18,420	14,864	33,284
ONEIDA	18,420	14,864	33,284
ONONDAGA	18,773	14,864	33,637
ONTARIO	18,420	14,864	33,284
ORANGE	18,420	14,864	33,284
ORLEANS	18,420	14,864	33,284
OSWEGO	18,420	14,864	33,284
OTSEGO	18,420	14,864	33,284
PUTNAM	18,420	14,864	33,284
RENSSELAER	18,420	14,864	33,284
ROCKLAND	18,420	14,864	33,284
ST. LAWRENCE	18,420	14,864	33,284
SARATOGA	18,420	14,864	33,284
SCHENECTADY	18,420	14,864	33,284
SCHOHARIE	18,420	14,864	33,284
SCHUYLER	18,420	14,864	33,284
SENECA	18,420	14,864	33,284
STEUBEN	18,420	14,864	33,284
SUFFOLK	48,918	16,736	65,654
SULLIVAN	18,420	14,864	33,284
TIOGA	18,420	14,864	33,284
TOMPKINS	18,420	14,864	33,284
ULSTER	18,420	14,864	33,284
WARREN/HAMILTON	36,840	14,864	51,704
WASHINGTON	18,420	14,864	33,284
WAYNE	18,420	14,864	33,284
WESTCHESTER	38,361	14,864	53,225
WYOMING	18,420	14,864	33,284
YATES	18,420	14,864	33,284
NYC	428,477	146,605	575,082
SENECA NATION	9,210	7,432	16,642
ST. REGIS	9,210	7,432	16,642
TOTAL	<u>\$1,620,043</u>	<u>\$1,000,000</u>	<u>\$2,620,043</u>

NEW YORK STATE OFFICE FOR THE AGING
CAREGIVER ASSISTANCE PROGRAM

PI: 19-PI-25
Date: 10.07.19

SFY 2020-21 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	<u>19,611</u>
Total of CRCs	\$333,387
Statewide Caregiver Program	<u>19,613</u>
Total	<u>\$353,000</u>