

 COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF AGING Harrisburg, PA 17101	PENNSYLVANIA DEPARTMENT OF AGING	
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AGING PROGRAM DIRECTIVE

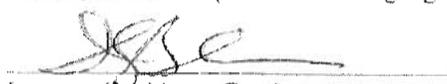
SUBJECT: DATA SUBMISSION REQUIREMENTS

TO:

EXECUTIVE STAFF BUREAU OF PROGRAM INTEGRITY ADMINISTRATION ON AGING AREA AGENCIES ON AGING PA ASSOCIATION OF AREA AGENCIES ON AGING	PA COUNCIL ON AGING BUREAU OF HOME & COMMUNITY BASED SERVICES DPW, OFFICE OF PROGRAM DEVELOPMENT & SUPPORT COMPTROLLER
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FROM:


 William Johnston-Walsh
 Deputy Secretary
 Pennsylvania Department of Aging


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 Director
 Office of Community Services & Advocacy
 Pennsylvania Department of Aging

PURPOSE: The purpose of this Aging Program Directive is to set forth policy and procedures regarding overdue Area Agency on Aging (AAA) submissions.

BACKGROUND: The Department is required to provide fiscal and programmatic data to a variety of State and Federal agencies. The reports are generated based on information submitted by the aging network and are dependent on each AAA providing accurate, complete and timely information. In order for the Department to meet the established submission deadlines and routine informational requests, it is an essential contractual requirement for the AAAs to comply with the Department's timetables for the submission of budgets, reports and database information.

Historically, the majority of the aging network has been responsive to data submission requirements. However, the lack of response from one or more AAAs has, at times, had a negative impact on the Department's ability to issue payments and to meet internal and external reporting requirements. The current system requires that the AAAs respond to informational requests by the specified timeframes. As a result, the aging network must adhere to the timelines established by the Department.

APPLICATION

This procedure applies to all submission requirements and informational requests that have an established due date to be submitted to the Department from the AAAs. The Department will annually provide the network with a data submission schedule that will list annual and quarterly data submission requirements. The Department will, at times, require additional documentation from the network that must be submitted by established timeframes.

1. Within five (5) working days following the due date, the AAA Director and the appropriate AAA staff member, if known by the Department, will be contacted by electronic mail to be informed that the information is past due. The objective of this contact is to alert the AAA of the problem and to provide specific information on what future actions will be taken by the Department if the information is not received by close of business on the tenth working day after the original submission due date. The submission due date is thirty (30) days after the reporting period.

Sample Email:

Dear (AAA Director):

Please be advised, the (required information) due to the Department on (date) has not been received. This information is now overdue and must be submitted by close of business on (date-tenth working day past due date) to avoid formal sanctions.

Please contact (Department staff member and contact information) with any questions regarding this matter.

2. When the required data is not received by close of business on the tenth working day past the original submission date, a letter will be sent to the AAA Director by both electronic mail and in hard copy via the U.S. Postal System. This letter will be copied to the Chairperson of the AAA's Board of Directors (non-profit AAAs) or to the Chairperson of the County Commissioners (public AAA). This letter will outline the impending sanctions to be applied to the AAA.

Sample Letter:

Dear (AAA Director):

This letter serves as formal notification that the AAA has not met the required timeframe for the submission of (data required) to the Department. Our records reveal that this information was due on (date).

Prior to this correspondence, contact was made via electronic mail to your attention (and other staff member if appropriate) on (date). The AAA's response to the email notification was (describe response or lack of response).

The information must be immediately submitted to the Department. Failure to comply by (date—15 working days past original due date) will result in the Department taking appropriate actions as outlined in APD#_____.

Please contact (Department staff member and contact information) with any questions regarding this matter.

3. Failure of the AAA to provide the required information by the fifteenth working day following the original submission due date will result in the Department formally documenting the lack of compliance. The following actions will be completed by the Department:
 - At a minimum, the AAA's failure to meet the established timeframe will be logged into the Department's internal tracking system. This will allow the Department to maintain a record of each AAA's responsiveness and will influence future budget and programmatic decisions made by the Department.

A determination of serious non-compliance will be made. Serious non-compliance means:

- a) Submission failure prevents the Department from meeting reporting deadlines or impacts on the Department's ability to serve other AAAs or
- b) Repeated non-compliance (more than two (2) instances within a sixty (60) day period in which the AAA fails to provide the required information by the fifteenth working day past the due date).

Sanctions for serious non-compliance include:

- The AAA will no longer be eligible to receive Block Grant payments from the Department via electronic transfers. The Department will return the AAA payment process to a paper check system. This will allow the Department to hold the Block Grant payment to the AAA until the necessary information is received.
- The Block Grant payment will not be issued until all required data is received and approved by the Department.
- The AAAs will not be considered for additional funding awarded by the Department as a result of the reallocation of funds in the Block Grant Amendment Process.
- Onsite monitoring and/or technical assistance visits will be scheduled to ensure that the AAA adheres to future requirements.
- The sanctions initiated for non-compliance will remain in place until the AAA provides assurances and demonstrates that it can consistently meet established timeframes for data submission for at least a six-month period.

WAIVER REQUESTS

The Department recognizes that there are, in rare instances, legitimate reasons for the late submission of data. All timeframe extension requests must be received by the Department on or before the established due date. These requests must be made in writing and transmitted by electronic mail. All requests must include documentation to support the request and identify the expected date for data submission.

All requests must be directed to the Director of the Bureau of Program Integrity and copied to both the Chief of the Division of Data Collection and Appeals and the Chief of the Division of Data Analysis, Reporting & Research.

The Department will acknowledge receipt of the waiver request within one (1) business day by electronic mail. If the AAA does not receive this acknowledgement, it must be assumed that the request was not received and must re-submit the original request. The Department will respond to all Waiver requests via electronic mail within five (5) working days.

TECHNICAL ASSISTANCE

The Bureau of Program Integrity, in conjunction with the Bureau of Home and Community Based Services, is available to provide technical assistance, upon request, to the AAAs to assist with the timely submission of required information.