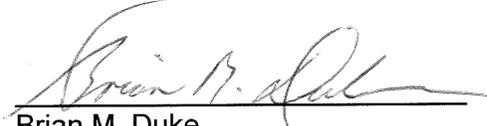


	PENNSYLVANIA DEPARTMENT OF AGING	
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	3. Issuance Date: January 10, 2012	4. Effective Date: January 10, 2012
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	6. Origin: Bureau of Advocacy, Protection and Education	7. Contact: Quality and Compliance Division, telephone (717) 772-0204

AGING PROGRAM DIRECTIVE

SUBJECT: FISCAL YEAR (FY) 2012-16 FOUR YEAR AREA PLAN REQUIREMENTS

TO: AREA AGENCIES ON AGING
EXECUTIVE STAFF
PENNSYLVANIA COUNCIL ON AGING
ADMINISTRATION ON AGING
COMPTROLLER
PENNSYLVANIA ASSOCIATION OF AREA AGENCIES ON AGING

FROM: 
Brian M. Duke
Secretary
Pennsylvania Department of Aging

**LEGISLATIVE/
REGULATORY
REFERENCE:** Older Americans Act of 1965, as amended 42 U.S.C. § 3001, et seq. (2006)
45 CFR §1321.59

BACKGROUND: The current State Plan on Aging will expire on September 30, 2012. Current Area Plans will expire on June 30, 2012. The next State Plan will cover the four year period from October 1, 2012 through September 30, 2016. Similarly, the Area Agencies on Aging (AAA) Plans will be in effect for the period of July 1, 2012 through June 30, 2016.

PURPOSE:

- The plan will combine the Pennsylvania Department of Aging (PDA) policy initiatives and the Administration on Aging's requirements to serve as the blueprint governing the future path of aging and disability services in Pennsylvania.
- The plan will also reflect the areas of need expressed by older Pennsylvanians, their families, advocates, and representatives of agencies serving older people and people with disabilities.

SECTION I. OVERVIEW

Area Plan Aging Program Directive Objectives

- To help AAAs produce a realistic and usable Area Plan that addresses the five policy themes recently issued by the PDA:
 - Innovation Incubator for Service -- An Innovation Incubator for services is an arena—either physical or virtual—designed to find, test, and demonstrate innovative solutions for improving the quality of life for Pennsylvania's seniors and persons with disabilities.
 - Communities to Age and Live Well -- Communities to Age and Live Well has at its core aging in place (AIP)—that is, the ability of people of all ages to live in their home as long as it remains safe, comfortable, and medically possible.
 - Revitalize and Rearchitect Services -- Revitalize and Rearchitect Services focuses on examining the spectrum of existing services, and exploring new means for better programming and service delivery, particularly in terms of outcomes and client satisfaction.
 - Promote Health and Wellbeing -- Promote Health and Wellbeing considers what constitutes a healthy lifestyle and wellbeing, including factors such as nutrition, disease management, fitness, and benefits. It also includes how to refine, develop, and promote initiatives for health and wellbeing for seniors and individuals with disabilities of all ages.
 - Effective and Responsive Management -- Effective and Responsive Management ensures that available resources are used effectively in providing services and support for seniors and individuals with disabilities, in both the short and long term.
- To foster goals set forth in Pennsylvania Act 70 and the Older Americans Act
- To encourage AAAs to identify and maximize resources
- To encourage AAAs to develop new methods of partnering and coordinating services with other providers and stakeholders

Function of the Area Plan for AAAs

- To educate and inform stakeholders – consumers, the general public, service providers, community leaders, local officials, and donors
- To comply with Act 70 and Older American Act requirements
- To ensure that local needs and circumstances are successfully integrated with state and federal goals, initiatives, and regulations
- To provide a management tool that helps decision- makers with budgetary, staffing, and program decisions that reflect AAA priorities
- To provide critical information to PDA about the unique needs and circumstances of each AAA

Function of the Area Plan for PDA

- To provide a better understanding of the goals, achievements, and challenges of each AAA and the network as a whole
- To develop the State Plan as required
- To provide data for the development of new state policies and initiatives

SECTION II. GENERAL REQUIREMENTS

Critical Dates

In order to ensure that the Department can give adequate consideration to the Area Plans for purposes of developing the State Plan, the required submission date for draft Area Plans is May 31, 2012. Final Area Plans are due on July 1, 2012. The effective dates of the Area Plans are from July 1, 2012 to June 30, 2016.

Public Hearings

AAAs must hold at least one public hearing prior to submitting their Area Plan. (See Part B Section 2 Signature Page). AAAs may combine the public hearing required for the Block Grant with Area Plan hearing.

Distribution

The initial draft of the Area Plan is to be submitted electronically to the PDA at e-mail address, RA-StatePlanOnAging@state.pa.us no later than May 31, 2012. Final electronic copies are to be submitted to the same address by July 1, 2012. The Department will review the Plans and negotiate changes as appropriate.

Department Reaction to the Plan

The Department will review and respond individually to each Plan. The Department may require changes prior to approval.

Approval from the Governing Authority

Plans from private AAAs must be signed by the governing board in accordance with their by-laws. Plans from single County AAAs must be signed by a majority of the County Commissioners or the County Executive. Plans from AAA jointers must be signed in accordance with the by-laws of the jointer. Part B of the attached Area Plan format package contains the signature sheet for the Area Plan.

Amendments

If substantial local changes are necessary, the AAA should contact the Department to discuss the need for an amendment in detail.

SECTION III. THE PLAN FORMAT

Although the Plan should convey the AAA's complex challenges, needs and accomplishments, the goal is to communicate with the general public in a way that they can understand. One of the goals of the Plan

should be to make the reader interested in the AAA and what it does, so the Plan needs to be short, engaging and easy to read.

- Write the plan for general audiences – e.g., a Lions Club, a senior center, a local ministerium, township supervisors, a family member.
- Select a small group of representatives from these types of audiences and ask them to individually review your plan for jargon and clarity. Ask some version of the following:

Does it make sense?
Does it flow?
Does it relate to me or someone I care about?
Does it hold my interest?
Does it make me think?
Is it easy to read and understand?

- Use bullets, charts, and simple graphs to highlight key information and break up long text sequences
- Use short sentences and active rather than passive voice

The Plan is broken out in two parts. Part A is the public document described above. Part B contains the signature sheet and other detailed documents necessary for state and federal compliance.

Part A of the Plan should not be more than 20 pages in length.

The Plan Narrative (Part A) consists of:

1. Executive Summary
2. Agency Overview
3. Goals, Objectives and Strategies
4. Outcomes and Performance Measures

1. Executive Summary

The Executive Summary is meant to communicate the entire Plan in brief form. Considering that it may be the only part of the Plan document that some people read, the Executive Summary must capture the essential messages contained in the Plan and be able to stand on its own.

The Executive Summary should summarize the Plan in a brief, concise manner.

2. Agency Overview

Organizational Structure

- Brief description of the AAA's purpose and mission
- Brief description of the AAA's organizational structure

Demographics

The majority of the demographic data will not be a part of the Plan. The demographic data that you choose to include should focus on factors that have a major influence on your service delivery system and priorities – e.g., a sharp increase in the number of non-English speaking older people.

Other related data

- What significant changes have occurred in service utilization?
- What is the status of housing options in the Planning and Service Area (PSA) – subsidized housing, assisted living, accessible units, etc.
- Have property tax or foreclosure issues impacted your consumers?
- What is the status of your waiting list?
- Describe any underutilization of services by specific groups – e.g. rural, minority, Limited English Proficiency (LEP)
- How could these factors influence the AAA in the next four years?

Note: The Department of Aging intends to provide demographic data and other resources to the aging network as agencies develop their Area Plans. Work is underway to make this information available on the Department's web site for easy access by the network. Aging and disability data groups that may be relevant include:

- Population Key Indicators
- Economic Key Indicators
- Health Status Key Indicators
- Health Risk and Behaviors Key Indicators
- Health care and Health Service Delivery Key Indicators
- Community Supports and Services Key Indicators

Local, Political and Economic Conditions

What local, political and economic factors will affect your goals and objectives e.g. county comprehensive plan, major loss of industry, new partnerships with the disability community

Needs Assessment Data

Briefly describe the method used to determine local needs. Summarize your findings.

National Goals and Initiatives

The following requirements for AAAs are taken from Administration on Aging Program Instruction for the Development and Submission of State Plans, AoA PI-11-06, page 7-8:

- AAAs must have specific objectives for providing services to older individuals with greatest economic or social need and older individuals at risk for institutional placement
- AAAs must have specific objectives for providing services to low-income minority individuals, older individuals with Limited English Proficiency, and older individuals residing in rural areas
- AAAs must include proposed methods to achieve the above objectives, including requiring every provider of any service under this title to specify how they will satisfy these objectives

In 2007 the National Association of State Units on Aging (NASUA) developed a draft "National Model for Aging Services Planning" (http://www.nasuad.org/tasc/tasc_index.html). The document provides a good resource and outline for States and AAAs in developing their own Plans. This new Area Plan format draws heavily from the draft NASUA model.

Resource Development

What are untapped or underutilized resources that could be accessed, e.g. partnership with a school of nursing, Pennsylvania Higher Education Assistance Agency (PHEA) internships, local foundation, etc.

3. GOALS , OBJECTIVES, AND STRATEGIES

GOAL - A broad statement describing the desired condition at the end of the planning cycle.

Example: Rural elders will have easy access to all services.

OBJECTIVE - A narrow statement defining a precise, concrete measurable milestone on the path to the goal.

Example: Establish 3 help centers in underserved rural areas by Jan. 2013

STRATEGY – An action step required to achieve the plan objectives and goals, including who is responsible for implementing the strategy and the timeframe for its implementation.

Goals and objectives should be realistic, impactful, and ideally enthusiastically endorsed by those tasked with their fulfillment. Please consider the following suggestions as you develop your goals, objectives, and strategies:

- Goals should address the major issues revealed in the needs assessments, as well as AoA and PDA requirements.
- In order to better use the plan as a management tool and promote active involvement and buy-in by staff, all AAA staff should be included in a needs assessment survey that includes internal agency needs, assets and conditions as well as consumer and external systems needs. Ideally, every staff person should relate to one or more of the goals and objectives and have a part in their success.
- Although time frames, staff responsibility charts, and budgets are important, that level of detail should not be included in the plan. However, thinking through these details and involving staff in the development of these tools before finalizing the plan can help ensure that your goals, needed resources and time frames are realistic.
- Prioritizing goals, such as "must do" and "would like to do" is a way of keeping a comprehensive picture in mind and allowing for the inevitable unexpected challenges.

4. OUTCOMES AND PERFORMANCE MEASURES

OUTCOME - A statement indicating the benefits to consumers and/or the service delivery system that results from the goals, objectives, and strategies identified in the Plan. Examples of outcomes are:

- Residents in three underserved rural areas will have improved access to assistance
- The AAA will be more visible in these communities
- Success with these centers will encourage their development in other underserved areas

PERFORMANCE MEASURES - The Government Accounting Office uses this definition of Performance Measurement: Performance measurement is the ongoing monitoring and reporting of

program accomplishments, particularly progress towards pre-established goals. It is typically conducted by program or agency management.

Performance measures may address the type or level of program activities conducted (process), the direct products and services delivered by a program (outputs), and/or the results of those products and services (outcomes). A "program" may be any activity, project, function, or policy that has an identifiable purpose or set of objectives.

It is important to carefully consider the data, systems development and staff time required to measure success. It is helpful to consult the staff who will be responsible for collecting this data before finalizing performance measures.

Part B of the Area Plan is required for submission to the Department of Aging. It contains the forms and signature sheet necessary for state and local compliance, along with an account of the required Public Hearing(s). These forms are to be attached to Part A, but may be removed if the AAA wishes to use the Plan as a public education document.

The PDA, in partnership with the Department of Public Welfare, Office of Mental Health and Substance Abuse Services (OMHSAS), has been working to support the Area Agencies on Aging (AAA's) and the county mental health agencies to improve collaboration at the local level to better serve older adults with behavioral health needs. We feel that creating partnerships among agencies, both at the state and local levels, will result in better services to older adults, while maximizing available resources. The Memorandum of Understanding (MOU) between agencies is an important component of this partnership. It represents a written, mutual agreement of how cross-systems services are developed and implemented in your area. Through a state-level agreement, PDA and OMHSAS set the requirement that each AAA and county mental health agency develop and maintain a current MOU. **PDA is requiring each AAA to include a copy of their current MOU with the Area Plan.**

Summary

The Area Plan should have two main sections, Part A and Part B.

Part A should contain the following suggested headings:

- Executive Summary
- Agency Overview
- Goals, Objectives and Strategies
- Outcomes and Performance Measures

Part B of the Plan should contain the following sections:

- Section 1 – Signature Page
- Section 2 – Advisory Council Participation
- Section 3 – Assurances
- Section 4 – Summary of Public Hearing(s)
- Section 5 – Memorandum of Understanding between the AAA and the County Mental Health Agency

Draft Area Plans are to be submitted by May 31, 2012. Final Plans are due on July 1, 2012.

AREA PLAN PART B

**Section 1. Signature Page/Standard Assurances Commonwealth of Pennsylvania
Department of Aging**

FY 2012-16 Area Agency on Aging

Four-Year Area Plan on Aging

**Signature Page
Area Agency on Aging Name and Address:**

I/we certify that I/we are authorized to submit this Plan on behalf of the designated Area Agency on Aging and agree to abide by regulations issued by the Pennsylvania Department of Aging, the U.S. Department of Health and Human Services, and the U.S. Department of Labor. I/we further certify that the general public has had the opportunity to review and comment on this Plan through the public hearing process and that written policies, procedures or agreements, as appropriate, have been developed in accordance with Part B, Section 3, and are on file for review and approval, as appropriate, by Department of Aging officials.

I/we assure that services and programs of the Area Agency on Aging will be managed and delivered in accordance with the Plan submitted herewith. Any substantial changes to the Plan will be submitted to the Department of Aging for prior approval.

I/we hereby expressly, as a condition precedent to the receipt of State and Federal funds, assure:

That in compliance with Title VI of the Civil Rights Act of 1964; Section 504 of the Federal Rehabilitation Act of 1973; the Age Discrimination Act of 1975; The Americans With Disabilities Act of 1990; The Pennsylvania Human Relations Act of 1955, as amended; and 16 PA Code, Chapter 49 (Contract Compliance regulations):

1) I/we do not and will not discriminate against any person because of race, color, religious creed, ancestry, national origin, age, sex, or handicap:

- a) In providing services or employment, or in its relationship with other providers;
- b) In providing access to services and employment for handicapped individuals.

2) I/we will comply with all regulations promulgated to enforce the statutory provisions against discrimination.

I/we further hereby agree that all contracts for the provision of services addressed herein will require contractors to comply with these same provisions.

I/we certify that the advisory council of the Area Agency on Aging has participated in the development of this Plan and has reviewed the Plan as herewith submitted.

Signature(s) of Governing Authority
Official(s), e.g., Chairman of County
Commissioners or President, Board of Directors.

	Title	Date
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

(Signature of the Area Agency on Aging Director) (Title) (Date)

Name of Person to Contact Regarding the Contents of This Plan:

_____ (Name) _____ (Area Code and Telephone)

Part B. Section 2

DOCUMENTATION OF PARTICIPATION BY THE AREA
AGENCY ON AGING ADVISORY COUNCIL

PSA NO. _____

NAME OF AAA: _____

PLAN PERIOD FROM _____ TO _____

In accordance with 6 PA Code, Section 35.23, a.(1) and (2) and the Older Americans Act of 1965, as amended, I certify that the Area Agency on Aging Advisory Council has had the opportunity to assist in the development of this Plan. I further certify that the Area Agency on Aging Advisory Council has participated in at least one Public Hearing held on this Plan.

The Area Agency on Aging Advisory Council _____ does _____ does not recommend approval of this Plan.

Signature of the Chief Officer of the Area
Agency on Aging Advisory Council

Typed Name and Title

Date

Part B. Section 3

Listing of Plan Assurances and Required Activities

Older Americans Act, As Amended in 2006

ASSURANCES

The Older Americans Act of 1965, as amended, requires each Area Agency on Aging (AAA) to provide assurances that it will develop a Plan and carry out a program in accordance with the Plan. Each AAA must comply with the following provisions of the Act and written policies, procedures or agreements, as appropriate, must be on file in the AAA office and available for review and approval by Department of Aging officials.

Area Plans

- Assurances that an adequate portion, 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 the following categories of service: access to service -- transportation, health service, outreach, information assistance, and case management; in-home services -- supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunctions; and legal assistance.
- Assurances that the AAAs 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.
- Assurances that the AAAs will a) 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; b) 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 include proposed methods to achieve these specific objectives.
- Assurance that AAAs will include in each agreement made with a provider of any service under this title, a requirement that such provider will: a) specify how they intend to satisfy the service needs of 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, to 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 of such services; and meet specific objectives established by the AAA 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.
- Each AAA shall: identify the number of low-income minority older individuals and older individuals residing in rural areas in the planning and service area; describe the methods used to satisfy the service needs of such minority older individuals, and provide information on the extent to which the AAA met the objectives described in clause (a)(4)(A)(i).
- Assurances that the AAAs will use outreach efforts that will identify individuals eligible for assistance under this Act with special emphasis on: older individuals residing in rural areas; older individuals with the greatest economic need (focus on minority and rural populations); older

individuals with the greatest social need (focus on minority and rural populations); older individuals with severe disabilities; Limited English Proficiency; Older individuals with Alzheimer's disease and related disorders with neurological and organic brain disorders (and their caretakers); older individuals at risk for institutional placement; and assurances that each activity including planning, advocacy, and systems development will focus on the needs of low-income minority older individuals an older individuals living in rural areas.

- Assurances that AAAs 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, and with agencies that develop or provide services for individuals with disabilities.
- Assurances that, in coordination with the State agency and the State agency responsible for mental health services (Department of Public Welfare), increase public awareness of mental health disorders, remove barriers to diagnosis and treatment, and coordinate mental health services provided with funds expended by the AAA with mental health services provided by community health centers and by other public agencies and non-profit private organizations.
- Assurances that the AAAs, 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 carryout out such a program under the title.
- Information and assurances concerning older individuals who are Native American 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 AAA will pursue activities, including outreach, to increase access of those Native Americans to programs and benefits under this title; coordinate the services the AAA provides under this title with services provided under Title VI; and make services under the area plan available to the same extent such services are available to older individuals within the planning and service area, to older Native Americans.
- Assurances that the AAA will maintain the integrity and public purpose of services provided, and require service providers under this title in all contractual and commercial relationships to do the same.
- Assurances that the AAAs will disclose to the PDA each nongovernmental entity with which such agency has a contract or commercial relationship to providing any service to older individuals and the nature of such relationship.
- Assurances that the AAAs will demonstrate that a loss or diminution in the quality or quantity 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.
- Assurances that the AAAs will demonstrate how the quality and quantity 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.
- Assurances that the AAAs will, on the request of the Assistant Secretary or the PDA, for the purposes of monitoring compliance with this Act -- including an audit -- disclose all sources and expenditures of funds the AAA receives or expends to provide services to older individuals.
- Assurances that funds received under this Title will not be used to pay any part of a cost (including administrative cost) incurred by the AAA to carry out a contract or commercial relationship that is not related to this Title.

- Assurances that funds received under this title will be used to provide benefits and services to older individuals, giving priority to older individuals who have low income, Limited English Proficiency, Minority status or reside in rural areas identified in paragraph 4(A)(i) and in compliance with the assurances specified in paragraph 13 and the limitations specified in paragraph 1 and the limitations in section 212.

Part B. Section 4

Narrative Summary of the Proceedings of the AAA Area Plan Public Hearing.

Attach a written narrative (no more than five pages) summarizing the proceedings of the AAA Area Plan Public Hearing.