SUA-16-PI-05 **December 7, 2015**

To: Area Agency on Aging Directors

From: Cynthia Brammeier, Administrator

Subject: Area Plan Instructions

The instructions for Area Agency on Aging Area Plans are enclosed. Please submit the plan for your service area by May 1, 2016. Please contact the State Unit on Aging by April 1, 2016 if you will be unable to meet this date. An approved plan is required to ensure payment processing into FY 2017.

Nebraska is changing the annual area plan and five-year plan process with this plan. One comprehensive area plan will replace these two plans. Interim years will require annual updates for budget, service unit reporting / projections, Senior Companion, and Elder Abuse Awareness programs.

Legislation will be introduced to bring Nebraska Statutes in line with Federal regulations regarding the timing of area plans, which allow for 2, 3 and 4 year plans. Nebraska will align area plans with two biennial budgeting sessions. FY 2017 is one year into the current biennial budget. This area plan, covering FY 2017-2019, will cover the two biennial budget cycles with a 3-year plan. In FY 2020, a 4-year plan will be required.

Each Area Agency on Aging is expected to use the strategic goals set forth in the Administration for Community Living (ACL/AoA) Strategic Action Plan 2013-2018. When developing objectives and strategies, performance measurements should 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.

http://www.acl.gov/About_ACL/StrategicPlan/Index.aspx

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

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

Three-Year Area Agency on Aging Plan Instructions
July 1, 2016 through June 30, 2019
FY 2017-19

This three-year Area Plan provides information regarding the description of the Area Agency on Aging, planning process, program goals, objectives, strategies, service descriptions, attestations, and an annual budget. This 3-year timeframe meets the requirements of Federal regulations.

Area Plan Content

Section A – Administrative

This includes a description of the Area Agency on Aging, the mission statement, a brief history, demographic information, services, which services are provided directly by your Area Agency on Aging (Direct Services) and which services are contracted, organizational charts, staffing, Board, and Advisory Council information.

Section B – Program Goals, Objective, and Strategies

Each Area Agency on Aging is expected to use the strategic goals set forth in the Administration for Community Living (ACL/AoA) Strategic Action Plan 2013-2018. When developing objectives and strategies, performance measurements should be included to demonstrate how successful the agency is at achieving the overall goals during the planning period.

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

Provide an overview of your agency, planning process, meeting the needs within your service area, strategies, and address the Fair Labor Standards Act.

Section C – Service

This includes the service narratives.

Section D – One-Year Budget

Forms are included for the budget, composite page, and funds transfer requests.

Section E – Centers

An Excel file of the senior centers is included for updates as needed.

Section F – Disaster Plans

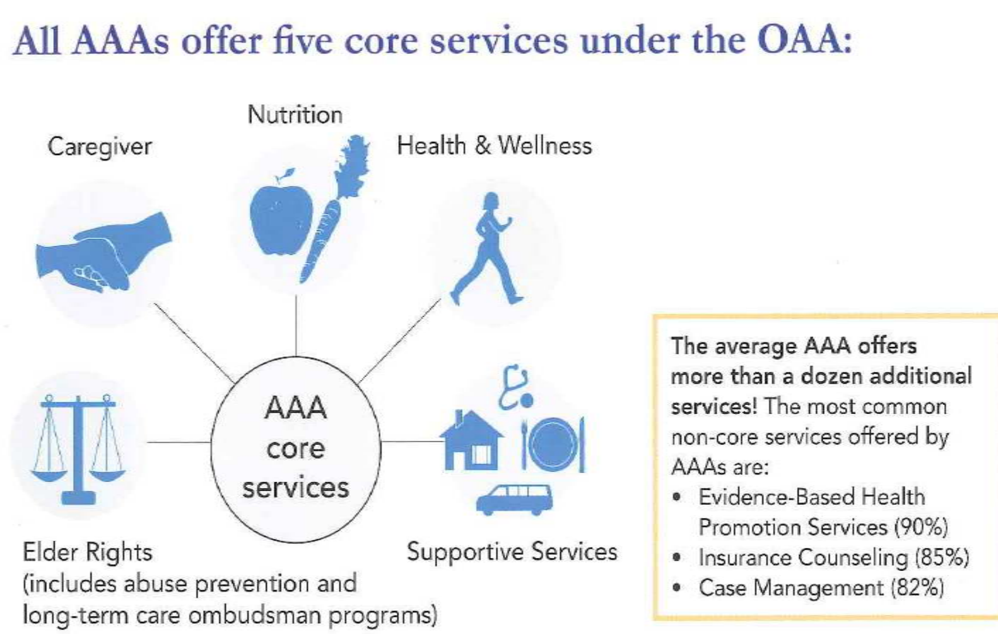
If the disaster plans have changed, please submit updated versions. If the agency's disaster plan has not changed since the 2015 submission, a form is available to indicate this.

Section G – Supporting Documentation

This includes the Direct Service Waiver Request and Assurances.

AREA PLAN INSTRUCTIONS FY 2017-2019

Nebraska State Unit on Aging



DHHS.AgingServices@nebraska.gov

Table of Contents

Additonal documents in the instruction packet:

Attachments: Forms needed to complete the plan (Word & Excel documents);

❖ Form Name	Word	Excel
Advisory Review Statement	✓	
Area Plan Budget Template Includes: Budget Pages Application Signature Page Composite Units of Service Funds Transfer		✓
Assurances FY 2017-19	✓	
Senior Centers Master List FY16		✓
Contractors List	✓	
Cover Page	✓	
Direct Service Provision	✓	
Elder Abuse Funds Request	✓	
Legal Services Addendum	✓	
Section A-3 Administrative List	✓	
Senior Companion Program Annual Plan and Budget	✓	
Senior Companion Budget Narrative	✓	
Service Narrative Form	✓	

- Taxonomy 2015
- FY2017 Reservation Tables will be issued by January 4, 2016:
    - FY 2017 OAA, CASA, Care Management Reservation Table
    - FY 2017 Senior Companion AAA Reservation Table
    - FY 2017 Ombudsman Reservation Table

Attachment 1: Instructions

The Area Plan instructions are different. The order of the plan combines the multi-year plan and the annual plan formats.

The deadline for submittal of the Area plan is May 1, 2016. Sub grants will be issued by July 1.

Exception: The deadline for submittal of a Direct Service Waiver Request is February 26, 2016.

Simplifying the Area Plan and Five-Year Plan:

> *Legislative changes are necessary to match Nebraska's statutes and area plan timing with federal requirements. Federal requirements require Area Agencies on Aging submit 2, 3 or 4 year plans to State Units on Aging. Nebraska statute reflects five-year plans and annual plans. The multi-year plans follow the Federal goals outlined by the Administration for Community Living / Administration on Aging.*
>
> *With the FY17-19 Area Plan, Area Agencies on Aging will combine their previous multi-year plan with their Annual Plan, and submit one document. In the interim years (FY18, and FY19), only annual budget updates and composite taxonomy numbers will be submitted, if no other changes are made and estimates are on target.*

The instructions are available electronically. Please return your plans to the State Unit on Aging electronically (Word and Excel files). Signature pages can be scanned and included with the electronic submission or a hard copy can be mailed to the State Unit on Aging. Pages should be numbered consecutively within a section.

The forms included with these instructions are to be used in preparing the area plans. Each page should include the AAA name, and date the page/document was submitted (or April 1, 2016 as a default for the initial submission date). This will allow the AAA and the SUA to identify future revisions.

The Area plan should follow the following order:

1. **Cover Page** (Word template)
2. **Application-Signature Page** (Excel template, includes one-year budget application)
3. **Advisory Review Statement** (Word template)
4. **Table of Contents** (numbers corresponding to the numbered pages of the plan)
5. **Section A – Administrative**
   a. Staff List
   b. Organizational Chart
   c. Governing Board
   d. Advisory Council
6. **Section B – Goals, Objectives, Strategies**
   Correspond to the Federal Goals, FY 13-18
7. **Section C – Service**
   a. Units of Service Composite (Taxonomy, Excel template)
   b. Service Narratives (Word templates)

i. One for each service

ii. Legal Services Narrative Addendum

c. Elder Abuse, Neglect, & Exploitation Application

d. Senior Companion Plan, Senior Companion Budget Narrative

e. Contractors (Word template)

f. Direct Service Provision (Word template)

8. Section D – One-Year Budget

9. Section E – Centers (Excel database)

10. Section F – Disaster Plans

11. Section G – Supporting Documentation

a. Direct Delivery Service Waiver

b. Assurances

The Signature Page, and initials are required on all indicated pages. The latest Federal Labor Standards Act is referenced. The Aging Regulation chapters are also referenced.

Highlights of Area Plan Instruction changes:

1. Forms in Attachment 2, are separate Word and Excel files. Several Word documents are set up as fillable forms. The document is locked, however there is no password. They can be unlocked. The check boxes ☐ , and drop down selections only work if the protection is 'on.' Use a font between 11 and 14 pt. Please lock the documents prior to submitting your plan.

2. Headers in the Word documents should be updated with the specific AAA name on the left.

3. Taxonomy changes include the deletion of unused categories and renaming of 3 categories.
Care Management Title III Fund <u>changed to</u> Case Management – III B
Care Management <u>changed to</u> Care Management CASA
Public Information <u>changed to</u> Information Services – III B

<u>Excel</u>:

Changes from the 2016 plan instructions: The Area Plan budget pages are new. The cost per unit is needed. The budget pages support the per unit calculations. This information helps when asking for funding and justifying the cost of programs locally and statewide. For example*: "For every $1 in State and Federal funding through the Older Americans Act and CASA, our community matches another $1, thus <u>doubling</u> our combined efforts in helping our seniors remain at home." Please submit the Excel file with your plan.*

Significant changes include:

1. The **<u>ReadMe</u>** worksheet contains a link to each worksheet, and a brief description. This also contains the State Fiscal Year date sets linked to several worksheets. This is informational only, as data was entered at the SUA for these instructions.

2. **<u>Units of Service</u>** are updated with the Taxonomy and Name.

3. Column headings include the Taxonomy number, Name, and Units of Service.

4. The order of the columns in each budget has changed.
5. Columns for <u>all</u> ***Access Services*** and ***In-Home Services*** are included with the <u>**III-B**</u> budget. This will print in 2 pages and is formatted to repeat the headers and left columns. ***Senior Companion*** was moved to the ***CASA Only*** page.
6. The cost per unit calculations are on the individual budget pages. The cost per unit is calculated for *Gross Cost Per Unit*, *Match Per Unit*, and *Total SUA Per Unit*. This helps show the local investment in programs for the aging population.
7. The <u>**Composite**</u> page should match the totals on each Title budget.

Section A – Administrative

Please include the most recent:

1. Organization Chart with employee names, program(s), positions, and FTE contact information.
2. Board and Advisory Council list with names and contact information.
3. Only if they have changed since the last submissions, include:
    a. Governing Board and Advisory Board by-laws
    b. Conflict of Interest Statement / Declaration for Board Members
    c. Advisory members, staff, and volunteers
    d. A sample Senior Center disaster plan
    e. Disaster Plan for the Area Agency on Aging
    f. Sample contract(s) used with services not directly provided by employees and volunteers of the agency.

    If these forms have not changed, please use the form "Admistrative A-3 List" in their place in the plan.

Section B: Goals, Objectives, Strategies

1. **Description of the Area Agency on Aging**
    a. Review the information submitted in FY15. Include the Area Agency's mission statement, a brief history, and other information that will enhance understanding of the role of your agency.
    b. Provide demographic information that describes the population residing in the planning and service area that is eligible for services.
2. **Federal Goals**

    Each Area Agency on Aging is expected to use the strategic goals set forth in the Administration for Community Living (ACL/AoA) Strategic Action Plan 2013-2018. When developing objectives and strategies, performance measurements should be included to demonstrate how successful the agency is at achieving the overall goals during the planning period. http://www.acl.gov/About_ACL/StrategicPlan/Index.aspx

    ACL Strategic Goals:

    1. **Goal 1: Advocacy**

    Advocate to ensure the interests of people with disabilities, older adults, and their families are reflected in the design and implementation of public policies and programs.

    2. **Goal 2: Protect Rights and Prevent Abuse**

    Protect and enhance the rights; and prevent the abuse, neglect, and exploitation of older adults and people with disabilities.

    3. **Goal 3: Individual Self-Determination & Control**

    Work with older adults and people with disabilities as they fully engage and participate in their communities, make informed decisions, and exercise self-determination and control about their independence, well-being, and health.

4. **Goal 4: Long-Term Services and Supports**

Enable people with disabilities and older adults to live in the community through the availability of, and access to, high-quality long-term services and supports, including supports for families and caregivers.

5. **Goal 5: Effective and Responsive Management**

Implement management and workforce practices that support the integrity and efficient operations of programs serving people with disabilities and older adults and ensure stewardship of taxpayers' dollars.

3. Planning Process

a. Provide an overview of your agency's process for developing a plan to address the support needs of older persons within your service area. This overview should include needs determination efforts and the process used to develop initiatives to address these needs.
b. Briefly describe the processes (such as needs assessments, surveys, or focus groups) used by the Area Agency on Aging to determine the extent of services needed in order to establish a comprehensive and coordinated system of services within the area.
c. Describe how consideration was given to the following populations in the service area (see OAA, Section 306):
   1. Older individuals who
      a. have the greatest economic need
      b. with particular attention to low-income older individuals
      c. including low-income minority older individuals
      d. older individuals with limited English proficiency
      e. older individuals residing in rural areas
   2. greatest social need
      a. with particular attention to low-income older individuals
      b. including low-income minority older individuals
      c. older individuals with limited English proficiency
      d. older individuals residing in rural areas
      e. the number of older individuals at risk for institutional placement residing in such area
      f. the number of older individuals who are Indians residing in such area
      g. older individuals with self-care limitations
      h. older individuals with Alzheimer's disease or related disorders
d. Describe how your Area Agency on Aging establishes its priorities, including any shifts in focus or priorities that have occurred, and how it has effected your resource allocations.
e. Describe how current service utilization is integrated into your agency's planning process.
f. Describe your Area Agency on Aging's efforts regarding coordinating Title III (starting in Section 301) programs with Title VI Native American programs (starting in Section 601), including potential opportunities for coordination with the Indian Health Service.
g. Describe how your Area Agency on Aging is strengthening and/or expanding Title III and Title VII (starting in OAA Section 701) services.
h. Describe how your Area Agency on Aging is integrating Title III and VII with the following AoA Discretionary Grant initiatives: ADRC, Evidence Based Disease Prevention Programs, Lifespan Respite.

i. Describe the strategies your Area Agency on Aging will use in planning for the population increase of older adults and the recommended actions to meet the needs of older persons living in your service area.
j. Describe planned efforts to support consumer control and choice in Title III programs, e.g., consumer choice in providers, and/or use of vouchers. In addition, outline planned activities to promote consumer control and choice in non-OAA programs such as Veterans Directed Home and Community Based Services such as Money Follows the Person.
k. Describe changes in response to the Fair Labor Standards Act, as it relates to overtime.

Section C – Service

1. Units of Taxonomy Service Composite – included in the Budget Excel file

- This form provides a summary of the number of units of taxonomy services that are projected to be served in FY17. A subsequent version of the composite form will be issued to capture FY18 units, and FY19 units for those years.
- Units of service reported on the budget pages should correlate with the units listed on the Units of Taxonomy Service Composite Page.
- The Unit of Service definitions are defined in the taxonomy.
- Total meal units reported should represent the combination of both eligible and ineligible meals served.
- Self-Directed Care
  This covers the range of services provided or paid for through allowance, vouchers, or cash which is provided to the client so that the client can obtain the supportive services which are needed. Note that the definition does not require reporting of service units, but does require reporting of the unduplicated number of persons served.

2. Service Narratives

Provide a description of where and how each service is provided. Include if the service is contracted or if it is a direct service for each service listed on the Units of Service Composite Form. The services listed on the Units of Service Composite forms are from the taxonomy (see attachments). If the service is available in all counties within the service area, state it as such (xxxx is provided in all 14 counties in the planning and service area). If the service is available in a limited number of counties, state it as such (home delivered meals are provided in 13 of the 14 counties, the ABC Hospital provides home delivered meals in County B.). A list of the counties under contract can be submitted, or a table indicating contract vs. direct.

OAA 306, (c) Each State, in approving area agency on aging plans under this section, shall waive the requirement described in paragraph (2) of subsection (a) for any category of services described in such paragraph if the area agency on aging demonstrates to the State agency that services being furnished for such category in the area are sufficient to meet the need for such services in such area and had conducted a timely public hearing upon request.

In order for the Administration on Aging (AoA) to understand more fully the scope of resources and services being provided by the aging network, they are encouraging the reporting of Older Americans Act taxonomy services whether or not ACL/AoA funds are utilized for the administration of the service.

Please note:

- A detailed description of how the service will be delivered
- Explain a change of + or – 10% or more units of service for services
  Explanation of a significant change should be a detailed explanation of why such change occurred or will occur. An example for explanation would be:
  - *A new Transportation system started in the PSA, this will allow more trips to Lincoln and Omaha. Or, a satellite meal program closed in the PSA which will reduce number of meals.*
- A Service Narrative Addendum for Legal Services is required with the Service Narrative.
- The Ombudsman program is listed as a taxonomy service and a service narrative is required.

3. Contractors Providing Services

Each service provided by a contractor must be listed on a separate line. Multiple services per line will not be accepted. Please note: The total cost of the contract is to be listed. An example would be: ABC Senior Center provides taxonomy services 4, 7 & 10, you will indicate the total amount contracted to ABC Senior Center and not for each individual service. If all or any part of OAA funds are used to provide any of these services please indicate in the appropriate column. Multiple contractors per page is recommended.

4. Direct Service Provision

Please review the taxonomy before completing this section. Each service provided by an area agency must be listed on a separate line. Multiple services per line will not be accepted.

5. Elder Abuse, Neglect, And Exploitation

Limited funds may be available on a first come, first served basis to AAAs if they have projects for prevention/awareness of elder abuse, neglect and exploitation. Describe the project and provide a proposed budget using the form provided in the attachments.

Section D – One-Year Budget

Address each of the items listed below. Forms are included as an attachment in an Excel file.

1. Fund Transfer Request – Use this form to indicate fund transfers between Title III-B and Title III-C. The limit on transfers between Title III-B Reservation and Title III-C Reservation is 30%. The limit on transfers between Title III-C1 and Title III-C2 is 40%.
2. Unit Cost-- Indicate the source of funds for each service included in the area plan. The services on the unit cost matrix must match the Units of Service Composite.
3. Budget Forms – Complete the appropriate budget forms in the attachments. The FY17 reservation table will be provided with the amount of Older Americans Act and CASA funds reserved for your agency as soon as they are available.
   a. Composite Budget (Excel template) – all formulas; data will pull as it is entered in the following pages
   b. III-B Budget (Excel, this has more columns & will print more than 1 page)
   c. III-C(1) Budget (Excel)
   d. III-C(2) Budget (Excel)
   e. III-D Budget (Excel) - funds are reserved for Evidence Based Programs.

f. III-E Budget (Excel) - AAA's may use up to 10% of the total Federal and non-Federal share available to provide services to grandparents and older individuals who are relative caregivers of a child who is under 18 years of age. Line 19 on the III-E budget page identifies the amount of funds expended for services to grandparents and relative caregivers. The Grandparent amount should be included on lines 18a. and/or 18b.
g. CASA Only Budget (Excel) – Includes a separate line for CASA (Used as Match) (17b.). As stated in NDoA-01-PI-08; if you do not have enough local match, you may use CASA funds to make up the difference.
h. VII Budget (Excel)
i. Other Programs Budget (Excel) - Please list all non-SUA funded programs here.
j. Senior Companion Application for Funding to be completed if applicable.
k. Plan Admin (Excel) - Please include the following:
    - the cost of administration of the plan, including preparation of the area plan and evaluation of activities carried out under the area plan;
    - the cost of development of comprehensive and coordinated systems for Supportive Services, Nutrition Services, Development and Operation of Senior Centers, and the delivery of Legal Assistance (OAA Section 303(1).

Title III-B, III-C, and III-E funds may be used for paying part of the cost of Area Plan Administration. These funds are limited to 10% of Title III funds in the reservation table, and not more than 75% of the cost of Area Plan Administration (OAA 304(d)(1)(A). If funds in excess of the 10% limit of Title III fund reservations are necessary to cover the cost of development of comprehensive and coordinated systems, please contact the State Unit on Aging for further guidelines (OAA Rules and Regulations 1321.17.)

l. Cost itemization of equipment with an acquisition cost of $5,000 or more; capital expenditures involving purchase, renovation, construction of property; and data processing, which are allowable as a direct cost. [Equipment means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose of which it is acquired (OMB A-87 Attachment B (19).]

Section E - Centers

The Senior Centers Excel sheet was a new worksheet in FY16. It is pre-populated with Senior Center information gathered from the 2014 Nutrition survey, follow up calls from an Intern in the State Unit on Aging office, and FY17 Area Plans. The columns are set up with filters. You can filter your service area and add missing Senior Centers and other missing information that you may have available. This worksheet replaces the Nutrition survey of meal sites. Submit the Excel version for your service area.

Section F – Disaster Plans

If the Disaster Plan has changed, please submit a copy of the current plan for services to the elderly during disaster, including, but not limited to, tornado (high winds), chemical, nuclear, flood, and blizzards. As part of the plan for services to the elderly during disaster, include the Pandemic Flu Plan showing how your agency will recognize the different disaster response strategies to an infectious disease occurrence vs. a response to a natural disaster. It is important to ensure that the Pandemic Flu Plan address issues such as communication, assessment, surveillance, staff training, and the coordination of resources. The plan will show the coordination with Civil Defense and Red Cross and its pyramid alert system, including notification of the disaster coordinator.

If no change was made to the disaster plan, insert a copy of the form “Administrative-3 List.”

Section G – Supporting Documentation

Please provide the following supporting documentation in your plan.

1. Direct Service Waiver Request (due February 26, 2016)

Area Agencies providing direct delivery of service must complete the Direct Delivery of Service form. The form must include state-developed criteria for evidence that will support and justify a direct service waiver request. Services that do not require a waiver include; Information & Assistance, Care Management, Outreach and Ombudsman Services. A public notice must be published in multiple newspapers throughout the PSA and an affidavit of each publication must be included.

One of the following criteria for evidence that supports a direct service waiver request must be used.

a. Assure an Adequate Supply of Services

The following criteria will support a direct service waiver request to assure an adequate supply of services.

1) A copy of the public notice with required language in each official county newspaper of the planning and service area.
    a) Public notice required language, at a minimum, must include the following language, additional information may be added
        i) A public hearing will be conducted by (Area Agency name) for the purpose of receiving public comment concerning options in the community for providing delivery of (state direct services requesting waiver for). (Area Agency name) provides these services directly to (state justification for providing services directly).
        ii) The hearing will be held on (date, time, location) at which time all persons interested may be heard.
        iii) Written comment should be sent to (Area Agency name and address). Comments must be received by (date) to become part of the hearing record.
2) Documentation that a public hearing occurred.
3) Evidence that all interested parties within the area had been notified of and provided an opportunity to testify at the public hearing.
4) A record of the notification process.
5) Agenda of Public Hearing
6) Minutes of Public Hearing

b. Services Related to the Area Agency on Aging’s Administrative Function

Services that fall into this category should include; Education & Training, Public Information, General Information, and Publication.

1. A written description with supporting documentation.

Examples of supporting documentation:

- Newsletters
- Training agendas
- Information Brochures
- Public Notice

2. How the services are related to the agency's administrative function.
3. How that function would be affected by contracting the services.

c. Provide Services of Comparable Quality More Economically

Criteria that will support a direct service waiver request to provide services of comparable quality more economically include one of the following.

1. A determination in writing by the AAA comparing the quality of the service currently being provided by the AAA and the service proposed by provider submitting a written proposal to the AAA showing the proposed services are of lesser quality.
2. A determination in writing by the governing board of the AAA comparing the efficiency of the service currently being provided by the AAA and the service proposed by provider submitting a written proposal to the AAA showing the proposed services provider is less efficient.

In addition to providing justification for providing services directly based upon efficiency or effectiveness, if the waiver request is ongoing from year to year, all waiver requests must include the following information.

- Documentation that potential service providers in the area have been notified, by issuing a Request for Proposal at least once every four years.

The State Unit on Aging reviews each direct service waiver request for compliance. If compliance has been met, the State Unit on Aging provides public notice for the intent to grant a waiver for direct delivery of service.

2. Assurances

Assurances were submitted for FY 16. The FY 16 submission will be used for this 3-year plan.
Signing of the signature page, and initials on the Assurances pages, indicates acceptance of Assurances and Certifications.