
	PENNSYLVANIA DEPARTMENT OF AGING	
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AGING PROGRAM DIRECTIVE

SUBJECT: FEDERAL FISCAL YEAR (FFY) 2016-20 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: 

Teresa Osborne
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, 2016. Current Area Plans will expire on June 30, 2016. The next State Plan will cover the four year period from October 1, 2016 through September 30, 2020. Similarly, the Area Agencies on Aging (AAA) Plans will be in effect for the period of October 1, 2016 through September 30, 2020.

PURPOSE:

The State Plan shall combine the priorities of the Pennsylvania Department of Aging (PDA) and the requirement of the Administration on Community Living (ACL) to serve as the guiding document for the provision of services to older Pennsylvanians and persons with disabilities who need access to long-term services and supports. In order for the State Plan to best reflect the needs of older Pennsylvanians and those that support them, the Area Plans shall include information on Older Americans Act services and other aging services identified through the local needs planning process.

SECTION I. OVERVIEW

Area Plan Aging Program Directive Objectives

- To create cohesion between the Department of Aging and the AAAs.
- To help AAAs produce an effective Area Plan.
- 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 innovate in providing services and collaborate 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 budget, 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 better understand the goals, achievements, and challenges of each AAA and the network as a whole.
- To enable the PDA to provide better information and guidance to AAAs.
- To develop the State Plan on Aging.
- 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 provides adequate consideration to the Area Plans for purposes of developing the State Plan on Aging, the required submission date for draft Area Plans is July 1, 2016. Final Area Plans are due on August 1, 2016. The effective dates of the Area Plans are from October 1, 2016 to September 30, 2020.

Public Hearings

AAAs shall hold at least one public hearing prior to submitting their Area Plan. (See Part B Section 2 Signature Page). AAAs may combine the Area Plan hearing with another scheduled hearing, such as their public budget hearings.

Distribution

The initial draft of the Area Plan is to be submitted electronically to the PDA at RA-STPlanReporting@pa.gov no later than July 1, 2016. Final electronic copies are to be submitted to the same address by August 1, 2016.

Department Reaction to the Plan

The Department will collaborate with the AAAs to review each Area Plan individually. Some changes may be necessary before the Plan is considered to be final.

Approval from the Governing Authority

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

Amendments

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

Annual Progress Requirement

With a commitment to enhance communication, foster collaboration and put forth a State Plan that best reflects the needs of older Pennsylvanians, it is vital that the State Plan and all Area Plans be reviewed with regularity. While the State Plan reflects state level planning that is intended to support the delivery of local services and expectations for aging programs throughout the Commonwealth for the next four years, it is recognized that changing dynamics in Pennsylvania's long-term care, services and supports systems are occurring as the 2016-2020 planning process commences. In order to account for and, if warranted, adjust to these changes an Annual Progress Requirement is being added to the State Plan process. PDA will develop and distribute electronically a survey to the Aging Network on a yearly basis, and the information gathered will be reviewed, shared and utilized as testament to our shared commitment to communicate, collaborate and engage in continuous quality improvement activities.

SECTION III. THE PLAN FORMAT

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

Part A shall contain the following suggested headings:

- Executive Summary

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

Part B of the Plan shall contain the following sections:

- Section 1 – Signature Page
- Section 2 – Advisory Council Participation
- Section 3 – Assurances
- Section 4 – Summary of Public Hearing(s)

PART A

1. Executive Summary

The Executive Summary shall summarize the Plan in a concise manner and capture the essential messages contained in the Plan to be able to stand on its own.

2. Agency Overview

Organizational Structure

Provide a brief description of the AAA's organizational structure.

Demographics

The Department of Aging will provide demographic data and other resources to the aging network in advance of the development of their Area Plans. The AAA should focus on factors that have a major influence on its service delivery system and priorities – e.g., a sharp increase in the number of older adults who speak a language other than English.

Data sets that will be provided include:

- Two years of State Program Report data
- Population Key Indicators
- Economic Key Indicators

AAAs shall use this data to project future service utilization and should include this information in their Area Plans.

Other related information:

- What significant changes have occurred in service utilization?
- What is the status of housing options in the Planning and Service Area (subsidized housing, assisted living, accessible units, etc.)?
- What is the status of your waiting list?
- What are the underserved populations in the area? (e.g. rural, minority, Limited English Proficiency).
- What other factors will influence the AAA in the next four years?

Local, Political and Economic Conditions

What local, political and economic factors will affect your goals and objectives?

Needs Assessment Data

AAAs shall perform a local needs assessment. Briefly describe the method used to determine local needs. Summarize your findings.

Resource Development

What untapped or underutilized resources could be accessed?

National Planning Requirements

The following requirements for AAAs are taken from Administration on Aging Program Instruction for the Development and Submission of State Plans, AoA PI-14-01, page 9-12:

- AAAs shall have specific objectives for providing services to older individuals with greatest economic or social need and older individuals at risk for institutional placement
- AAAs shall 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 shall include proposed methods to achieve the objectives, including requiring every provider of any service under this title to specify how they will satisfy these objectives

The National Association of States United for Aging and Disabilities (NASUAD) has developed "[Tools for Planning](#)". This webpage is a good resource for States and AAAs to develop their own Plans.

3. GOALS , OBJECTIVES, AND STRATEGIES

GOAL – The Department of Aging is requesting that all AAAs adopt the four goals established for the State Plan on Aging. These goals were developed to encompass all activities that the aging network performs. The goals are durable and written to last. By adopting the goals, PDA and the AAAs ensure that they are sufficiently aligned in their priorities. The four goals are as follows:

- Promote existing services
- Improve access to services
- Enhance quality of services
- Empower the workforce

OBJECTIVE – Objectives describe the ways that AAAs will accomplish the goals. Objectives are firm, and may be different from the last Plan's objectives, and different from the next Plan's objectives. AAAs should attempt to encompass their initiatives for the next four years while remaining concise. AAAs are encouraged to consider their previous yearly report in drafting objectives.

Example: Empower the workforce by implementing new resources for caregivers.

STRATEGY – Strategies are specific actions taken to accomplish objectives. These are flexible and may change based on developing circumstances, but are intended to provide concrete steps forward.

Example: Implement a new training program that aims to provide unpaid caregivers with necessary skills and information.

4. PERFORMANCE MEASURES

Performance measures enable AAAs and the Department of Aging to evaluate how successful they are in accomplishing their objectives. There are three types of performance measures:

- Process: The type or level of program activities conducted

- Example: A housing program will be created.
- Outputs: The direct products and services delivered by a program
 - Example: The new housing program will connect 5000 individuals with housing.
- Outcomes: The results of those products and services
 - Example: Homelessness will be reduced.

PART B

Part B contains the forms and signature sheet necessary for state and local compliance, along with an account of the required Public Hearing(s).

Draft Area Plans are to be submitted by July 1, 2016. Final Plans are due on August 1, 2016.

AREA PLAN PART B

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

FY 2016-20 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 A, Section 307 of the Older Americans Act, 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) 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. 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 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:
 - 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
 - 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
 - Legal assistance
- Assurances that the AAA will report annually to the Department of Aging in detail the amount of funds expended for each such category during the fiscal year most recently concluded.
- Assurances that the AAA will:
 - 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
 - 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 the objectives
- Assurances that the AAA will include in each agreement made with a provider of any service under this title, a requirement that such provider will:
 - 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
 - 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
 - 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

- 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 area agency on aging met the objectives described in clause (a)(4)(A)(i).
- Assurances that the AAA 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 greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas)
 - Older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas)
 - Older individuals with severe disabilities
 - Older individuals with limited English proficiency
 - Older individuals with Alzheimer's disease and related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals)
 - Older individuals at risk for institutional placement
- Assurances that the AAA 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.
- Assurances that the AAA 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.
- Assurances that the AAA will, 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.
- Assurances that the AAA, 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.
- Information and assurances concerning services to older individuals who are Native Americans (referred to in this paragraph as "older Native Americans"), including:
 - 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
 - Outreach, to increase access of those older Native Americans to programs and benefits provided under this title
 - Assurance that the AAA will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI
 - 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.
- Assurances that the AAA will maintain the integrity and public purpose of services provided, and service providers under this title in all contractual and commercial relationships.

- Assurances that the AAA will disclose to the Assistant Secretary and the State agency 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 the nature of such contract or such relationship.
- Assurances that the AAA 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.
- Assurances that the AAA 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.
- 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.
- 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 AAA to carry out a contract or commercial relationship that is not carried out to implement 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 identified in paragraph (4)(A)(i); and in compliance with the assurances specified in paragraph (13) and the limitations specified in section 212.
- Information detailing how the AAA will coordinate activities and develop long-range emergency preparedness plans with local and State emergency.

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.