



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

Douglas A. Ducey  
Governor

Timothy Jeffries  
Director

July 29, 2016

To: Area Agencies on Aging  
From: Scott Lekan   
DES Assistant Director  
Division of Aging and Adult Services  
Subject: State Fiscal Year (SFY) 2017 Technical Assistance

The following ALERT is attached:

**ALERTS**

**FUND SOURCE/TYPE**

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SFY-17-12A	Technical Assistance – Federal Fiscal Year 2018-2021 Area Plan on Aging Instructions
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ALERTS are subject to change as additional information is received by the Division pertaining to the funding sources identified.

ALERTS are available on the Division website using the link:  
<https://www.azdes.gov/daas/alerts>

Should you have any questions regarding the attached ALERTS, please contact your assigned Contract Specialist.

cc: Scott Lekan, Nina Sutton, Bridget Casey, Cam Kowal, Matt LeCrone, Lei Ronda Golden-Grady, Rose Larsen, Cindy Saverino, Darrell Reagan, Pat Emblem, Beth Woods, David Besst, Mark Radan, Scott Geiger, Jason Bernbaum, John Sours, Alyssa Tattrie, Rebecca Clayton, DAAS file

### Technical Assistance for SFY-2017

Technical Assistance ALERTS are generated periodically to update contractual and/or programmatic requirements and/or clarifications. Please ensure that appropriate Area Agency on Aging personnel are aware of this technical assistance.

#### Area Plans on Aging

To focus on the commonalities that already exist among the goals and objectives among the Administration for Community Living, Administration on Aging Strategic Plan, State Plan on Aging, and the eight Area Plans on Aging, the following three goals are to be incorporated into the 2018-2021 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.
- Increase the safety and well-being of older Arizonans.

Attached are the Area Plan Format Instructions (Attachment A), Area Plan Assurances (Attachment B), Request for a Direct Service Waiver (Attachment C), Request for an Adequate Proportion Waiver (Attachment D), and Request for a Cost Sharing Waiver (Attachment E).

The following calendar is provided as a quick reference of dates to keep in mind throughout the planning process:

- August 2016 – January 2017 – conduct needs assessment, compile results
- February 2017 – April 2017 – draft plan, prepare waiver(s), conduct public input sessions
- May 1, 2017 – submit waiver(s) request(s) and Area Plan to the Division of Aging and Adult Services
- June 1, 2017 – receive approval/denial of waiver(s)
- July 1, 2017 – Area Plan become effective
- October 1, 2017 – submit action plan for strategic objectives
- **December 31 and June 30 of each year – submit semi-annual progress reports on action plan.**

Chapter 2000 – Area Plan on Aging - The chapter includes the following sections: Area Plan on Aging, Collecting Public Input, Targeting of Services/Identification of Needs, Developing Goals and Objectives, Requesting Waivers, Program Development and Coordination, and Service Contributions.

This policy can be accessed at: <https://des.az.gov/services/aging-and-adult/partners/daas-policy-chapter-2000>

Should you have questions or require additional information, please contact Cindy Saverino at (602) 542-6446 or via e-mail at [CSaverino@azdes.gov](mailto:CSaverino@azdes.gov).

# Area Plan Checklist

SFY-17-12A Attachment A

Region: \_\_\_\_\_

Reviewer: \_\_\_\_\_

Date reviewed: \_\_\_\_\_

## 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 on Aging 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 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 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.

\_\_\_\_\_ **Yes**      \_\_\_\_\_ **No**

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

Should be **clear and concise**, no more than 8 paragraphs in and address the following questions:

1. Are you a single-purpose agency to administer programs for older persons? \_\_\_\_\_
2. Are you a separate organizational unit within a multipurpose agency which functions only for the purposes of serving as the AAA? If so, describe the nature and organizational placement of the separate unit? \_\_\_\_\_
3. 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? \_\_\_\_\_

# Area Plan Checklist

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4. How your agency organized and what is the nature and scope of its work and/or its capabilities? \_\_\_\_\_
5. What methods are used by your agency to carry out AAA 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) \_\_\_\_\_
6. What is the network for which you operate? (Examples: service delivery system, advisory council, partnerships, funders, etc.) \_\_\_\_\_
7. How do you assure coordination and integration of multiple fund sources? \_\_\_\_\_
8. What is the approach that will be used to monitor and track progress on the Area Plan on Aging? \_\_\_\_\_
9. How is competition used by you in arranging for services for elderly individuals and their caregivers? \_\_\_\_\_
10. 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? \_\_\_\_\_
11. How have you partnered with faith-based and community organizations in order to assist older individuals and their families meet home and community-based needs? \_\_\_\_\_

**Notes:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**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**

Should be **clear and concise**, no more than 8 paragraphs 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 older individuals with greatest economic or social need, with particular attention to low-income minority individuals and individuals residing in rural areas, older individuals who are Native Americans, individuals at risk of institutional placement, and older individuals with severe disabilities were considered? \_\_\_\_\_
- What was the role and makeup of strategic partnerships? (examples: identification of other organizations, funders, and/or consumer groups) \_\_\_\_\_
- What information collected from the needs assessment process 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 and Results collected from the needs assessment

Sample format for documenting information collected:

COMMENT/ISSUE	SOURCE	ACTION TAKEN

**Notes:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

# Area Plan Checklist

SFY-17-12A Attachment A

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

Should be **clear and concise**. The following three Arizona Aging 2020 Plan goals are to be incorporated:

- 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; 1) 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.

Sample format of action plan:

<b>Goal:</b>			
<b>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**

Should be **clear and concise** no more than 4 paragraphs and address the following:

- 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? \_\_\_\_\_

**Notes:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

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

Should be **clear and concise**, no more than 8 paragraphs and address the following questions: (This section should also provide the initiatives in which the Area Agency on Aging is or will be involved.

- What are the key changes in your service delivery system and why are those changes being made? (Direct delivery of Case Management should be included in this response.) \_\_\_\_\_

# Area Plan Checklist

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- What is your involvement in the continued efforts to expand, and coordinate the Aging and Disability Resource Consortium? \_\_\_\_\_
- How will you strengthen programs to provide important protections against threats to the independence, well-being, and financial security of seniors? \_\_\_\_\_
- How will you ensure that evidence-based health promotion and disease prevention programs (Highest Tier) are implemented in your planning and service areas? \_\_\_\_\_
- How will you continue to help older adults to avail themselves of the Medicare benefits available to them? When responding, please make sure to focus on the State Health Insurance Assistance Program and the Senior Medicare Patrol as two separate programs.
- 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 will you use to modernize nutrition programs and senior centers in your planning and service area to target Boomers? \_\_\_\_\_
- What strategies will you use to offer and/or expand self-directed care options? \_\_\_\_\_
- What strategies will you use to coordinate with the health care system in your planning and service area to avoid duplication of services and maximize available resources? \_\_\_\_\_
- What strategies will you implement to support consumer control and choice in your planning and service area? \_\_\_\_\_
- Describe the planned efforts you will coordinate that will prevent, protect, detect, assess, intervene, and/or investigate elder abuse, neglect, and financial exploitation of vulnerable adults under Title VII?

**Notes:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## **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.

\_\_\_\_\_ **Yes**      \_\_\_\_\_ **No**

## **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 2018 Contract Operating Budget)

\_\_\_\_\_ **Yes**      \_\_\_\_\_ **No**

## **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, 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>				

\_\_\_\_\_ **Yes**      \_\_\_\_\_ **No**

### 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 agency 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 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.

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