



SUA-20-PI-48

Program Instruction

3/3/2020

To: Area Agencies on Aging

From: Cynthia Brammeier, Administrator
and State Unit on Aging Team

Subject: FY2021 Area Plan Updates, and SFY2021 Budget Instructions

Area Plan updates and SFY2021 budgets are due by May 8, 2020. Please contact the State Unit on Aging by April 15, 2020 if you will be unable to meet this date.

The instructions for Area Agency on Aging Area Plan updates are enclosed. Word and Excel templates will be published on the website. The FY21 Excel template was emailed to AAAs on 2/26/20. Word and Excel files are required for most items, use PDFs sparingly. An approved plan update and FY2021 budget is required prior to subaward issuance and payment processing in FY 2021. No carryover is estimated for agencies in this reservation table. Grant balance information provided with monthly payment documentation should be used for local carryover planning purposes.

If changes were made to components of the four-year area plan, updates can be submitted as full replacements of each section:

- four-year federal and local goals, strategies, and performance measures;
- four-year Direct Service Waiver;
- annual Aging & Disability Resource Center plan;
- annual Senior Volunteer program budget narrative and plan; and
- SFY 2021 Budget

Nebraska area plans align with two biennial budgeting sessions. FY 2021 is the second year of the State FY20-21 biennial budget. Funding for FY2021 is estimated to equal FY2020 for planning purposes.

Each Area Agency on Aging is required, at a minimum, to use the strategic goals set forth in the Administration for Community Living (ACL/AoA) Strategic Action Plan 2013-2018. When developing or updating objectives and strategies, performance measurements must be included to demonstrate how successful the agency is at achieving the overall goals during the planning period. Service definitions become part of the strategies for the goals, objectives and strategies. Local service area specific goals are encouraged, and should be included subsequent to the federal goals.

Updates to performance measures should be included in this submission if the baseline was established at the end of FY19.

Attachments to this Program Instruction provide further detail and instructions for building the plan.

Regarding the reservation table:

At an aggregate level, the Federal portion of the estimated reservation table was built using the FFY20 awards, minus hold harmless and state administration anticipated with the 2020 reauthorization language of the Older Americans Act. No carryover is estimated for agencies. Monthly grant balance information provided with payment documentation should be used for local carryover planning purposes. SUA fiscal staff can work with AAAs regarding subaward balance questions. State estimates are equal to SFY20 funding.

The format of this reservation table is different than previous years:

- Title III-A (NSIP) is listed, based on federal estimates.
- ADRC – Aging & Disability Resource Center funding is estimated based on a base and actual and projected units of service for each service listed in the statute.
- CASA – Community Aging Services Act, also funds the Senior Volunteer programs, and state match for Federal programs.
- The three additional Senior Volunteer program providers are listed.
- Elder Abuse Awareness funds can be requested for FY21.
- Federal subawards remain in effect until they are fully expended, within the project period, therefore no carryover is estimated or added to the FY 2021 Reservation Table.

If you have questions or would like technical assistance in developing the plan, please contact the State Unit on Aging.

The Older Americans Act (OAA) Sections 306 and 315(c)(1) provides more detailed information on Area Plans.

Updates to the sections of the plan should be identified as described in the following paragraphs. This follows the initial four-year plan instructions. Headers and footers on each page should identify the agency, the section of the plan, and page numbers starting at 1 for each section.

Submit the entire section if updates are made to portions. This will provide a consistent version at the local and state level.

Area Plan Content

Section A – Administrative

This section includes a description of the Area Agency on Aging, the mission statement, a brief history, demographic information, services, which services are provided directly by the Area Agency on Aging (a direct service waiver must be included) and which services are contracted, organizational charts, staffing, governing board, and advisory council information.

- ✓ Updates may include organizational charts, staffing, governing board and advisory council membership updates.

Section B – Program Goals, Objective, and Strategies

This section includes how the Area Agency on Aging is meeting the strategic goals set forth in the Administration for Community Living (ACL/AoA) Strategic Action Plan 2013-2018.

Objectives and strategies, performance measurements demonstrate how the agency is achieving the overall goals during the planning period. Performance measures should be specific, measurable, time limited, and achievable for the four-year plan. Annual progress on the goals is expected during monitoring.

- ✓ Updates may include baseline numbers for performance measures, and modified strategies based on local needs.

ACL Strategic Goals:

- Goal 1: Advocacy
- Goal 2: Protect Rights and Prevent Abuse
- Goal 3: Individual Self-Determination & Control
- Goal 4: Long-Term Services and Supports
- Goal 5: Effective and Responsive Management

Planning Process

This section includes an overview of the service area, agency, planning process, how the agency is meeting the needs of the service area, strategies, and addressing the Fair Labor Standards Act.

- ✓ Updates may include modifications to how the agency is meeting the needs of the service area.

Section C – Service

This section includes the service narratives and the ADRC plan. Each item with a narrative should be reflected in the composite in the budget template, and vice versa.

- ✓ Updates may include new services to be provided in FY21, and any changes in the service delivery expectation from the original four-year plan. For example, a contract replacing direct service, or vice versa.

Section D – One-Year Budget

This section includes an excel template for the budget. A change to this format in FY2021 is the addition of budget revision rows, net change, and explanation section by tab. There is also a tab for future funds transfer requests. Complete the FY21 budget forms on the template provided. Do not alter formulas or locked cells. A Service narrative must have a budget column.

- ✓ Updates should include the FY2021 budget, based on the FY2020 and FY2021 Reservation Table data.
- ✓ The FY2021 reservation table reflects a projection for FFY2021 federal funds and state match.
- ✓ No prior year carryover is projected or included in the FY2021 table.
- ✓ Carryover is reflected in the FY2020 revised reservation table.

A best practice is to estimate federal funds through January, to allow time for the new federal budget passage, Notice of Awards, and new subawards to be prepared and signed.

It is suggested to not mix Nebraska Department of Transportation grants with Older Americans Act funds for transportation. These programs have opposing requirements regarding client identification.

Section E – Centers

This section includes an Access database & Excel file extract of the service area senior centers is included for updates as needed.

- ✓ Use the Access database updated during the FY 2020 cycle. Make updates as needed. Export to an Excel file.
- ✓ Updates can include identifying the hours of operation, meal information, and other services. This information is combined with other AAA service areas and posted on the public website.

Section F – Disaster Plans

This section includes the agency disaster plan. Samples of center disaster plans were submitted in Section I with supplemental documentation. Plans include the existence, and most recent date of revision, for each senior center. Disaster plans were reviewed in greater detail during FY2020 monitoring.

- ✓ Updates may include an updated version of the agency and/or senior center disaster plans. After the floods of 2019, most AAAs updated their disaster plans.

Section G – Direct Service Waiver/s

This section includes the Direct Service Waiver Request/s and Assurances. Direct Service Waiver requests must outline what other agencies are providing the service the agency is proposing to offer directly, and justification to not utilize subawards or contracts for these services. See also OAA, Section 307(a)(8).

- ✓ Updates are not expected, unless changes are made regarding services provided.

Section H – Care Management Recertification

This section includes Care Management Unit certification for a two-year period, July 1, 2019 through June 30, 2021. Please note: This timing required until the regulations are approved to permit a four-year recertification.

- ✓ Updates are not expected, however they may include changes to how the AAA provides Care Management services.

Section I – Supplemental Documentation

1. Assurances	✓ No updates are anticipated.
2. Sample of a contract	✓ No updates are anticipated, unless the AAA has modified their contracts.
3. Sample of a subaward	✓ No updates are anticipated, unless the AAA has modified their subawards.
4. Sample of direct center disaster plan	✓ Updates may be anticipated based on FY2019 flood experience, and FY2020 monitoring.
5. Sample of contracted center disaster plan	✓ Updates may be anticipated based on FY2019 flood experience, and FY2020 monitoring.
6. Legal Provider Contracts and pre-award checklist	Contracts and pre-award risk assessment checklists are needed annually.
7. Agency brochure (optional)	✓ No updates are anticipated.
8. Agency Newsletter or Calendar (optional)	✓ No updates are anticipated.
9. Agency ADRC brochure (optional)	✓ No updates are anticipated.

Resources:

Federal:

Goals: https://www.acl.gov/sites/default/files/about-acl/2016-09/ACL_Strategic_Plan.pdf

OAA Section references include, but are not limited to, Title III, Grants for State and Community Programs on Aging

<https://legcounsel.house.gov/Comps/Older%20Americans%20Act%20Of%201965.pdf>

Part A, General Provisions, Administration, Definitions, Allotment, Organization,

- Section 306 – Area Plans
- Section 310 – Disaster Relief Reimbursements
- Section 311 – NSIP Nutrition Services Incentive Program
- Section 312 – Multipurpose Senior Centers
- Section 313 – Audit
- Section 314 – In-Home Services
- Section 315 – Consumer Contributions

Part B, Supportive Services and Senior Centers

- Section 321 – Supportive Services

Part C, Nutrition Service

- Section 330-339 – Nutrition Service
- Subpart 1, Congregate Nutrition Services
- Subpart 2, Home Delivered Nutrition Services

Part D, Evidence Based Disease Prevention and Health Promotion Services

- Section 361 – Evidence Based Disease Prevention and Health Promotion Services

Part E, National Family Caregiver Support Program

- Section 371-374 – National Family Caregiver Support Program

Title VII, Vulnerable Elder Rights Protection Activities

Chapter 1, General State Provisions

- Section 701-706 – Authorization, Allotment, Organization, State Plan Requirements, Demonstration Projects

Chapter 2, Ombudsman Programs

- Section 711-713 – State Long-Term Care Ombudsman Program

Chapter 3, Prevention of Elder Abuse, Neglect, and Exploitation

- Section 721 – Prevention of Elder Abuse, Neglect, and Exploitation

State governance:

• **State Statutes:**

- Aging Advisory Committee: [68-1101 68-1105](#),
- ADRC: [68-1111 68-1119](#)
- Transportation: [75-303.01 - .02](#),
- CASA: [81-2201 to 81-2228](#)
- Care Management: [81-2229-2235](#),
- Ombudsman: [81-2237 – 2263](#)
- Senior Volunteer Program: [81-2273 – 81-2283](#)

- **Nebraska Administrative Code, Title 15** [NAC 1](#); [NAC 2](#); [NAC 3](#); (NAC 4 is out of date with statute)

Note: Title 15 changes had a hearing in August, 2019. A revised set of regulations is expected in 2020.

- **Nebraska Aging Services Taxonomy**

NEBRASKA DEPARTMENT OF HEALTH & HUMAN SERVICES | DIVISION OF MEDICAID & LONG TERM CARE | STATE UNIT ON AGING
 RESERVATION TABLE ESTIMATES AND PRIORITY SERVICE MINIMUMS
 For State FY ending JUNE 30, 2021; and Federal FY ending September 30, 2021 - No Federal carryover included in this table.

SUA-20-PI-48
 Issued: 3-3-20

Project Period:	Estimated Federal Funding FFY 2021 (10/1/20 - 9/30/2022)							TOTAL	State Funding SFY 2021				Total	Total
	10/1/20-9/30/22	10/1/20-9/30/22	10/1/20-9/30/22	10/1/20-9/30/22	10/1/20-9/30/22	10/1/20-9/30/22	10/1/20-9/30/22		7/1/2020 - 6/30/2021					
	TITLE	TITLE	TITLE	TITLE	TITLE	TITLE	TITLE	FEDERAL	CARE	CASA	CASA	State	State	
AREA AGENCY	III-A / NSIP	III-B	III-C(1)	III-C(2)	III-D	III-E	VII	10/1/20-9/30/21	MANAGEMENT	ADRC	Non Match	as Match	Funding	+ Federal
BLUE RIVERS	\$ 97,612	\$ 140,817	\$ 214,798	\$ 91,907	\$ 6,024	\$ 59,169		\$ 610,327	\$ 169,384	\$ 71,561	\$ 459,997		\$ 700,942	\$ 1,311,269
State Match		\$ 7,041	\$ 10,740	\$ 4,595		\$ 8,875						\$ 31,251	\$ 31,251	\$ 31,251
Senior Volunteer											\$ 25,000		\$ 25,000	\$ 25,000
EASTERN	\$ 171,924	\$ 407,657	\$ 691,097	\$ 363,273	\$ 12,031	\$ 252,589	\$ 31,589	\$ 1,930,160	\$ 690,858	\$ 80,655	\$ 2,146,764		\$ 2,918,277	\$ 4,848,437
State Match		\$ 20,383	\$ 34,555	\$ 18,164		\$ 37,888						\$ 110,990	\$ 110,990	\$ 110,990
LINCOLN AREA	\$ 115,787	\$ 226,348	\$ 384,722	\$ 203,101	\$ 6,602	\$ 141,416		\$ 1,077,976	\$ 381,060	\$ 75,540	\$ 1,262,641		\$ 1,719,241	\$ 2,797,217
State Match		\$ 11,317	\$ 19,236	\$ 10,155		\$ 21,212						\$ 61,921	\$ 61,921	\$ 61,921
MIDLAND	\$ 85,443	\$ 157,907	\$ 245,813	\$ 110,002	\$ 6,369	\$ 72,154	\$ 8,534	\$ 686,222	\$ 192,885	\$ 114,965	\$ 578,186		\$ 886,036	\$ 1,572,258
State Match		\$ 7,895	\$ 12,291	\$ 5,500		\$ 10,823						\$ 36,509	\$ 36,509	\$ 36,509
Elder Access Line (statewide)											\$ 75,000		\$ 75,000	\$ 75,000
SOUTH CENTRAL	\$ 96,589	\$ 144,708	\$ 222,480	\$ 96,897	\$ 6,054	\$ 62,854	\$ 15,878	\$ 645,460	\$ 173,415	\$ 124,875	\$ 485,739		\$ 784,029	\$ 1,429,489
State Match		\$ 7,235	\$ 11,124	\$ 4,845		\$ 9,428						\$ 32,632	\$ 32,632	\$ 32,632
WESTERN (AOWN)	\$ 94,720	\$ 151,551	\$ 226,259	\$ 92,019	\$ 6,866	\$ 57,914		\$ 629,329	\$ 195,404	\$ 71,451	\$ 453,897		\$ 720,752	\$ 1,350,081
State Match		\$ 7,578	\$ 11,313	\$ 4,601		\$ 8,687						\$ 32,179	\$ 32,179	\$ 32,179
Senior Volunteer											\$ 25,000		\$ 25,000	\$ 25,000
NORTHEAST	\$ 184,779	\$ 199,002	\$ 340,061	\$ 181,118	\$ 5,662	\$ 126,467	\$ 37,960	\$ 1,075,049	\$ 353,728	\$ 74,865	\$ 1,038,742		\$ 1,467,335	\$ 2,542,384
State Match		\$ 9,950	\$ 17,003	\$ 9,056		\$ 18,970						\$ 54,979	\$ 54,979	\$ 54,979
WEST CENTRAL	\$ 135,204	\$ 151,285	\$ 229,733	\$ 97,291	\$ 6,553	\$ 62,357		\$ 682,423	\$ 158,826	\$ -	\$ 488,033		\$ 646,859	\$ 1,329,282
State Match		\$ 7,564	\$ 11,487	\$ 4,865		\$ 9,354						\$ 33,269	\$ 33,269	\$ 33,269
Neighbor to Neighbor											\$ 25,000		\$ 25,000	\$ 25,000
Mid Nebraska CAP											\$ 25,000		\$ 25,000	\$ 25,000
Sr Citizens Industries											\$ 25,000		\$ 25,000	\$ 25,000
TOTAL FFY21	\$ 982,058	\$ 1,658,239	\$ 2,682,711	\$ 1,297,388	\$ 56,161	\$ 960,158	\$ 93,961	\$ 7,336,946	\$ 2,315,560	\$ 613,912	\$ 7,113,999	\$ 393,730	\$ 10,437,201	\$ 17,774,147

FFY 2021 Project period is 10/1/20 - 9/30/22. FFY21 Funds must be liquidated by 9/30/22. (24 month liquidation period)

No State funding carryover is permitted.

PRIORITY SERVICE MINIMUMS

	ACCESS	IN-HOME	LEGAL SERVICES
	15%	15%	2%
BLUE RIVERS	21,123	21,123	2,816
EASTERN	61,149	61,149	8,153
LINCOLN AREA	33,952	33,952	4,527
MIDLAND	23,686	23,686	3,158
SOUTH CENTRAL	21,706	21,706	2,894
WESTERN (AOWN)	22,733	22,733	3,031
NORTHEAST	29,850	29,850	3,980
WEST CENTRAL	22,693	22,693	3,026

ADRC: Based on 2010 Census demographics.
 ADRC Participants, 7 of 8 AAAs
 Two AAA contract managers of APOs.
 ADRC Partner Organizations (APOs)

1. Brain Injury Alliance Nebraska
2. Easterseals Nebraska
3. League of Human Dignity
4. Munroe Meyer Institute

NOTES

CASA and Care Management prepared using 2010 Census
 Title III prepared using 2010 Census