

Part I: Guidance

California Department of Aging (CDA)

**One-Time-Only
Three-Year Area Plan on Aging**

July 1, 2009 to June 30, 2012

Introduction

The California Department of Aging (CDA) and the statewide network of 33 Area Agencies on Aging (AAA) share the critical responsibility of addressing present and future aging and long-term care issues within California's growing, diverse, interdependent community. Each must support the other in a broad range of activities directed at overcoming and eliminating barriers to the development of coordinated and accessible home- and community-based systems of services.

At the May 21-22, 2008 California Association of Area Agencies on Aging (C4A) Board meeting, CDA recommended, and C4A accepted, the option of a one-time-only three-year Area Plan cycle concurrent with a four-year State Plan cycle, followed by four-year Area and State Plans. This option will provide CDA and C4A up to two years to collaborate on the revision and update of the Area Plan Guidance. It also allows CDA the opportunity, on an ongoing basis, to extract critical and more concrete data from the Area Plans for the development of the State Plan.

The Area Plan is intended to reflect accurately AAAs future activities by involving and serving older individuals, their families, and caregivers. It provides the format and structure to identify and document needs and address concerns in a manner consistent with the Older Americans Act (OAA) and the Older Californians Act (OCA) to enable communities and AAAs to plan for the future. To this end, AAAs are charged with addressing and planning for a broad spectrum of matters related to older individuals, and adults with disabilities needs in our rapidly changing society.

This document consists of two parts designed to assist AAAs in the development and completion of the 2009-2012 Three-Year Area Plan.

Part I: Guidance – provides the Planner with instructions and references to develop the content required in the Area Plan. The Planner will need to refer to the following federal and state statutes, regulations, and policies to prepare the Area Plan.

These can be accessed at the CDA website link:

http://www.aging.ca.gov/laws_regs_policies/default.asp

- California Welfare and Institutions (W&I) Code, Division 8.5, Chapters 1-12, Sections 9000-9757.5 also known as the Mello-Granlund Older Californians Act (OCA).
- California Code of Regulations (CCR) Title 22, Division 1.8.
- Older Americans Act (OAA) - United States Code (USC), Title 42, Chapter 35, Sections 3002-3058.
- OAA 2006 Reauthorization: Unofficial Compilation.
- Code of Federal Regulations (CFR), Title 45, Volume 4, Chapter XIII, Part 1321, Grants to State and Community Programs on Aging.
- CFR, Title 20, Part 641. The regulations are located within Part IV, Department of Labor – Title V. CDA Standard Agreement, Exhibits A – E.

The following documents can be accessed at the CDA website link:

http://www.aging.ca.gov/aaa/guidance/planning_index.asp

- NAPIS Definitions
- Division 4000 Units of Service Measurements
- Year-End Report
- Needs Assessment (also at http://www.aging.ca.gov/PM/PM_index.asp#2000)

Part II: Area Plan Format & Templates – corresponds to Part I and contains the required format, templates, and documents to be submitted to CDA as the Area Plan. Note: For AAAs that will be using a strategic plan format, the format provided by CDA in this Guidance is not

required. However, the strategic plan **MUST** contain all the elements required by federal and state statute, regulation and policy.

New Planners - a sample of an area plan that contains all the required elements and other useful planning tools can be accessed at the following web address:

http://www.aging.ca.gov/aaa/guidance/planning_index.asp

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SECTION 1 - ASSURANCES

Purpose

Each Assurance listed is a requirement based upon the OAA 2006 Amendments.

References

OAA Sections 305, 306 and 307

Special Instructions

All Assurances must be included in the Area Plan.

SECTION 2 - DESCRIPTION OF THE PLANNING AND SERVICE AREA (PSA)

Purpose

Provide a description of the physical and demographic characteristics, and the unique resources and constraints existing within the PSA.

References

CCR Title 22, Article 3, Section 7302(a)(1)

OAA 2006 306(a)(1)

Special Instructions

The 2006 Older Americans Act Amendments contain significant changes in the scope of the demographic characteristics that need to be included in this section, above and beyond what is required in CCR Title 22. One example would be the need to include persons at risk for institutionalization. These changes are highlighted in the OAA 2006 Amendments: Unofficial Compilation.

SECTION 3 - DESCRIPTION OF THE AREA AGENCY ON AGING (AAA)

Purpose

To inform the public of the role and responsibilities of the AAA and how it plans to:

- Provide leadership.
- Promote the involvement of older individuals and their caregivers. within its community.
- Develop community based systems of services to support the independence and protect the quality of life of older persons.
- Coordinate activities and develop disaster preparedness plans, with local and state emergency response agencies and organizations.

References

CCR Title 22, Article 3, Section 7302(a)(2),

45 CFR 1321.53(b),

OAA 2006 306(a)(17)

CDA Standard Agreement, Exhibit E, Article I, 19.

Special Instructions

The CDA-C4A Disaster Preparedness Workgroup agreed to include the elements required by the OAA 2006 amendments and the CDA Standard Agreement in this section.

SECTION 4 - THE MISSION STATEMENT

Purpose

To state the reasons for the AAA's existence and purpose in the community.

References

CCR Title 22, Article 3, Section 7302(a)(3)
45 CFR Section 1321.53

Special Instructions

At a minimum, this section must include the Core Mission Statement, as referenced above in the CCR Title 22 and included in the template in Section II. In addition to the Core Mission Statement, AAAs are encouraged to add their own mission statement.

SECTION 5 - ORGANIZATION CHART

Purpose

To delineate the current organizational structure and hierarchy of the staff within the AAA.

References

CCR Title 22, Article 3, Section 7302(a)(2)(A)

Special Instructions

If applicable, include a narrative description of the current organizational chart and any proposed changes to the structure. Sample charts are provided in Part II as follows:

Sample County Chart: is for use by AAAs within county or other governmental structures.

Sample AAA Chart: is for use by Private, Non-Profit, and Joint Powers AAAs.

SECTION 6 - THE PLANNING PROCESS – Establishing Priorities

Purpose

To provide an overview of how an AAA conducts its planning process.

References

CCR Title 22, Article 3, Section 7308
OAA 2006 306(a)

Special Instructions

Include programs and services funded by a variety of sources.

At a minimum, this section must include how AAAs:

- Involve the public.
- Involve agencies, governmental entities, and other organizations that serve the target population within the PSA.

SECTION 7 - NEEDS ASSESSMENT

Purpose

To describe:

- The processes and methods used.
- The results of gathering information to identify needs and resources and establish priorities, goals, and objectives.

References

CCR Title 22, Article 2, Section 7300(a) and (b)

OAA 2006 306(a)

W&I Code Division 8.5, Section 9400-9403

Program Memo 00-12

W&I Code Division 8.5, Section 9103.1 specifies the requirements to include Lesbian, Gay, Bisexual, and Transgender (LGBT) seniors in the Needs Assessment.

Special Instructions

Refer to Program Memo 00-12 Needs Assessment for further information. The Program Memo includes the following two attachments:

- Survey of Adult and Aging Populations (Sample Core Questionnaire).
- Needs Assessment for Residents of Long-Term Care Facilities (Suggested Questions).

Program Memo 00-12 can be found on the CDA website through either one of the following links:

http://www.aging.ca.gov/PM/PM_index.asp#2000

http://www.aging.ca.gov/aaa/guidance/planning_index.asp

The OAA 2006 Amendments include several additional categories of population subgroups that need to be included in the needs assessment process above and beyond what is found in CCR Title 22, Article II, Section 7300. One example is Baby Boomers.

Note: the Program Memo 00-12 Needs Assessment does not include these updates or the changes in state law regarding LGBT requirements.

SECTION 8 - TARGETING

Purpose

To describe the methods used by the AAA to meet the needs of the populations the agency is entrusted to serve (including those in long term care facilities).

References

CCR Title 22, Article 3, Section 7310

OAA 2006 102 and 306(a)

Definition of Rural: Per State Program Reports, PM 97-02, rural is defined as follows, "Rural status will be individually determined for each registered client, using the client's zip code matched to Census boundaries." Rural area, as defined by the Census, means any area that is not defined as urban.

Urban area, as defined by the Census, means a central place and adjacent densely settled territory with a combined minimum population of 50,000. Also it is an incorporated place or a census designated place with 20,000 or more inhabitants.

Special Instructions

The OAA 2006 Amendments include several additional requirements related to specific population subgroups that need to be included in this section. One example is the need for AAAs to focus programs and services on specific groups of older people, including those with limited English proficiency. AAAs need to assess those populations identified in both federal and state statutes and regulations to determine their needs, and to focus programs so that they meet the needs within the community.

This section must also address any barriers preventing or hindering services to targeted populations. Examples of barriers may include: limited resources, cultural preferences and perception, geography, transportation, language, location, housing, information, and building accessibility.

Assessing other needs assessments or surveys in the community may assist in targeting all populations, and in outreach efforts.

SECTION 9 - PUBLIC HEARINGS

Purpose

To provide information about the public hearings conducted by the AAA.

References

CCR Title 22 Article 3, Section 7302(a)(10)

CCR Title 22, Article 3, Section 7308

OAA 2006 306(a)

SECTION 10 - IDENTIFICATION OF PRIORITIES

Purpose

To identify priorities for the planning cycle derived from the Needs Assessment, Adequate Proportion/ Minimum Percentage Requirements, targeting and any other concerns outlined by the AAA, and describe how the AAA will plan for increased or decreased resources.

References

CCR Title 22, Article 3, Section 7310(a) and (b) and 7312(a)(1-3)

OAA 2006 306(a)(2)

Program Memo 08-03 Section 5

Special Instructions

Area Plan goals and objectives should relate to the priorities established in this section. Other concerns influencing priorities may include: the amount of available resources, administrative changes, local politics, anticipated changes in services, or the number of persons aged sixty and older.

SECTION 11 - AREA PLAN NARRATIVE GOALS AND OBJECTIVES FORMAT

Purpose

To provide information about AAA services and activities from the analysis of the needs assessment findings, targeting priorities, and the identification of priorities.

References

CCR Title 22, Article 3, Section 7300 (c)(1-7) defines the elements of an objective

W&I Code Division 8.5, Section 9400-9403

45 CFR Part 1321.17(f)(14)(i-iii) for information about Program Development and Coordination objectives

Standard Agreement Exhibit A Article I. Definitions

Special Instructions

Goals are broad concepts and should reflect the AAA mission.

Objectives are specific, measurable statements of action intended to meet the goals of the AAA.

Note: Administrative objectives are not required.

Title III D: AAAs that fund and provide Title III D services, Disease Prevention/Health Promotion and Medication Management, are required to provide written objectives. See Area Plan Guidance Part II Section 11 for instructions.

Title IIIB/VIIA Long-Term Care (LTC) Ombudsman: In addition to the data required for the LTC Ombudsman Outcome Measures, AAAs must provide one or more written LTC Ombudsman-specific objectives for services provided with Title IIIB and Title VIIA Ombudsman funds. See Area Plan Guidance Part II Section 11 for instructions.

Title VIIB Elder Abuse Prevention: AAAs must provide at least one written objective for services provided with Title VIIB Elder Abuse Prevention funds. See Area Plan Guidance Part II Section 11 for instructions.

Program Development or Coordination Objectives (PD) or (C)

The Public Hearings section (section 9) must include a description of how the public and service providers were given an opportunity to comment on the proposed PD or C expenditures.

Note: AAAs are not required to have PD or C objectives.

Program Development (PD) Objectives

PD objectives are to be used only for those objectives that either establish a new service or expand or integrate existing services.

Title IIIB "Other Supportive Services" program funds may be used to develop or expand a program. Title IIIB funds designated for this purpose may be used for administrative activities to enhance any program in the service system.

PD objectives may be used when the AAA does not have sufficient administrative funds to meet all PD needs. The PD objectives may include a variety of action steps to accomplish an activity. Once the new program or service or site has been developed or enhanced, the PD funding will cease and ongoing activities must be funded through the appropriate program budget.

Coordination (C) Objectives

C objectives may be used for activities that involve the active participation of the AAA staff. Such activities may include collaboration with non-OAA funded agencies and organizations to avoid duplication, improve services, resolve problems related to service delivery, and address the service needs of the eligible service population.

When an AAA does not have sufficient administrative funds to meet all C needs, the Title IIIB “Other Supportive Services” program funds may be used for C activities with other community organizations to improve the senior service system.

The act of convening or attending a meeting DOES NOT satisfy the criteria for a C objective. An objective MUST include the intended results or accomplishments of a meeting or a series of meetings.

SECTION 12 - SERVICE UNIT PLAN (SUP) OBJECTIVES GUIDELINES

Purpose

Identify the anticipated programs and units of service to be funded through the AAA.

References

CCR Title 22, 7302(a)(6)

OAA 2006 306(a)

See 2009-12 Area Plan Guidance Part II: Format and Templates, Section 12 for additional instructions.

Special Instructions

Proposed service units by service category must be entered for all SUP objectives at the beginning of each new fiscal year for a minimum of one-year or for multiple years. Data for all prior years of the planning cycle must be retained.

All SUP objectives must tie to a goal. However, a narrative objective is only required for identified programs:

1. Title III D Services provided with III D funds:
 - Disease Prevention/Health Promotion
 - Medication Management
2. Title IIIB Ombudsman
3. Title VIIa Elder Abuse Prevention
4. Program Development and Coordination

SECTION 13 - FOCAL POINTS

Purpose

Provide an updated list of designated community focal points and their addresses.

References

CCR Title 22 Section 7302(a)(14)

42 USC 3002 (25)

45 CFR Section 1321.53(c)

OAA 2006 306(a)

SECTION 14 - PRIORITY SERVICES

Purpose

To provide information about the allocation of federal funds for the provision of:

- Access: Case Management, Assisted Transportation, Transportation, Information and Assistance, and Outreach;
- In-Home Services: Personal Care, Homemaker and Home Health Aides, Chore, In-Home Respite, Daycare as respite services for families, Telephone Reassurance, Visiting, and Minor Home Modification;
- Legal Assistance: Legal Advice, Representation, Assistance to the Ombudsman Program and Involvement in the Private Bar.

References

CCR Title 22, Article 3, Section 7312
OAA 2006 306(a)(2)

SECTION 15 – NOTICE OF INTENT TO PROVIDE DIRECT SERVICES

Purpose

To provide a list of services the AAA is authorized to provide directly.

References

CCR Title 22, Article 3 Section 7320(a) and (b)
OAA 2006 307(a)(8)(A)

SECTION 16 – REQUEST FOR APPROVAL TO PROVIDE DIRECT SERVICES

Purpose

To request authorization to provide direct services not listed in Section 15.

References

CCR Title 22, Article 3 Section 7320(c)
OAA 2006 307(a)(8)(A)

SECTION 17 - GOVERNING BOARD

Purpose

To identify the governing board members authorized to conduct the business of the AAA.

References

CCR Title 22, Article 3 Section 7302(a)(11)
OAA 2006 306(a)

SECTION 18 - ADVISORY COUNCIL

Purpose

To identify the composition and number of representatives to the AAA Advisory Council.

References

CCR Title 22, Article 3, Section 7302(a)(12)
45 CFR Section 1321.57
OAA 306(a)(6)(D)

SECTION 19 - LEGAL ASSISTANCE

Purpose

To provide information concerning the legal services that will be provided.

References

CCR Title 22 Section 7575 and 7577
OAA 2006, Section 306(a)(2)(C) only if services are provided.

SECTION 20 - MULTIPURPOSE SENIOR CENTER ACQUISITION OR CONSTRUCTION COMPLIANCE REVIEW

Purpose

To provide information concerning the acquisition or construction of a senior center.

References

CCR Title 22, Article 3, Section 7302(a)(15)
OAA 2006 307(a) and 311

SECTION 21 - FAMILY CAREGIVER SUPPORT PROGRAM

Purpose

To report if the AAA does not intend to budget IIIIE and/or matching funds in all five federally required service categories in both the family caregiver and grandparent multifaceted systems of support services.

Reference

OAA 2006 373(a) and (b) and 374

Special Instructions

Use the form in Part II, Section 21 if the AAA will not be providing all of the five federally required services to justify how each unfunded category is already being met through other resources and Needs Assessment findings documented in the Area Plan.

AREA PLAN MAINTENANCE, UPDATES, AMENDMENTS, AND TRANSMITTAL LETTERS

Purpose

Area Plan Updates

To provide CDA with up-to-date Area Plan information for state and federal reporting. The updated copy of the Area Plan maintained by the AAA assures that the current version is readily accessible to staff and the public.

Amendments

Submit Amendment(s) to CDA any time a major change occurs that affects its goals and/or objectives. AAAs must submit documentation associated with the major change (i.e., Service Unit Plan, narrative, objectives, etc.).

Transmittal Letters

To assure that the Area Plan has been reviewed and approved by legally authorized individuals over the AAA.

References

CCR Title 22, Article 3, Section 7304 for the original Area Plan and Area Plan Updates

CCR Title 22, Article 3, Sections 7304 and 7306 for Area Plan Amendments

OAA 2006 306(a)

45 CFR 1321.11, 1321.57 and 1321.59

Special Instructions

Page Numbering: For the Area Plan Updates, number the pages for sequential insertion into the original Area Plan.

Transmittal Letter

A Transmittal Letter is required for:

1. The original Area Plan
2. Each annual Area Plan Update
3. Area Plan Amendments

The Transmittal Letter template can be found in Part II: Format and Templates. Original signatures or official signature stamps are required on the Transmittal Letter.

Send the original and two copies with the Transmittal Letter via postal mail to:

California Department of Aging
Attention: Area Plan Team
1300 National Drive, Suite 200
Sacramento, CA 95834

DUE DATES FOR THE AREA PLAN, AREA PLAN UPDATES and YEAR-END REPORT

Period Covered	Date Due to CDA
One-Time-Only Three-Year Area Plan for 2009-2012	May 1, 2009
Area Plan Update for 2010-2011	May 1, 2010
Area Plan Update for 2011-2012	May 1, 2011
Year-End Report For the period July 1 – June 30	November 1 Of every year