

## Area Plan on Aging Format Instructions

The primary purpose of this instruction is to provide Area Agencies on Aging with the guidelines they must use in developing and submitting Area Plans on Aging and amendments. These guidelines are effective immediately and will remain so until replaced.

### The components of the Area Plan on Aging include:

#### Verification of Intent

Part I	Introduction to the Area Plan on Aging
Part II	Description of the Area Agency on Aging
Part III	Needs Assessment
Part IV	Goals, Objectives, and Action Plans
Part V	Preference to Older Persons with Greatest Economic or Social Need
Part VI	Key Changes to Service Delivery
Part VII	Approved Waivers
Part VIII	Budget
Part IX	Area Agency Services to be Funded by Geographic Area
Part X	Appendix

### **PART I - INTRODUCTION TO THE AREA PLAN**

The following narrative must be included in the introduction section of the Area Plan on Aging:

An Area Plan is the document submitted by an Area Agency on Aging to the State Agency on Aging in order to receive awards or contracts from the State Agency's grant provided under the Older Americans Act, as amended. The Area Plan contains provisions required by the Act, the Federal rules and regulations, State policies, procedures, and assurances and commitments that the Area Agency on Aging will administer activities funded under the plan in accordance with all Federal and State requirements. The plan is the blueprint by which the Area Agency on Aging develops and administers a comprehensive and coordinated system of services and serves as the advocate and focal point for older people in the Planning and Service Area.

Conceptually, the plan must represent a process, which translates needs assessment information into the establishment of priorities for funding and services.

The Area Plan on Aging, as a planning document, has three major purposes, as follows:

- 1) The Area Plan serves as the planning document which identifies needs, goals, objectives, and the activities that will be undertaken by the Area Agency on Aging relative to programs for the older persons in the Planning and Service Area.
- 2) The Area Plan represents a formal commitment to the State Agency, which describes the manner in which the Area Agency on Aging plans to utilize the Older Americans Act funds, and how it will carry out its administrative responsibilities.

- 3) The Area Plan is viewed as "the blueprint for action" which represents a commitment by the Area Agency on Aging that it will fulfill its role as the planner/catalyst/advocate on behalf of older persons in the Planning and Service Area.

## **PART II - DESCRIPTION OF AREA AGENCY ON AGING AND ITS NETWORK**

This section should provide a **clear and concise** description of your Area Agency on Aging and its network. DAAS recommends that your description be no more than eight paragraphs in length and address the following questions:

- Are you a single-purpose agency to administer programs for older persons?
- Are you a separate organizational unit within a multipurpose agency which functions only for the purposes of serving as the Area Agency on Aging? If so, describe the nature and organizational placement of the separate unit?
- If you are a Tribal Area Agency on Aging, how do you coordinate with the programs and services outlined in the Older Americans Act Title VI?
- How is your agency organized and what is the nature and scope of its work and/or its capabilities?
- What methods are used by your agency to carry out Area Agency on Aging responsibilities? (examples: clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, how they will contribute to achieving the plan's objectives)
- What is the network for which you operate? (Examples: service delivery system, advisory council, partnerships, funders, etc.)
- How do you assure coordination and integration of multiple fund sources?
- What is the approach that will be used to monitor and track progress on the Area Plan on Aging?
- How is competition used by you in arranging for services for elderly individuals and their caregivers?
- How have you coordinated activities and long-range emergency preparedness plans along with local emergency response agencies, local governments, state agencies responsible for emergency preparedness and other entities involved in disaster relief?
- How have you partnered with faith-based and other community organizations in order to assist older individuals and their families meet home and community-based needs?

The following should be included in the appendix:

- Area Agency on Aging Organizational Chart
- Regional Advisory Council Membership
- Listing of Programs and Services

### **PART III - NEEDS ASSESSMENT**

This section should provide a **clear and concise** description of the needs assessment process used by the Area Agency on Aging. The Division of Aging and Adult Services recommends that your description be no more than eight paragraphs in length and address the following questions:

- What procedure was used to conduct the needs assessment? (examples: survey instrument, public information gathering sessions, etc.)
- What was the rationale for using the particular procedure(s)?
- Who was involved in the assessment? What methods were used to ensure that the views of individuals 60 years of age or older, with the greatest social and economic need with particular attention to older individuals who are low-income minority, older individuals residing in rural areas, older individuals with severe disabilities, older individuals with limited English speaking abilities and any individuals with Alzheimer's disease or related dementias were considered?
- What was the role and makeup of strategic partnerships? (examples: identification of other organizations, funders, and/or consumer groups)
- What were the key findings from the needs assessment process that was used to build the plan?
- What major barriers were anticipated or encountered?
- How were these barriers overcome?
- What prior planning activities or approaches were used?

The following should be included in the Appendix:

- Needs assessment instrument
- Results collected from the needs assessment

Sample format for documenting information collected:

COMMENT/ISSUE	SOURCE	ACTION TAKEN

### **PART IV – GOALS, OBJECTIVES, AND ACTION PLANS**

This section should provide a **clear and concise** listing of the Area Agency on Aging goals and objectives for the planning period. At a minimum, the following three Arizona Aging 2020 Plan goals are to be incorporated into each Area Agency on Aging's 2014-2017 Area Plans on Aging:

- Increase awareness and understanding of aging issues and help prepare Arizona for an aging population;

- Increase the ability of older adults to remain active, healthy and living independently in their communities; and
- Increase the safety and well-being of older Arizonans.

Goals and related objectives should be developed to ensure preference is given to older persons with greatest economic or social need with particular attention to low-income minority and older individuals residing in rural areas and individuals at risk of institutional placement as defined in [P.L. 109-365 §306(a)(1), 306(a)(4)(A), 306(a)(4)(B)]. In addition, where a new service is to be developed, the goals and strategic objectives should guide the development effort.

**Example for Goal 1. Ease access to services for older adults.**

Strategic Objective: S.1-1 Reach out to the local transportation departments, city/county government to improve transportation to older adults.

Operational Objective: O.1.1 Maintain use of volunteer transportation to services by informing additional older adults about volunteer driver program.

Action Plan Steps: Assign staff, set up meetings with city, county, local transportation departments.

Outputs: 15 neighborhood forums held/720 total attendance.

Outcome: 57 older adults that were not able to access services due to transportation problems are now able to access services (same number as were reached in the previous year).

**Example for Goal 3. Increase the ability of older adults to remain active, healthy and living independently in their communities.**

Strategic Objective: S.2-1 Promote healthy lifestyles, resulting in less long term illness and reduced mortality from preventable and chronic diseases.

Operational Objective: O.2-1 Create partnerships and collaborate with community resources to deliver most appropriate age specific wellness programs designed to assure active lifestyles and independency.

Action Plan Steps: 1) Assign staff to project; identify at-risk seniors (through case managers, physicians and self-selection. 2) Assess client. 3) Evaluate at regular interval(s) to assess change client’s health condition.

Outputs: 175 additional older adults were enrolled and successfully completed the chronic disease self-management program workshops.

Outcomes: 48% of those added reported improved health conditions. This % was determined by self-report on an evaluation given to each participant.

Sample format of action plan:

<b>Goal:</b>			
<b>Strategic Objective:</b>			
<b>Operational Objective:</b>			
<b>Action Step</b>	<b>Completion Date</b>	<b>Person Responsible</b>	<b>Output/Outcome</b>

**PART V - PREFERENCE TO OLDER PERSONS WITH GREATEST ECONOMIC OR SOCIAL NEED**

This section should provide a **clear and concise** description of the Area Agency on Aging’s assurance that preference will be given to individuals 60 years of age or older, with the greatest social and economic need with particular attention to older individuals who are low-income minority, older individuals residing in rural areas, older individuals with severe disabilities, older individuals with limited English speaking abilities and any individuals with Alzheimer’s disease or related dementias. The Division of Aging and Adult Services recommends that your description be no more than four paragraphs in length and address the following questions:

- How will you ensure that the needs of “preference” are being met?
- How will you incorporate published demographic information into your outreach and service delivery?
- How will you use outreach efforts to identify individuals eligible for assistance under the Older Americans Act, with special emphasis on older individuals with greatest economic and social need, with particular attention to low-income minority individuals, individuals residing in rural areas, individuals who are Native Americans, individuals at risk of institutional placement and individuals with a severe disability within your planning and service area?
- How will you ensure that your service provider(s) will satisfy the service needs of low-income minority individuals, individuals residing in rural areas, individuals who are Native Americans, individuals at risk of institutional placement and individuals with a severe disability in the area being served by the service provider?
- How will you ensure that your service provider(s), to the maximum extent feasible, will provide services to low-income minority individuals, individuals residing in rural areas, individuals who are Native Americans, individuals at risk of institutional placement, and individuals with a severe disability in the area being served by the service provider?
- How will you ensure that your service provider(s) will meet the specific objectives established by the Area Agency for providing services to low-income minority

individuals, individuals residing in rural areas, individuals who are Native Americans, individuals at risk of institutional placement and individuals with a severe disability in the area being served by the service provider?

- How will community-based organizations be involved in a meaningful way in the planning and implementation of the Area Plan on Aging?

## **PART VI – KEY CHANGES TO SERVICE DELIVERY**

This section should provide a **clear and concise** description of key changes to the service delivery system which the Area Agency on Aging intends to make and the reasons for those changes. This section should also provide the initiatives in which the Area Agency on Aging is or will be involved. The Division of Aging and Adult Services recommends that your description be no more than eight paragraphs in length and address the following questions:

- What are the key changes in your service delivery system and why are those changes being made?
- Describe your role in the Aging and Disability Resource Consortium (ADRC), AZ Links, and how you integrate ADRC functions with other activities.
- As part of the ADRC, describe how your agency has expanded service provision to private pay and non-elderly clients?
- Describe new activities and partnerships you have put into place as a result of the Affordable Care Act funding.
- What are your plans to transition your current Title III-D programs to evidence-based? Please provide specific details and timelines.
- What is your involvement in improving the coordination of transportation services to assist elderly individuals in communities within your planning and service area?
- What strategies do you use to offer and/or expand consumer control and choice care options?
- Describe new activities and partnerships you have developed and implemented for expanding awareness of health care fraud and enhancing the role of the Senior Medicare Patrol (SMP) in health care fraud education.
- How will you strengthen programs to provide important protections against threats to the independence, well-being, and financial security of seniors?

## **PART VII - APPROVED WAIVERS**

This section should provide a **clear and concise** listing of the approved waivers received by the Area Agency on Aging for the planning period. The listing may be substituted with copies of the approval letters for the waivers requested. Effective July 1, 2010, case management may be provided directly by Area Agencies on Aging without a waiver request.

**PART VIII - BUDGET**

This section should provide a detailed budget for the first year of the planning period. (Attach a copy of the Area Agency on Aging State Fiscal Year 2014 Contract Operating Budget)

**PART IX - AREA AGENCY SERVICES TO BE FUNDED BY GEOGRAPHICAL AREA**

This section should provide a **clear and concise** listing of the anticipated allotments of Area Agency on Aging resources for the delivery of services within the various geographical areas of the Planning and Service Area (PSA), i.e., counties, cities, etc.

Sample format for documenting services funded:

	<b>Service #1</b>	<b>Service #2</b>	<b>Service #3</b>	<b>Etc.</b>
<b>City/PSA A</b>				
<b>City/PSA B</b>				
<b>Etc.</b>				

**PART X - APPENDIX**

At a minimum, the following should be included in the Appendix:

- Area Agency on Aging Organizational Chart
- Regional Advisory Council Membership
- Listing of Programs and Services
- Assurances
- Needs assessment instrument
- Results of needs assessment
- Comments on the Area Plan received at the public input sessions or other information gathering activity held by the Area Agency. Include additional material that will assist the Division of Aging and Adult Services in its review of the Area Plan.

### Area Plan Assurances

**By signing this document, the authorized official commits the Area Agency on Aging to performing all listed assurances and required activities.**

(2) Each area agency on aging shall provide assurances that an adequate proportion, as required under section 307(a)(2), of the amount allotted for part B to the planning and service area will be expended for the delivery of each of the following categories of services-

(A) services associated with access to services (transportation, health services (including mental health services), outreach, information and assistance (which may include information and assistance to consumers on availability of services under part B and how to receive benefits under and participate in publicly supported programs for which the consumer may be eligible), and case management services);

(B) in-home services, including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and

(C) legal assistance;

and assurances that the area agency on aging will report annually to the State agency in detail the amount of funds expended for each such category during the fiscal year most recently concluded.

(4)(A)(i)(I) provide assurances that the area agency on aging will—

(aa) set specific objectives, consistent with State policy, for providing services to older individuals with greatest economic need, older individuals with greatest social need, and older individuals at risk for institutional placement;

(bb) include specific objectives for providing services to low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas; and

(II) include proposed methods to achieve the objectives described in items (aa) and (bb) of subclause (I);

(ii) provide assurances that the area agency on aging will include in each agreement made with a provider of any service under this title, a requirement that such provider will—

(I) specify how the provider intends to satisfy the service needs of low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in the area served by the provider;

(II) to the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in accordance with their need for such services; and

(III) meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals, older individuals with limited English



proficiency, and older individuals residing in rural areas within the planning and service area; and

(4)(A)(iii) With respect to the fiscal year preceding the fiscal year for which such plan is prepared, each area agency on aging shall--

(I) identify the number of low-income minority older individuals and older individuals residing in rural areas in the planning and service area;

(II) describe the methods used to satisfy the service needs of such minority older individuals; and

(III) provide information on the extent to which the area agency on aging met the objectives described in clause (a)(4)(A)(i).

(4)(B)(i) Each area agency on aging shall provide assurances that the area agency on aging will use outreach efforts that will identify individuals eligible for assistance under this Act, with special emphasis on--

(I) older individuals residing in rural areas;

(II) older individuals with greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas);

(III) older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas);

(IV) older individuals with severe disabilities;

(V) older individuals with limited English proficiency;

(VI) older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and

(VII) older individuals at risk for institutional placement; and

(4)(C) Each area agency on aging shall provide assurance that the area agency on aging will ensure that each activity undertaken by the agency, including planning, advocacy, and systems development, will include a focus on the needs of low-income minority older individuals and older individuals residing in rural areas.

(5) Each area agency on aging shall provide assurances that the area agency on aging will coordinate planning, identification, assessment of needs, and provision of services for older individuals with disabilities, with particular attention to individuals with severe disabilities, and individuals at risk for institutional placement, with agencies that develop or provide services for individuals with disabilities.

(6) Each area agency on aging will:

(6)(F) in coordination with the State agency and with the State agency responsible for mental health services, increase public awareness of mental health disorders, remove barriers to diagnosis and treatment, and coordinate mental health services (including mental health screenings) provided with funds expended by the area agency on aging with mental health services provided by community health centers and by other public agencies and nonprofit private organizations;

(9) Each area agency on aging shall provide assurances that the area agency on aging, in carrying out the State Long-Term Care Ombudsman program under section 307(a)(9), will expend not less than the total amount of funds appropriated under this

Act and expended by the agency in fiscal year 2000 in carrying out such a program under this title.

(11) Each area agency on aging shall provide information and assurances concerning services to older individuals who are Native Americans (referred to in this paragraph as "older Native Americans"), including-

(A) information concerning whether there is a significant population of older Native Americans in the planning and service area and if so, an assurance that the area agency on aging will pursue activities, including outreach, to increase access of those older Native Americans to programs and benefits provided under this title;

(B) an assurance that the area agency on aging will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI; and

(C) an assurance that the area agency on aging will make services under the area plan available, to the same extent as such services are available to older individuals within the planning and service area, to older Native Americans.

(13)(A) Each area agency on aging shall provide assurances that the area agency on aging will maintain the integrity and public purpose of services provided, and service providers, under this title in all contractual and commercial relationships.

(13)(B) Each area agency on aging shall provide assurances that the area agency on aging will disclose to the Assistant Secretary and the State agency--

(i) the identity of each nongovernmental entity with which such agency has a contract or commercial relationship relating to providing any service to older individuals; and

(ii) the nature of such contract or such relationship.

(13)(C) Each area agency on aging shall provide assurances that the area agency will demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under this title by such agency has not resulted and will not result from such non-governmental contracts or such commercial relationships.

(13)(D) Each area agency on aging shall provide assurances that the area agency will demonstrate that the quantity or quality of the services to be provided under this title by such agency will be enhanced as a result of such non-governmental contracts or commercial relationships.

(13)(E) Each area agency on aging shall provide assurances that the area agency will, on the request of the Assistant Secretary or the State, for the purpose of monitoring compliance with this Act (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older individuals.

(14) Each area agency on aging shall provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost)

incurred by the Area Agency on Aging to carry out a contract or commercial relationship that is not carried out to implement this title.

- (15) provide assurances that funds received under this title will be used-
- (A) to provide benefits and services to older individuals, giving priority to older individuals identified in paragraph (4)(A)(i); and
- (B) in compliance with the assurances specified in paragraph (13) and the limitations specified in section 212.

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Signature and Title of Authorized Official

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Date

**REQUEST FOR A DIRECT SERVICE WAIVER**

\_\_\_\_\_ hereby requests a waiver of the requirement to  
(Area Agency on Aging)

award sub grants or contracts to service providers for the services identified in this request.

1. Identify the service(s) to be delivered by the Area Agency on Aging.

2. Identify criteria for which the waiver is warranted:

a. Provision of the service(s) by the Area Agency on Aging is necessary to assure an adequate supply of such service.

b. The service(s) is directly related to the Area Agency on Aging's administrative functions.

c. The service(s) can be provided more economically, and with comparable quality, by the Area Agency on Aging.

3. Describe the rationale for the identified criteria (this must be completed for each service):

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

**REQUEST FOR AN ADEQUATE PROPORTION WAIVER**

\_\_\_\_\_ hereby requests a waiver of the requirement to  
(Area Agency on Aging)

expend an adequate proportion of Title III-B funds as set in the State Plan on  
Aging for:

1. Identify the Priority Service Category and respective percentage to be budgeted and expended:

a. Access Services (minimum 16%) \_\_\_\_\_ Percentage

b. In-Home Services (minimum 8%) \_\_\_\_\_ Percentage

c. Legal Services (minimum 4%) \_\_\_\_\_ Percentage

2. Describe the rationale that services furnished for the priority services category(ies) in the planning and service area are sufficient to meet the need for the services in the area:

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date

**REQUEST FOR A COST SHARING WAIVER**

\_\_\_\_\_ hereby requests a waiver of the  
(Area Agency on Aging)

requirements to implement cost sharing within the following area:

\_\_\_\_\_  
(identify planning and service area or applicable county/counties)

for the following permitted service:

- Respite Care
- Personal Care/Attendant Care
- Homemaker/Housekeeping
- Adult Day Care

1. Identify the reason for the waiver:

a. A significant proportion of persons receiving services under this Act subject to cost sharing in the Planning and Service Area have incomes below the threshold established in the Division of Aging and Adult Services policy.

b. Cost sharing would be an unreasonable administrative or financial burden.

2. Describe the rationale for the identified reason:

\_\_\_\_\_  
Signature and Title of Authorized Official

\_\_\_\_\_  
Date