

Area Plan Guidance

Part I: Instructions & References

Four-Year Area Plan on Aging

July 1, 2012 to June 30, 2016

California Department of Aging

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Area Plan Overview

Introduction The California Department of Aging (CDA) and the statewide network of 33 Area Agencies on Aging (AAA) share responsibility for planning for California’s present and future aging and long-term care needs. The AAAs’ Area Plans (AP) and the California State Plan on Aging together establish the framework for how the AAAs and the CDA will deliver services to California’s diverse population.

Purpose The AP describes the AAA’s future activities over the coming four years. In it, the AAA describes its efforts to identify the needs of older adults, adults with disabilities, and their caregivers. The AAA then describes its plan for developing coordinated and accessible home- and community-based systems of care to address community needs and develop services for older adults, adults with disabilities, and their caregivers.

Regulation In accordance with the Older Americans Act (OAA) 2006 Sections 306(a) and 307(a)(1) “Area Plans shall be submitted in a uniform format specified by the State Agency.” The forms and templates contained in this Guidance constitute the required Area Plan format.

In the event of an amendment to the OAA during the 2012-2016 Area Plan cycle, CDA will issue a Program Memo (PM) outlining the changes, provide relevant guidance, and any necessary form and template changes pertaining to the Area Plan.

Area Plan Content The AP is comprised of the following components:

- Area Plan Required Components Checklist.
- Transmittal Letter.
- Area Plan Sections 1 – 22, as delineated in Part II.

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Area Plan Guidance

Area Plan Guidance

This Area Plan Guidance 2012-2016 Four-Year Area Plan has two major parts.

Part I: Instructions & References

Part I contains instructions & references for the required content (AP Sections 1-22).

In addition, AAAs must refer to federal and State statutes, regulations, and policies, which can be accessed as follow:

State and federal regulations, statutes, and policies:

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
- California Code of Regulations (CCR) Title 22, Division 1.8
- OAA - United States Code (USC), Title 42, Chapter 35, Sections 3002-3058
- OAA 2006 Reauthorization: Unofficial Compilation
- CDA Standard Agreement, Exhibits A – E

Code of Federal Regulation citations:

<http://rates.psc.gov/fms/dca/orgmenu.html>

- Code of Federal Regulations (CFR) for Non-Profit organizations
- 2 CFR Part 230 (formerly OMB Circular A-122) Cost Principles
- 2 CFR Part 215 (formerly OMB Circular A-110) Uniform Administrative Requirements
- Code of Federal Regulations, for Local Government
 - 2 CFR Part 225 (formerly OMB Circular A-87) Cost Principles
 - 45 CFR Part 92 Uniform Administrative Requirements

Definitions, service categories, and specifications:

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

- CDA Service Categories and Data Dictionary
- California Aging Reporting System (CARS) Specifications
- National Aging Program Information Systems (NAPIS) Definitions

Needs assessment tools:

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

Sample Area Plan, containing all the required elements and planning tools:

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

Part II: Format & Templates

Part II contains the required forms and templates.

Section 1 Instructions: Mission Statement

Purpose The mission statement describes the purpose of the AAA. It guides the actions of the organization, specifies its overall goal, provides a sense of direction, and guides decision-making. It also provides the framework or context within which the AAA formulates its strategies.

Instructions The mission statement, at a minimum, shall include the following statement:

“To provide leadership in addressing issues that relate to older Californians; to develop community-based systems of care that provide services which support independence within California’s interdependent society, and which protect the quality of life of older persons and persons with functional impairments; and to promote citizen involvement in the planning and delivery of services.”

In addition to the above statement, the AAA is encouraged to include its own mission statement.

Required Format The title of this section must be **Section 1. Mission Statement**. This narrative section of the Area Plan does not require a specific format.

References

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

Section 2 Instructions: Description of the Planning and Service Area (PSA)

Purpose This section provides a description of the physical and demographic characteristics and unique resources and constraints of the PSA.

Instructions This section includes, but is not limited to, a description of the PSA's:

- Physical and demographic characteristics.
- Unique resources and constraints.
- Service system, including challenges and successes in local system development.

Required Format The title of this section must be **Section 2. Description of the Planning and Service Area (PSA)**. This narrative section of the Area Plan does not require a specific format.

Section 3 Instructions: Description of the Area Agency on Aging (AAA)

Purpose This section describes how the AAA, on behalf of all older individuals, adults with disabilities, and their caregivers in the PSA, carries out its role as leader on aging issues.

Instructions This section must describe how the AAA plans to:

- Provide leadership.
- Promote the involvement of older individuals, adults with disabilities, and their caregivers in developing community-based systems of care.
- Develop community-based systems of services to support the independence and protect the quality of life of older individuals, adults with disabilities, and their caregivers.
- Develop the service delivery system goals for:
 - The AAA service delivery system.
 - Other service delivery systems that the AAA interacts with.
 - Any other service delivery systems providing services to older individuals, adults with disabilities, and their caregivers within the PSA.

Required Format The title of this section must be **Section 3. Description of the Area Agency on Aging (AAA)**. This narrative section of the Area Plan does not require a specific format.

References

- CCR Title 22, Article 3, Section 7302(a)(1)(D) and 7302(a)(2)(A-D)
- 45 CFR 1321.53(b)

Section 4 Instructions: Planning Process/Establishing Priorities

Purpose This section provides an overview of how the AAA conducts the planning process, establishes priorities, and provides opportunities for public involvement in the planning process.

Instructions At a minimum, this section must include:

- A discussion of the steps involved in the planning process.
- A description of how the AAA included the following in the planning process:
 - The public.
 - Public agencies.
 - Government entities.
 - Other organizations that serve targeted populations.

Required Format The title of this section must be **Section 4. Planning Process/Establishing Priorities**. This narrative section of the Area Plan does not require a specific format.

References

- CCR Title 22, Article 3, Section 7300(c) and 7308
- OAA 2006 306(a)

Section 5 Instructions: Needs Assessment

Purpose

This section describes:

- The processes and methods used by the AAA to conduct the needs assessment of older adults, adults with disabilities, and their caregivers.
 - The inclusion of Lesbian, Gay, Bisexual, and Transgender (LGBT) elders as a vulnerable population.
 - The results, including how this information affects the AAA's priorities, goals, and objectives.
-

Instructions

Before developing the Area Plan, each AAA shall conduct a PSA needs assessment to:

- Identify target populations.
 - Identify the types and extent of existing and potential needs of older adults, adults with disabilities, and their caregivers in the PSA.
 - Identify the services or resources existing within the PSA that are available for addressing the identified needs.
 - Identify the existing constraints on addressing needs.
 - Estimate unmet needs, under-utilized services, and barriers preventing access to available services.
 - Determine the adequate proportion or minimum percentage of Title III B funds to be expended for Access, In-Home, and Legal services.
-

Additional Resources

PMs 00-12 and 08-07 are two resources that include a sample survey and a sample needs assessment. They can be found at:

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

The OAA 2006 describes several population subgroups whose needs must be assessed (i.e., low income, limited English speaking, and rural residence).

The California W&I Code describes the AAA's responsibility to assess the needs of LGBT older adults.

Additional references for conducting a needs assessment of the LGBT population include:

http://www.aging.ca.gov/links/related_links.asp

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

Required Format

The title of this section must be **Section 5. Needs Assessment**. This narrative section of the Area Plan does not require a specific format.

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Section 5 Instructions: Needs Assessment, *continued*

References

- CCR Title 22, Article 2, Section 7300(a) and (b)
 - OAA 2006 306(a)
 - W&I Code Division 8.5, Section 9400-9403
 - PMs 00-12 and 08-07
 - W&I Code Division 8.5, Section 9103.1
-

Section 6 Instructions: Targeting

Purpose This section describes how the AAA's policies meet the needs of targeted populations as established in the OAA and the Older Californians Act (OCA).

Instructions This section shall include the following:

- A review of the targeting priorities established in the OAA.
- A brief description of target populations within the PSA, their characteristics, locations, needs, and the methods used to identify them.
- A list of the AAA's targeted priorities as outlined in the CCR.
- A description how the needs of targeted populations will be addressed.
- A description of the barriers to accessing existing services targeted groups encounter.

The 2006 OAA requirements identify specific population subgroups the AAA must include in its targeting efforts. Accessing other local needs assessments or surveys may assist in reaching targeted populations.

For the purposes of defining urban and rural areas in the Area Plan, the AAA should use the following definitions:

- An urban area is a central place and its adjacent densely settled territories with a combined minimum population of 50,000 or an incorporated or census-designated place of 20,000 or more inhabitants.
 - A rural area is any area not defined as urban.
-

Required Format The title of this section must be **Section 6. Targeting**. This narrative section of the Area Plan does not require a specific format.

References

- CCR Title 22, Article 3, Section 7310
- OAA 2006 102 and 306(a)
- U.S. Census 2000

Section 7 Instructions: Public Hearings

Purpose

This section documents the AAA's public hearings, which provided older adults, adults with disabilities, and their caregivers the opportunity to comment on the development and content of the Area Plan.

Instructions

The purpose of the public hearing is to solicit comments from the community on the Area Plan and present the AAA's methods for developing the Area Plan. The AAA must conduct at least one public hearing during each year of the four-year planning cycle.

For the Area Plan, the public hearing section must describe:

- Outreach efforts used to seek input from institutionalized adults, homebound adults, and adults with disabilities.
 - Comments received at the public hearings.
 - Proposed Program Development and/or Coordination expenditures.
-

Required Format

Complete the form in Part II: Format & Templates, **Section 7. Public Hearings.**

References

- CCR Title 22 Article 3, Section 7302(a)(10)
 - CCR Title 22, Article 3, Section 7308
 - OAA 2006 306(a)
-

Section 8 Instructions: Identification of Priorities

Purpose This section describes how the AAA establishes priorities for the planning cycle, the factors influencing the AAA's priorities, and the AAA's plans for managing increased or decreased resources.

Instructions This section must include, but is not limited to, a discussion of:

- The planning cycle priorities derived from the needs assessment.
- How the AAA will meet targeting mandates.
- The factors influencing prioritization.
- The AAA's process to determine Title III B funds "adequate proportion."

Area Plan goals and objectives must relate to the priorities established in this section. Other factors influencing priorities may include:

- Available resources.
 - Administrative changes.
 - Anticipated changes in services.
 - Changes in the number of persons aged sixty and older.
-

Required Format The title of this section must be **Section 8. Identification of Priorities**. This narrative section of the Area Plan does not require a specific format.

References

- CCR Title 22, Article 3, Section 7310(a) and (b) and 7312(a)(1-3)
- OAA 2006 306(a)(2)
- PM 08-03 Section 5

Section 9 Instructions: Area Plan Narrative Goals and Objectives

Purpose This section provides information about AAA services and activities developed from the needs assessment findings and identification of priorities.

Instructions The AAA shall develop goals and objectives from the needs assessment and identification of priorities. Goals are broad concepts that reflect the AAA's mission. Objectives are specific, measurable statements of action intended to meet the AAA's goals.

Program Instructions List goals and objectives in the format provided in Part II: Format & Templates, Section 9.

AAAs must submit written objectives as follow:

- Title III D: AAAs that fund and provide Title III D services, require written objectives.
- Title III B/VII A 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 objective(s) for services provided with Title III B and Title VII A Ombudsman funds.
- Title VII B Elder Abuse Prevention: AAAs must provide at least one written objective for services provided with Title VII B Elder Abuse Prevention funds.

Administrative Instructions Administrative objectives are not required unless the AAA plans to use Title III B program funds for Program Development (PD) or Coordination (C) activities. Refer to the PD and C instructions below.

- AAAs are not required to have PD or C objectives.
- AAAs may use Title III B "Other Supportive Services" program funds to develop or expand a program. Use Title III B funds for administrative activities enhancing any program in the service system.
- PD objectives describe a new service, expand existing services, or integrate an existing service. Use PD objectives if the AAA does not have sufficient administrative funds to meet all PD needs. PD Objectives may include a variety of action steps to accomplish an activity. Once the new program, service, or site is developed or enhanced, PD funding ceases and ongoing activities are funded in the appropriate program budget

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Section 9 Instructions: Area Plan Narrative Goals and Objectives, *continued*

Administrative Instructions, *continued*

- AAAs may use C objectives for activities involving the active participation of AAA staff. Such activities may include collaboration with non-OAA funded agencies and organizations to avoid duplication, improve services, resolve service delivery problems, and address the service needs of the eligible service population.
- AAAs may use Title III B “Other Supportive Services” program funds for C activities if the AAA does not have sufficient administrative funds to meet all C needs.

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

Required Format

Complete the form in Part II: Format & Templates, **Section 9. Area Plan Narrative Goals and Objectives.**

References

- CCR Title 22, Article 3, Section 7300 (c)(1-7)
 - W&I Code Division 8.5, Section 9400-9403
 - 45 CFR Part 1321.17(f)(14)(i-iii)
 - CDA Standard Agreement, Exhibit A, Article I, Definitions
-

Section 10 Instructions: Service Unit Plan (SUP) Objectives Guidelines

Purpose	Use this section to identify the number of service units for each AAA-funded program.
Instructions	<p>This section must be completed by:</p> <ul style="list-style-type: none">• Using the forms and individual program requirements provided in Part II: Format & Templates.• Determining and allocating program units of service by the NAPIS categories.• Using the CDA Service Categories and Data Dictionary to define Title III and Title VII allowable service categories and unit measures not defined in NAPIS.• Ensuring Program and Service Unit descriptions coincide with NAPIS and the CDA Service Category and Data Dictionary.• Checking the “not applicable” box for each category or service not funded by the AAA.• Ensuring each SUP has funding in the budget that matches the program and service category.
Required Format	<p>Complete the forms in Part II: Format & Templates, Section 10. Service Unit Plan (SUP) Objectives Guidelines for each of the following programs:</p> <ul style="list-style-type: none">• Title III/VII SUP Objectives.• Title III B and Title VII A: Long-Term Care (LTC) Ombudsman Program Outcomes.• Title VII B Elder Abuse Prevention SUP Objectives.• Title III E SUP Objectives.• Senior Community Service Employment Program (SCSEP), if applicable.• Health Insurance Counseling and Advocacy Program (HICAP) SUP.
References	<ul style="list-style-type: none">• CCR Title 22, 7302(a)(6)• OAA 2006 306(a)• PM 11-12

Section 11 Instructions: Focal Points

Purpose

Use this section to list the AAA's designated community focal points and addresses.

Instructions

The AAA must:

- List current focal points and addresses on the form provided in Part II: Format & Templates.
 - Ensure the focal points listed in the Area Plan match the total number of focal points reported in the NAPIS State Program Report (SPR).
-

Required Format

Complete the form in Part II: Format & Templates, **Section 11. Focal Points.**

References

- CCR Title 22 Section 7302(a)(14)
 - 42 USC 3002(27) and 3026(a)(3)(A)
 - 45 CFR Section 1321.53(c)
 - OAA 2006 306(a)
-

Section 12 Instructions: Disaster Preparedness

Purpose This section describes how the AAA coordinates its long-term disaster plans and activities with each local office of emergency services within the PSA.

Instructions CDA encourages use of the revised Disaster Assistance Handbook for AAAs as a guide when developing a disaster preparedness plan.

Submit disaster preparedness coordination plan and contact information using the form provided in Part II: Format & Templates.

Required Format Complete the form in Part II: Format & Templates, **Section 12. Disaster Preparedness.**

References

- CCR Title 22, Sections 7529(a)(4) and 7547
- W&I Code Division 8.5, Sections 9625 and 9716
- CDA Standard Agreement, Exhibit E, Article 1, 22-25
- Program Memo 10-29(P) Disaster Assistance Handbook for Area Agencies on Aging 2010
- OAA 2006 306(a)(17)

Section 13 Instructions: Priority Services

Purpose This section provides information on how the AAA allocates federal funds in the PSA for Access, In-Home, and Legal Assistance services.

Instructions The AAA determines the annual minimum allocation for priority services through its planning process.

The AAA must report priority services to CDA on the required form in Part II: Format & Templates. The AAA must allocate an adequate proportion of federal funds to provide Access, In-Home, and Legal Assistance services as defined below:

- Access: Transportation, Assisted Transportation, Case Management, Information and Assistance, Outreach, Comprehensive Assessment, Health, Mental Health, and Public Information.
- In-Home Services: Personal Care, Homemaker, Chore, Adult Day / Health Care, Alzheimer's, Residential Repairs/Modifications, Respite Care, Telephone Reassurance, and Visiting.
- Legal Assistance: Legal Advice, Representation, Assistance to the Ombudsman Program and Involvement in the Private Bar.

Required Format Complete the form in Part II: Format and Templates, **Section 13. Priority Services**.

References

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

Section 14 Instructions: Notice of Intent to Provide Direct Services

Purpose

This section describes the AAA's intent to provide direct services and the methods the AAA will use to reach target populations.

Instructions

This section must include:

- A check in the box titled "Check if not providing any of the below listed direct services," if the AAA will not be providing any of the listed services as direct services.
 - A check in the box next to each program and service category(s) the AAA plans to provide as a direct service.
 - A check in the applicable boxes under each FY for each program and service category(s) the AAA will provide as a direct service.
 - A narrative description of the methods the AAA will use to serve target populations throughout the PSA.
-

Required Format

Complete the form in Part II: Format and Templates, **Section 14. Notice of Intent to Provide Direct Services.**

References

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

Section 15 Instructions: Request for Approval to Provide Direct Services

Purpose The AAA uses this section to request CDA’s authorization to provide direct services for any programs and services not already included in Section 14. Notice of Intent to Provide Direct Services.

Instructions This section must include:

- The AAA’s request to provide direct services in the required form provided in Part II: Format and Templates. A separate form for each direct service must be submitted to CDA.
- A narrative description of the AAA’s plan to deliver services to target populations.
- A cost-benefit analysis to substantiate the benefit of providing each direct service.
- A check in the box titled “Check box if not requesting approval to provide any direct services,” if the AAA is not requesting approval to provide direct services.

Required Format Complete the form in Part II: Format and Templates, **Section 15. Request for Approval to Provide Direct Services.**

References

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

Section 16 Instructions: Governing Board

Purpose

This section identifies the AAA's Governing Board members.

Instructions

Include the name, title, and term of office for each Governing Board member on the form provided in Part II: Format & Templates.

**Required
Format**

Complete the form in Part II: Format and Templates, **Section 16. Governing Board.**

References

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

Section 17 Instructions: Advisory Council

Purpose

This section identifies the AAA's Advisory Council members.

Instructions

Include the name, title, term of office, and demographic information for each Advisory Council member on the form provided in Part II: Format and Templates.

Required Format

Complete the form in Part II: Format and Templates, **Section 17. Advisory Council.**

References

- CCR Title 22, Article 3, Section 7302(a)(12)
 - 45 CFR Section 1321.57
 - OAA 2006 306(a)(6)(D)
-

Section 18 Instructions: Legal Assistance

Purpose This section provides information about legal services and describes how the AAA provides legal services within the PSA.

Instructions Use the form provided in Part II: Format and Templates to:

- Describe the purpose of legal services.
- Identify Title III B funding allocated to legal services.
- Describe changes in legal service needs throughout the PSA.
- Describe the targeted population(s) for legal services and methods for reaching targeted population(s).
- Identify the number of legal service providers and the availability of a hotline.

Required Format Complete the form in Part II: Format & Templates, **Section 18. Legal Assistance**.

References

- CCR Title 22 Section 7575, 7577 and 7579
- 45 CFR Section 1321.71
- OAA 2006 Section 306(a)(2)(C), only if services are provided

Section 19 Instructions: Multipurpose Senior Center Acquisition or Construction Compliance Review

Purpose

This section describes the AAA's plans to acquire or construct a multipurpose senior center.

Instructions

The AAA must provide detailed information regarding the acquisition or construction of a multipurpose senior center on the form provided in Part II: Format & Templates.

Required Format

Complete the form in Part II: Format & Templates, **Section 19. Multipurpose Senior Center Acquisition or Construction Compliance Review.**

References

- CCR Title 22, Article 3, Section 7302(a)(15)
 - 42 USC 3027(a)(14) and 3030b
 - OAA 2006 306(a)
-

Section 20 Instructions: Family Caregiver Support Program

Purpose This section describes the AAA's intent to provide Title III E services in all five federally mandated service categories for family caregivers and grandparent/older relative caregivers.

Instructions Complete the Notice of Intent for Non-Provision of FCSP Multifaceted-Systems of Support Services form by checking:

- "Yes or No" for each service that will be provided for the upcoming year.
- "Yes" to indicate how (direct/contract) the AAA intends to provide the service.
- "No" if the AAA will not provide the service. The AAA must explain how these service needs will be met within the PSA in the "Justification" section.

Required Format Complete the form in Part II: Format & Templates, **Section 20. Family Caregiver Support Program.**

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

Section 21 Instructions: Organization Chart

Purpose

This section provides information on the AAA's organizational and staff placement.

Instructions

The AAA must submit its most current organization chart with a narrative description and any proposed changes to the structure.

CDA provides two sample organization charts in Part II: Section 21:

- One sample organization chart for AAAs located within a county or other governmental structure.
 - One sample organization chart for AAAs private, non-profit, and joint powers.
-

Required Format

The title of this section must be **Section 21. Organization Chart**. This section of the Area Plan does not require a specific format.

References

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

Section 22 Instructions: Assurances

Purpose	This section documents the OAA 2006 Assurances. By signing the Transmittal Letter, the AAA, Governing Board, and Advisory Council acknowledge their understanding of the OAA Assurances and agree to comply with these Assurances.
Instructions	Read, understand, and use the Assurances when developing the four-year Area Plan and include the OAA assurances in the Area Plan.
Required Format	The fully executed transmittal letter serves as an agreement by the AAA, Governing Board, and Advisory Council with CDA to comply with the assurances set forth in the Area Plan.
References	<ul style="list-style-type: none">• OAA Sections 305, 306 and 307• CFR Section 1321

Additional Instructions: Due Dates, Submission, Updates, and Amendments

Submitting your Area Plan

The Area Plan must include a fully executed Transmittal Letter. The template is in Part II: Format and Templates. Original signatures or official signature stamps are required on the Transmittal Letter.

- A Transmittal Letter is required for:
 - The Four-Year Area Plan
 - Annual Area Plan Update
 - Area Plan Amendments

 - The AAA may submit its Area Plan either:
 - electronically to: areaplan@aging.ca.gov

 - or via USPS to: California Department of Aging
1300 National Drive, Suite 200
Sacramento, California 95834
Attn: Planning Team
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Area Plan Updates

Annual AP Updates convey to CDA all changes and updates from the initial AP. Submit AP updates to CDA in the same manner as the AP.

Due Dates

Period Covered	Date Due to CDA
2012-2016 Four-Year Area Plan	May 1, 2012
2013-2014 Area Plan Update	May 1, 2013
2014-2015 Area Plan Update	May 1 2014
2015-2016 Area Plan Update	May 1, 2015

Area Plan Amendments

The AAA must submit an AP Amendment to CDA any time a major change occurs that affects the AAA's goals and/or objectives. Submit AP Amendments to CDA in the same manner as the AP.

References

- CCR Title 22, Article 3, Section 7304 for the original AP and AP Updates
 - CCR Title 22, Article 3, Sections 7304 and 7306 for AP Amendments
 - OAA 2006 306(a)
 - 45 CFR 1321.11, 1321.57 and 1321.59
-