IOWA DEPARTMENT ON AGING

Jessie Parker Building
510 E. 12th Street, Ste. 2
Des Moines, IA 50319-9025
(515) 725-3333
(800) 532-3213
www.iowaaging.gov

SFY 2021 Update to Area Plan on Aging SFY 2018-2021 Instructions

Area Agencies on Aging (AAAs) must submit their SFY 2021 Update to their approved SFY 2018- 2021 Area Plan on Aging per these instructions. AAAs should craft their plan update with their large stakeholder audience in mind.

Each agency must submit a one-year budget. Instructions for submitting the area plan budget are detailed in the *SFY 2021 Area Plan Budget Report Instructions*, which will be issued separately.

The SFY 2021 Update to the SFY 2018-2021 Area Plan on Aging and the SFY 2021 Area Plan Budget Report are due on April 1, 2020.

Contents

Area Plan on Aging Update Submission and Review Schedule ***3***

Update Overview ***4***

Completing the Area Plan Template ***5***

Table of Contents **5**

Update Summary **5**

Section 1: Update on Strategies to Achieve 2018-2021 Goals **6**

Prioritized Service Gaps 6

Strategies to Address Service Gaps 6

Section 2: Performance and Service Projections **9**

Performance Measures & Fiscal Year Target 9

SFY 2021 Projected Older Americans Act Consumers and Service Units 9

Self-Direction Service Delivery 10

Caregiver Respite Voucher Service Delivery 11

Service Coverage 12

Area Plan Service Waiting List 12

Section 3: Quality Management **13**

Section 4: Public Input **13**

Governing Board, Advisory Council, and LifeLong Links Advisory Council 13

Public Hearing 13

Attachments **14**

Staffing and Volunteer Information **14**

Authorized Signatures **14**

Grievance Procedures **14**

Nutrition Services, Service Providers, and Senior Center/ Focal Points **14**

Nutrition Services 14

Service Providers of OAA Services 14

Senior Centers and Focal Points 15

Emergency Plan Summary **15**

Direct Service Waiver Requests **15**

Verification of Agency Intent and Compliance ***16***

Submission Instructions ***16***

Questions and Requests for Technical Assistance ***16***

Area Plan on Aging Update Submission and Review Schedule

Activity		Who	2019			2020						
			Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
1	IDA issues invitation to Area Plan Updates Webinar	Pam	22									
2	IDA issues instructions for the SFY 2021 Update to the SFY 2018-2021 Area Plan on Aging.	Pam		15								
3	IDA hosts SFY 2021 Area Plan Update Webinar	Pam		18								
4	Onsite AAA Visits: Technical assistance provided, *questions may be submitted anytime.*	Pam Zach			Week of 9th							
5	AAA submit SFY 2021 Area Plan Update Draft (All submit draft).	AAA					3					
6	AAA notifies IDA of any Amendments to their approved area plan.	AAA					3					
7	Feedback/check-in provided to AAAs.	Pam						Week of 16th				
8	AAA submits the SFY 2021 Update to the SFY 2018-2021 Area Plan on Aging.	AAA							1			
9	IDA provides feedback on SFY 2021 Update to AAA, as necessary.	Pam							30			
10	AAA provides clarifications / additional information, if requested by IDA.	AAA								14		
11	AAA Executive Director presents on agency's SFY 2021 Update to State Commission on Aging	AAA									TBD	
12	AAA implements SFY 2021 Update to the SFY 2018-2021 Area Plan & Reporting Manual	AAA										1

Update Overview

The instructions for the SFY 2021 Update to the SFY 2018-2021 Area Plan on Aging assume that all AAAs are updating their approved area plan - not amending them. As of the issuance date of these instructions, IDA is not aware of a condition requiring an area plan amendment. Each AAA, however, should review the conditions requiring an amendment and determine whether they have planned activities or changes that would warrant an amendment to their approved SFY 2018-2021 Area Plan on Aging.

Per IAC 17- 6.2(6)a, the AAA shall amend the area plan and submit it to the commission for approval when:

(1) A new or amended state or federal statute, rule or regulation requires new information or conflicts with any existing plan provisions;
(2) A United States Supreme Court decision changes the interpretation of a statute or rule;
(3) Local law, organization, policy or agency operations change and are no longer accurately reflected in the area plan;
(4) The department requires amendments;
(5) The grantee proposes to change the designation of the single organizational unit or component unit responsible for programs under the federal Act or state law; or
(6) The area agency proposes to add or delete a service category.

Completing the Area Plan Template

Complete the SFY 2021 Update for SFY 2018-2021 Area Plan on Aging Template.docx to provide the required plan update information. The document has not been protected. Replace text included in **[brackets]** with your plan information. All other text must remain in the document.

Do not change the margins or font size. You may alter the document to ensure readability, such as adding white space, inserting page or line breaks, using bulleted or numbered lists, etc.
Please carefully proofread and edit the document before final submission.

Table of Contents

Instructions: Once you have completed your plan, the last step is to update your table of contents. To update the table of contents, right-click the cursor in the table. Choose Update Field and then choose Update Entire Table.

Tip: If you see a "Bookmark Not Defined" message instead of a page number, then you have inadvertently removed the heading style from the text. To resolve, go to the text and select it. Then, choose the appropriate Heading style (Heading 1, Heading, 2 or Heading 3).

Update Summary

Instructions: The Update Summary should provide an overview of accomplishments, initiatives, or changes that have occurred at the agency since the submission and approval of its SFY 2020 Update to the 2018 - 2021 Area Plan on Aging. The Update Summary should also preview activities, initiatives, or events planned for SFY 2021.

- Progress to Date:
  - Changes related to service delivery, staffing, and/or priorities that impact the implementation of the area plan (if any).
  - Accomplishments/Results to Date.
  - New, Unexpected Challenges.
  - Rationale for modifications to service gaps (if any).
- Planned for SFY 2021:
  - Briefly describe major initiatives, activities, or events planned for SFY 2021 to address identified service gap.

Agencies may include any information pertinent to educate stakeholders on activities or issues impacting service delivery, the plan, agency, or PSA customers. Limit your update summary to two (2) pages.

Section 1: Update on Strategies to Achieve 2018-2021 Goals

Instructions: For each goal, provide information on prioritized service gaps as instructed below.

Prioritized Service Gaps

Instructions: Copy and insert the summary of activities completed to identify and prioritize service gaps from your agency's approved plan. If new assessment activities have occurred that resulted in changes to prioritized service gaps, describe those activities here and why the new service gap was deemed to be a higher priority than the previously identified service gap.
Agency may add service gaps or replace service gaps; however, agency must explain how the decision was made to add or replace and why.

Important! Changing several of the prioritized service gaps in the approved plan may warrant a plan amendment. Consult with IDA staff if significant changes to the approved plan will occur.

Strategies to Address Service Gaps

Instructions: Agency must provide information for **all** service gaps in the approved area plan.

Service Gap: Is agency retaining service gap?

a. If yes, copy and insert the service gap from your approved plan.
b. If no, then insert new service gap.
    i. Be sure that you have indicated in the *Prioritized Service Gaps* section why you changed your service gap(s).

Indicators to gauge progress in addressing service gap: List indicators agency is using to evaluate progress on addressing the identified service gap. Indicators may be a combination of qualitative and quantitative items.

Strategies to Address Service Gap: In the table provided, copy and insert each strategy from your approved plan into each row under the Current Strategies column. Agency may choose to add, revise, or remove strategies. If you are changing a strategy, discuss the strategy change in the *Strategy Activities to Date* section. Insert "**Yes**" or "**No**" to indicate whether the strategy is a revised or new strategy. Insert the status of the strategy: **Not Started, In Progress, Stalled,** or **Completed**.

Current Strategies	Revised or New Strategy?	Status
(Strategy 1)	(Yes or No)	(Not Started, In Progress, Stalled, Completed or Revised)
(Strategy 2)	(Yes or No)	(Not Started, In Progress, Stalled, Completed or Revised)
(Etc.)	(Yes or No)	(Not Started, In Progress, Stalled, Completed or Revised)

Strategy Activities to Date: Use this section to provide an update on activities being undertaken to implement strategies.

For strategies in progress or completed, agency should summarize activities that have occurred or will occur the current fiscal year (SFY 2020). For strategies not started or stalled, agency should address causes.

Be clear and specific enough in your update for a general audience to evaluate whether agency is pursuing the strategies effectively. The update should incorporate the indicators agency is using to evaluate progress. Agency may include highlights and *unexpected* challenges.

Length of response will be dictated by agency's activities to date. Information here will be used to evaluate agency progress on area plan activities and on addressing identified service gaps.

Strategy Activities Planned for SFY 2021. List the strategy activities agency plans to pursue in SFY 2021.

Be clear and specific enough for a general audience to evaluate whether agency is pursuing the strategies effectively.

Information here will be used to evaluate agency's plan to implement area plan strategies and address identified service gaps.

EXAMPLE

SERVICE GAP #1: EAPA services are not currently reaching older Iowans experiencing or at risk for experiencing abuse at the desired level.

Indicators to gauge progress in addressing service gap

Agency is reviewing these indicators to determine whether progress is being made in addressing the service gap:

* Number of EAPA consumers served by service
* EAPA referrals by county
* EAPA consumers by county
* EAPA consumer cases open/closed
* Partnerships Established

Strategies to Address Service Gap

Current Strategies	Revised or New Strategy?	Status
Target older Iowans and community leaders of eight (8) counties where there was a very low referral count.	No	In Progress
Offer one (1) Mandatory Dependent Adult Reporter workshop in each county.	No	Stalled

Update on Strategy Activities to Date

Agency is currently doing these activities in support of these strategies. We have begun to see these results (e.g. more referrals from targeted counties) coming out of these activities. We have also progressed by doing these things. We have also experienced these other successes.

Activities on these strategies have not yet started because of these reasons. These strategies are stalled because of these reasons. Here are some things that came up that we did not expect.

Agency determined that initial strategy would not address the service gap because of these initial results (e.g. partnerships changed).

Instead, we will be pursing this strategy. Here's why we believe this new strategy will address the service gap.

Strategy Activities Planned for SFY 2021

Agency plans to implement these activities in SFY 2021. This activity will involve these groups or these events. That activity will result in contact with this type of consumer. We expect these activities will result in this change.

We plan to continue work on these activities by doing these things. We expect to accomplish these results by the end of SFY 2021.

Section 2: Performance and Service Projections

Performance Measures & Fiscal Year Target

Instructions: For each measure listed, agency must:

1. Insert the SFY 2018 & 2019 Actual result for the measure.
2. Insert the SFY 2020 Target from approved area plan update.
3. Insert results to date, on the performance measure (insert the date the result was obtained.)
4. Insert a performance target for SFY 2021.
    a. Targets should be reasonable, achievable, and set a high standard for consumer outcome.
    b. Make sure performance targets are included and close to data results from the previous year.
5. Provide a one paragraph description of activities impacting performance on measure. If target for SFY 2021 has increased or decreased by 10%, indicate the reason for the change.

Note: For the nutrition counseling target, be sure to enter the consumer target in both a percentage and number. If the nutrition counseling consumer numbers have traditionally been low a small change can result in a large percentage change.

SFY 2021 Projected Older Americans Act Consumers and Service Units

Instructions: Prepare to provide SFY 2021 projections for the total number of consumers to be served, number of consumers served by targeted populations, and total service units. Instructions for submitting SFY 2021 projections will be issued in the forthcoming SFY 2021 Area Plan Budget Report Instructions document.

When preparing projections, consult chapter 2 of the *Area Agency on Aging Reporting Manual* for a listing of allowable services and service definitions. Agency's should also utilize Iowa aging demographic data and past service units provided & consumer served when determining projections for SFY 2021. Population estimates targeted demographic groups are available under Resources: at https://www.iowaaging.gov/area-agencies-aging/aaa-professionals/area-plan-aging-guidance.

Self-Direction Service Delivery

Instructions: Self-Direction Service Delivery is not required at this time. If AAA wishes to provide, the following guidance is available.

> Self-Direction means: An approach to providing services (including programs, benefits, supports, and technology) under the OAA intended to assist an individual with activities of daily living, in which— (A) such services (including the amount, duration, scope, provider, and location of such services) are planned, budgeted, and purchased under the direction and control of such individual; (B) such individual is provided with such information and assistance as are necessary and appropriate to enable such individual to make informed decisions about the individual's care options; (C) the needs, capabilities, and preferences of such individual with respect to such services, and such individual's ability to direct and control the individual's receipt of such services, are assessed by the area agency on aging (or other agency designated by the area agency on aging) involved; (D) based on the assessment made under subparagraph (C), the area agency on aging (or other agency designated by the area agency on aging) develops together with such individual and the individual's family, caregiver or legal representative— (i) a plan of services for such individual that specifies which services such individual will be responsible for directing; (ii) a determination of the role of family members (and others whose participation is sought by such individual) in providing services under such plan; and (iii) a budget for such services; and (E) the area agency on aging or State agency provides for oversight of such individual's self-directed receipt of services, including steps to ensure the quality of services provided and the appropriate use of funds under the OAA. (Source: OAA)

If AAA utilizes a self-direction service delivery approach for older adults and caregivers to obtain services funded in whole or part by Title III B or E of the OAA, agency must complete the table below and insert the table into the area plan update template. AAA will provide a report on actuals for this service delivery approach at the end of the SFY and FFY.

Item	Projection
Persons Served - Older Adult	#
Projected Title IIIB Expenditure - Older Adults	Amount
Projected Other - State Expenditure - Older Adults	Amount
Projected Other - Non-State Expenditure - Older Adults	Amount
Projected Program Income Expended - Older Adults	Amount
Persons Served - Caregivers of Older Adult	#
Projected Title IIIE Expenditure - Caregivers Older Adult	Amount
Projected Other - State Expenditure -Caregivers Older Adult	Amount
Projected Other - Non-State Expenditure - Caregivers Older Adult	Amount
Projected Program Income Expended -Caregivers Older Adult	Amount
Persons Served - Older Relative Caregivers	#
Projected Title IIIE Expenditure - Older Relative Caregivers	Amount
Projected Other - State Expenditure --Older Relative Caregivers	Amount
Projected Other - Non-State Expenditure - Older Relative Caregivers	Amount
Projected Program Income Expended - Older Relative Caregivers	Amount

Caregiver Respite Voucher Service Delivery

Instructions: Review the definition of Respite Voucher below.

> Respite Voucher means: A payment mechanism for caregiver respite services. A voucher is a document that shows respite services have been bought or respite services have been rendered, and authorizes payment.

If AAA utilizes a voucher method for caregivers to obtain respite services funded in whole or part by Title IIIE of the OAA, agency must complete the table below and insert the table into the area plan update template. AAA will provide a report on actuals for this service delivery approach at the end of the SFY and FFY.

Data Element	Projection
Persons Served - Caregivers of Older Adult	**#**
Does AAA intend to use the funding source listed below to provide respite services for Caregivers of Older Adults through vouchers?	
OAA Title III E federal funds	**Y or N**
Other - State Expenditure	**Y or N**
Other - Non-State Expenditure	**Y or N**
Program Income Expended	**Y or N**
Persons Served - Older Relative Caregivers	**#**
Does AAA intend to use the funding source listed below to provide respite services for Older Relative Caregivers through vouchers?	
OAA Title III E federal funds	**Y or N**
Other - State Expenditure	**Y or N**
Other - Non-State Expenditure	**Y or N**
Program Income Expended	**Y or N**

Service Coverage

Instructions:

1. Insert an X in the appropriate table cell to indicate the service is available to consumers in the county through area plan funds. Insert additional tables for more counties as necessary.

2. Describe service coverage changes from SFY 2020. If none, enter: **No service coverage changes planned for SFY 2021.**

Area Plan Service Waiting List

Instructions: If agency maintains a waiting list for area plan services, complete and insert the following table into the plan document.

Service with Waiting List	Typical Number of Individuals on Waiting List	Average Waiting List Time	Waiting List Prioritization Criteria

If a wait list exists for a service, the AAA or its subcontractor must inform consumers in need of the service of the existence of the wait list and their estimated wait time and provide them the option of being placed on the list. Describe how members of the public may obtain your agency's wait list policy.

Section 3: Quality Management

Instructions: Please confirm that quality management activities that will be undertaken during the plan period are current. (Quality management of service programs encompasses three functions: data collection to assess ongoing program implementation, remediation of problem areas, and continuous improvement.) Update as necessary.

Section 4: Public Input

Governing Board, Advisory Council, and LifeLong Links Advisory Council

Instructions: Provide updated information for the agency's Governing Board, Advisory Council, and LifeLong Links Advisory council.

Notes: Agencies are to provide IDA with an updated Governing Board and Advisory Council membership and contact list whenever membership changes.

For the Advisory Council, enter composition criteria yet to be satisfied by the Council membership or enter: *"None, all composition criteria are satisfied"*.

Public Hearing

Instructions: Please refer to Iowa Administrative Rule, Chapter 6.2(7)(a) for conditions in which a public hearing is required. If your agency conducted a public hearing, provide the following documentation:

- Provide a text copy of the public hearing notice & a list of groups to whom the notice was sent and dates. If agency chose to publish notice in the newspaper, provide documentation that the notice was published, including date of publication.
- A copy of the agenda that includes the date and location of the hearing and shows priority services and direct service requests as distinct agenda items for any hearing.
- A list of people present at the hearing.
- A written summary of the public hearing including comments specific to the services proposed for direct service provision.

Attachments

Staffing and Volunteer Information

Instructions: Complete and insert the following table into the plan document to list the anticipated number of full and part-time positions at the agency, the number of SCSEP beneficiaries employed at the agency, and the number of volunteers supporting the agency at the start of the SFY 2021 known as (7/1/2020). Refer to the Reporting Manual 20-V4, CHAPTER FIVE: *Consumer and Service Reporting Definitions*, for position definitions.

Position	Total Number
Staff (paid) full-time:	
Staff (paid) part-time:	
SCSEP Beneficiaries:	
AAA Volunteers:	

Authorized Signatures

Instructions: Obtain personnel signatures as appropriate.

Note: Agency staff must provide IDA with an updated Authorized Signatures page when a change has occurred in persons authorized to sign for items listed.

Grievance Procedures

Instructions: Please confirm that the plan's information on its grievance procedures is current. If not, please provide updated information on how members of the public may obtain your agency's grievance procedures related service provision.

Nutrition Services, Service Providers, and Senior Center/ Focal Points

Instructions:

Nutrition Services

Review, update, and confirm that the Nutrition Services information (location and frequency) in the case management system (Wellsky) is current.

Service Providers of OAA Services

Review, update, and confirm that the Service Provider information as listed below is current in the case management system (Wellsky).

- Total Providers for all Title III services (parts B/C/D/E)
- Total Providers for Title III services parts B/C/D only
- Total Providers for Title III services part E only
- Total Providers for Home Delivered Meals
- Total Providers for Congregate Meals
- Total Providers for Home Delivered Meals AND Congregate Meals
- Total Providers for Information and Assistance

Senior Centers and Focal Points

Review, update, and confirm that the Focal Point and Senior Center as listed below is current in the case management system (Wellsky).

- Total Number of Focal Points
- Of the Total Number of Focal Points, # that are Senior Centers

Emergency Plan Summary

Instructions: Review information in the plan that:

1. Summarizes the activities the agency is involved in as they relate to preparedness planning and plan activation.

2. Describes how the agency collaborates with other entities, including partners and contractors, as well as emergency response agencies, relief organizations, government agencies or other institutions, when carrying out these activities.

3. Revise and update as necessary.

Note: The Older American's Act requires Area Agencies on Aging to have an emergency preparedness plan and to summarize it in the agency's Area Plan. (Also see: Iowa Code 231.33(18); IAC 17—6.9; 6.10; 7.19) Older American's Act of 1965, as amended through P.L. 114-144 AREA PLANS - Section. 306(a)(17)

SEC. 306. (a) Each area agency on aging designated under section 305(a)(2)(A) shall, in order to be approved by the State agency, prepare and develop an area plan for a planning and service area for a two-, three-, or four-year period determined by the State agency, with such annual adjustments as may be necessary. Each such plan shall be based upon a uniform format for area plans within the State prepared in accordance with section 307(a)(1). Each such plan shall—

(17) include information detailing how the area agency on aging will coordinate activities, and develop long-range emergency preparedness plans, with local and State emergency response agencies, relief organizations, local and State governments, and any other institutions that have responsibility for disaster relief service delivery.

Direct Service Waiver Requests

Instructions: Requests to provide a service directly submitted with the SFY 2018 – 2021 Area Plan on Aging are for the four-year plan period. If the agency plans to continue to provide the services directly as submitted, no action is required.

If the agency intends to start providing a service directly in SFY 2021, then a direct service request is required for the service. (Submit a completed Request to Provide Direct Service form with this plan update.) Per Iowa Administrative Code, agencies shall hold at least one public hearing when offering a direct service.

Verification of Agency Intent and Compliance

Review the Verification of Agency Intent and Compliance document, assurance, and compliance information as indicated in the document. Ensure that signatories have reviewed the most recent information referenced by hyperlinks in the document prior to signing. Insert required digital signatures and submit with SFY 2021 Update to the SFY 2018-2021 Area Plan on Aging.

Submission Instructions

Accessibility. The Area Plan document must be submitted to IDA in an accessible electronic format. For more information, visit Microsoft's support page at https://support.office.com/en- us/word or WebAim.org http://webaim.org/techniques/word. You can also find information about creating accessible PDF documents on WebAim.org and at Adobe: https://helpx.adobe.com/acrobat/using/create-verify-pdf-accessibility.html.

Required Documents. The SFY 2021 Update to the SFY 2018-2021 Area Plan on Aging, including the digitally signed Verification of Agency Intent and Compliance document and, when applicable, the Request to Provide Direct Service document, must be submitted electronically to Pam Mollenhauer at Pam.Mollenhauer@iowa.gov no later than 4:00 pm on **April 1, 2020**.

Follow the instructions in the **forthcoming** *SFY 2021 Area Plan Budget Report Instructions* document to submit your SFY 2021 budget. Note that per the budget report instructions, an original Area Plan Budget Request Cover Sheet must be signed by an authorized signatory of the area agency and mailed to Jeff Batz at 510 East 12th Street, Suite 2, Des Moines, IA 50319-9025. The signed and dated Area Plan Budget Request Cover Sheet must be received by Jeff Batz no later than five business days following the due date for the SFY 2021 Update to the area plan and SFY 2021 Area Plan Budget Report, which is April 1, 2020.

Questions and Requests for Technical Assistance

Agencies may request technical assistance on completing the SFY 2021 update. Please direct requests for technical assistance and questions on completing and submitting the SFY 2021 Update template to Pam Mollenhauer at Pam.Mollenhauer@iowa.gov or 515-669-3955. Questions may be submitted at any time. However, requests for in-depth technical assistance should be submitted prior to January 19, 2020, and agency staff should allow IDA staff two-weeks to schedule and provide the technical assistance.

Please direct questions on completing and submitting the SFY 2021 Area Plan Budget Report to Jeff Batz at Jeff.Batz@iowa.gov or 515-725-3314.