




## **AGING PROGRAM DIRECTIVE**

<b>APD/ATAB#:</b> 20-01-04	
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<b>Program Area:</b> AAA Administration	<b>Disposition:</b> Replaces APD # 16-01-05
<b>Origin:</b> Office of the Secretary	<b>Contact:</b> Office of the Secretary (717)772-0193

**Subject** Federal Fiscal Year (FFY) 2020-24 Four Year Area Plan Requirements

**To** Pennsylvania Department of Aging  
Pennsylvania Council on Aging  
Pennsylvania Association of Area Agencies on Aging  
Area Agencies on Aging

**From**   

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Robert Torres  
Secretary

**Purpose** The purpose of this Aging Program Directive is to outline the purpose, content, focus area requirements, and submission deadlines for new Area Plans taking effect concurrent to the State Plan on Aging starting October 1, 2020.

**Background** The current State Plan on Aging and Area Agencies on Aging (AAA) Area Plans will expire on September 30, 2020. The next State Plan and AAA Area Plans will cover the four year period from October 1, 2020 through September 30, 2024

## Directives

### **SECTION I. OVERVIEW**

#### **Area Plan Aging Program Directive Objectives**

- To help align plan goals, strategies and objectives of the Department and the AAAs.
- To help AAAs develop a strategic Area Plan to meet the future needs of their community.
- To foster goals set forth in Pennsylvania Act 70 of 2010 and the OAA.
- To encourage AAAs to identify new funding sources and maximize existing resources.
- To encourage AAAs to be innovative in their business practices.
- To encourage AAAs to pursue new partnerships and collaborate with organizations that can enhance AAA capacity.
- To ensure AAAs develop performance measures that demonstrate accountability for both results and resources.

#### **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 of 2010 and OAA.
- 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.

#### **Function of the Area Plan for PDA**

- To better understand the goals, achievements, unique needs and challenges of each AAA and the network.
- To enable the PDA to provide better information and guidance to AAAs.
- To assist in the development of 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 Area Plans will be submitted to PDA by section, on a tiered schedule as follows:

- March 1, 2020 – Area Plan goals due to PDA.
- April 1, 2020 – Area Plan objectives/strategies due to PDA.

- May 1, 2020 – Area Plan objective measures due to PDA.
- June 1, 2020 – Area Plan AAA agency overview due to PDA.
- July 1, 2020 – Area Plan complete draft including executive summary & appendix documents due to PDA.  
(Feedback on complete plan, if any, will be returned to AAAs no later than July 20, 2020).

### **Public Hearings**

AAAs shall hold at least one public hearing prior to submitting their complete draft Area Plan, due July 1, 2020 (See Part B Section 2 & 4 Signature Page). AAAs may combine the Area Plan hearing with another scheduled hearing, such as their public budget hearings.

### **Distribution**

All required section submissions of the Area Plan must be sent via email to PDA at RA-STPlanReporting@pa.gov by each of the due dates listed in the critical dates section above. Final electronic copies must be submitted to the same email address by August 1, 2020.

### **Department Reaction to the Plan**

The Department will collaborate with the AAAs throughout the review process of each section of individual agency Area Plans. Some changes may be necessary before receiving final PDA approval.

### **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. (See Part B, Section 1 – Signature Page)

### **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. AAAs must ensure the ability to report to PDA on the outcome/performance measures detailed in the Area Plan at least once annually throughout the plan period.

### **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 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 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 available through the secure FTP site include:

- Benchmark Reports (Quarter/Annual)
- Population Key Indicators
- Economic Key Indicators

AAAs should use the data to identify trends and project future demand for services and include this information in their Area Plans.

Other related information:

- What significant changes have occurred in service utilization and demand?
- 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. low-income, low-income minority, rural, limited English proficient, socially isolated).
- 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 potential untapped or underused resources could be leveraged by the AAA to enhance capacity?

### **National Planning Requirements**

The following requirements for AAAs are taken from Administration on Aging Program Instruction for the Development and Submission of State Plans, State Unit on Aging Directors Letter #02-2019, pages 6-9:

- 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 in each agreement how they will satisfy these objectives.

Administration on Aging program instruction also included the following resources for the development of effective plans:

- [ACL National Resource Centers](#)
- [ADvancing States Tools for Planning](#)

## **3. GOALS, OBJECTIVES, AND STRATEGIES**

**GOAL** – The Administration on Aging describes goals as visionary statements that describe the strategic direction in which the state is moving. As is required of the State Plan, Area Plans should have at least one goal for each of the four State Plan Focus Areas identified in the AoA

State Unit on Aging Directors Letter #02-2019, pages 5-6. Area Plan goals are not required to be the same as the State Plan goals, however they should be well-aligned. The State Plan goals are as follows:

- Strengthen aging network's capacity, promote innovation and best practices, and build efficiencies to respond to the growing and diversifying aging population.
- Establish and enhance efforts to support healthy living, active engagement and a sense of community for all older Pennsylvanians.
- Emphasize a citizen-first culture that provides outreach, embraces diversity, and honors individual choice.
- Protect older adults and ensure their safety and dignity by raising awareness of and responding effectively to incidences of abuse, injury, exploitation, violence and neglect.
- Improve services for older adults and the ability to advocate for them by using evidence-informed planning, committing to data integrity and being accountable for results.

**OBJECTIVE** – Objectives are the specific and measurable steps AAAs will take to accomplish the goals. AAAs should attempt to encompass their initiatives for the next four years while remaining concise. It is critical that objectives developed can have an outcome measure identified which effectively demonstrates the results.

**STRATEGY** – Strategies provide more detail on specific actions AAAs will take to achieve goals and objectives.

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

#### **4. OUTCOMES AND PERFORMANCE MEASURES**

Performance measures enable AAAs and the Department of Aging to evaluate and demonstrate how successful they are in accomplishing their objectives. The Governor's Office of Performance Through Excellence defines outcome measures as quantifiable indicators of an organization's overall performance that identify measurable progress toward key goals.

The best performance measures tell a story, usually conveying the following:

- Effort
  - How much service did we deliver?
  - How well did we deliver service?
- Effect
  - How much change for the better did we produce?
  - What quality of change for the better did we produce?

## **PART B**

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)

**All sections of Area Plans must be submitted in accordance with the tiered deadlines on page 2. Complete draft Area Plans must be submitted by July 1, 2020. Final Area Plans are due on August 1, 2020.**

### **Attachments**

Signature Page/Standard Assurances Commonwealth of Pennsylvania - FY 2020-24 Area Agency on Aging - Four-Year Area Plan on Aging

Documentation of participation by the Area Agency on Aging Advisory Council

Listing of Plan Assurances and Required Activities

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

**AREA PLAN PART B**

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

**FY 2020-24 Area Agency on Aging**

**Four-Year Area Plan on Aging**

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

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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 2016**

#### **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 and behavioral 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 State agency 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.
  - 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 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 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.
- Assurance 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, 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 AAA 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 AAA 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 contract or such relationship.
- 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 contract or such relationship.
- 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 preference in receiving services under this title will not be given by the AAA to particular older individuals as a result of 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.

## **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.